



DULUTH INTERNATIONAL AIRPORT

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DULUTH AIRPORT AUTHORITY

**SKY HARBOR AIRPORT
VERTICAL PIVOT GATE AND FENCE REPLACEMENT
CONTRACT DOCUMENTS
ISSUE FOR BID**

FAA AIP No. 03-27-0025-10-15
STATE PROJECT NO: 6901A-40
CITY OF DULUTH BID No. 15-4401

**PROJECT MANUAL
VOLUME 1 OF 1**

Date: JUNE 1 , 2015



Architects and Civil Engineers:
REYNOLDS SMITH AND HILLS, INC.
4525 Airport Approach Road
Duluth, MN 55811
TEL: (218) 722-1227 /
FAX: (218) 722-1052

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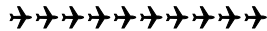


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**DULUTH AIRPORT AUTHORITY
DULUTH INTERNATIONAL AIRPORT**

PROJECT MANUAL

I HEREBY CERTIFY THAT THIS SPECIFICATION WAS PREPARED BY ME OR UNDER MY
DIRECT SUPERVISION AND THAT I AM A DULY LICENSED PROFESSIONAL ENGINEER
UNDER THE LAWS OF THE STATE OF MINNESOTA.

SIGNATURE: *Darren K Christopher* TYPED/PRINTED NAME: DARREN K. CHRISTOPHER, PE

DATE: 6/1/15 REG. NO.: 45054

Invitation to Bid

Project Name/Description: Sky Harbor Airport
Vertical Pivot Gate & Fence Replacement

City of Duluth Bid No. 15-4401
Mn/DOT Project No. SP 6901A-40
FAA Project No. 03-27-0025-10-15

Sealed bids will be received for the Duluth Airport Authority by the City Purchasing Agent in and for the Corporation of the City of Duluth in Room 100 City Hall, Duluth, Minnesota 55802 (218) 730-5340 at 2:00 p.m. local time on Tuesday, June 9, 2015, for the above named project, and will be publicly opened and read aloud immediately thereafter.

The project scope consists of: Demolition of the existing slide gate and replacing with pivot gate; remove and replace pedestrian gate and remove and replace approximately 100 feet of fence.

The Notice to Proceed for construction is anticipated to be issued in June, 2015.

Bid Proposals shall be submitted on forms furnished for that purpose.

A pre-bid meeting is scheduled for Thursday, June 4, 2015 at 1:00 p.m. at the Sky Harbor Airport, 5000 Minnesota Avenue, Duluth, Minnesota.

The schedule of minimum wages as established by Federal Wage Determinations, the Secretary of Labor and set forth in the specifications is to govern on this project, and bids shall be based on these established minimum wage rates.

The bidder/offerer certifies, by submission of this proposal or acceptance of this contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by a Federal department or agency.

Notice of Requirements for Affirmative Action to Ensure Equal Employment Opportunity - State of Minnesota Requirements:

The offerer's or bidder's attention is called to the "equal opportunity clause" set forth herein.

Under Minnesota Statute S473.144, the Authority may not accept any bid or proposal for a contract or execute a contract for goods or services in excess of \$100,000 with any business having more than 40 full time employees in Minnesota at any time during the previous 12 months, unless the business has an affirmative action plan for the employment of minority persons, women, and the disabled that has been approved by the Commission of Human Rights. The Commission's certificate of compliance form and any required documentation indicating a bidder's compliance or exemption from this requirement must be submitted within three business days following the opening of the bids and prior to award of the contract. Bids will be considered non-responsive if the certificate of compliance requirement as set forth in the specifications is not met.

The schedule of minimum wages as established by the Secretary of Labor and set forth in the specifications is to govern on this project, and bids shall be based on these established minimum wage rates. However, in accordance with Minnesota law, overtime must be paid for work in excess of 8 hours per day and 40 hours per week.

Nondiscrimination in Employment: The proposed contract shall be under and subject to Executive Order No. 11246 of September 24, 1965, as amended, and to the equal opportunity clause, mandated by the regulations promulgated pursuant thereto. The proposed contract must incorporate the terms set forth in the affirmative action attachments included in the specifications for this project. The bidder (proposer) must supply all the information required by the bid or proposal form. Certification of Non-Segregated Facilities will be required as described in the Instructions to Bidders.

The Airport Authority, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award. Women will be afforded equal opportunity in all areas of employment. However, the employment of women shall not diminish the standards or requirements for employment of minorities.

The bidder/offerer certifies, by submission of this proposal or acceptance of this contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by a Federal department or agency. It further agrees by submitting this proposal that it will include this clause without modification in all lower tier transactions, solicitations, proposals, contracts and subcontracts. Where the bidder/offerer/contractor or any lower tier participant is unable to certify to this statement, it shall attach an explanation to this solicitation/proposal.

The contractor, by submission of an offer and/or execution of a contract, certifies that it is in compliance with Restrictions on Federal Public Works Projects as set forth in Attachment 3 to the construction contract. Further, the contractor agrees that, if awarded a contract resulting from this solicitation, it will incorporate this provision for certification without modification in each contract and in all lower tier subcontracts. The bidder shall make good faith efforts as defined in Appendix A of 49 CFR Part 23, Regulations of the Office of the Secretary of Transportation to subcontract Three and two-tenths percent (3.2%) of the dollar value of the contract to small business concerns owned and controlled by socially and economically disadvantaged individuals (DBE).

The individuals who are presumed to be socially and economically disadvantaged include Women, Blacks, Hispanics, Native Americans, Asian-Pacific Americans, and Asian-Indian Americans.

In the event that the apparent successful bidder of this solicitation qualifies as a DBE, the contract goal shall be deemed to have been met.

Bidders will submit, in writing, the names of the DBEs included in their bid, a description of the work DBEs will perform, and the dollar value of each DBE subcontract.

Exclusive agreements between DBEs and bidders are forbidden. The DAA reserves the right to waive failure of a bidder to meet the DBEs goals if sufficient effort as determined by DAA has been made to comply with the DBE goals and the requirements are not met.

The bids shall be accompanied by an Affidavit of Non-Collusion and written assurance that the bidder has made a good faith effort towards meeting DBE goals.

A bidder's or proposer's failure to show a good faith effort to achieve the specified contract goal for the participation of Disadvantaged Business Enterprise in the completion of this project will be grounds for finding the bid or proposal non-responsive.

Notice of Requirements for Affirmative Action to Ensure Equal Employment Opportunity - State of Minnesota Requirements:

The offerer's or bidder's attention is called to the "equal opportunity clause" set forth herein.

The goals and timetables for minority and female participation, expressed in percentage terms for the contractor's aggregate workforce in each trade on all construction work in the Covered Area as follows: Goals for minority participation in each trade, 1.0%; goals for female participation in each trade, 6.9%.

These goals are applicable to all contractors' construction work performed in the Covered Area.

The contractor's compliance with Minnesota Statutes, section 473.144 and part 5000.3520 shall be based on its implementation of the equal opportunity clause, specific affirmative action obligations required by part 5000.3540, and its efforts to meet the goals established for the geographical area where the contract resulting from this solicitation is to be performed. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from contractor to contractor or from project to project for the sole purpose of meeting the contractor's goals shall be a violation of the contract, Minnesota Statutes, section 473.144 and part 5000.3520. Compliance with the goals will be measured against the total work hours performed.

The contractor shall provide written notification to the Compliance Division of the Minnesota Department of Human Rights within ten working days of award of any construction contract at any tier for construction work under the contract resulting from the solicitation. The notification must list the name, address and telephone number of the subcontractor; employer identification number, estimated dollar amount of the subcontract; and the geographical area in which the contract is to be performed.

As used in this notice, and in the contract resulting from this solicitation, the "Covered Area" is the City of Duluth in St. Louis County, Minnesota.

See Instructions to Bidders for Federal requirements for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246, as amended).

Each bid proposal shall be accompanied by a "Bid Security" in the form of a certified check made payable to the City of Duluth in the amount of not less than 5% of the total bid or a surety bond in the amount payable to the Authority with the surety company thereon duly authorized to

do business in the State of Minnesota, such Bid Security to be a guarantee that the bidder will not, without the consent of the Authority, withdraw his bid for a period of 90 days after the opening of bids, and if the successful bidder, will enter into a contract with the Duluth Airport Authority and in connection therewith, give Public Contractor's Bond as required by law; and the amount of the certified check will be retained or bond enforced by the Authority in case the bidder fails so to do.

The Bid Security of the three lowest bidders will be retained until the contract is executed, but in no event longer than 90 days provided that the Bid Security of the lowest responsible bidder shall be retained in any event until the contract is executed and Public Contractor's Bond furnished as herein provided.

The bid of the lowest responsible bidder, provided said low bidder has made a good faith effort to meet the DBE contract goal will be accepted on or before the expiration of 90 days after the date of the opening of bids. In the event that the Authority deems it in its best interest to delay the award of the contract (i.e. if the federal funding for the project is delayed) the 90 day time period may be extended for up to one year if mutually agreed upon by both the bidder and the Authority. The Authority, reserves the right to reject any or all bids and to waive any minor irregularities, informalities or discrepancies.

Inquiries regarding Plans and Specifications may be directed to the Architect/Engineer of Record RS&H, Inc. at (218) 722-1227. Plans and Specification will also be on file at the Duluth Purchasing Agent, the Duluth, Hibbing, Minneapolis Builders Exchanges, Reed Construction Document Processing, McGraw-Hill, and MEDA Plan Rooms.

Copies of Drawings and Specifications and a separate Proposal Form may be obtained on or after June 1, 2015 at the office of RS&H, 4525 Airport Approach Road, Suite A, Duluth, Minnesota 55811 upon receipt of a check in the amount of \$50.00 for each hard set of Plans, Specifications and Bid Form; or for a non-refundable \$20 fee you may obtain an electronic version of the plans/specs/addendums and a hard copy of Bid Form Packet by contacting RS&H, Inc., 4525 Airport Approach Road, Duluth, Minnesota 55811. (phone 218-722-1227). This payment is non-refundable.

Duluth Airport Authority

By: Amanda Ashbach
City of Duluth Purchaser
100 City Hall
Duluth, MN 55802

To appear in DNT: May 25th and 26th 2015
respectively

This advertisement is also available on the City of Duluth website at:
http://www.duluthgov.info/db_frames/bid_information.cfm

INSTRUCTIONS TO BIDDERS

1. Use of Separate Bid Forms. These contract documents include a complete set of bidding and contract forms which are for the convenience of bidders and are not to be detached from the contract document, filled out, or executed. **Separate copies of bid forms are furnished for that purpose.**
2. Interpretations or Addenda. No oral interpretation will be made to any bidder as to the meaning of the contract documents or any part thereof. Every request for such an interpretation shall be made in writing to Darren Christopher of RS&H. Any inquiry received seven or more days prior to the date fixed for opening of bids will be given consideration. Every interpretation made to a bidder will be in the form of an addendum to the contract documents, and when issued, will be on file in the offices of the Purchasing Agent and City Architect at least five days before bids are opened. In addition, all addenda will be mailed to each person holding contract documents, but it shall be the bidder's responsibility to make inquiry as to the addenda issued. All such addenda shall become part of the contract, and all bidders shall be bound by such addenda, whether or not received by the bidders.
3. Inspection of Site. Each bidder should visit the site of the proposed work and fully acquaint himself with the existing conditions there relating to construction and labor, and should fully inform himself as to the facilities involved, the difficulties, and the restrictions attending the performance of the contract. The bidder should thoroughly examine and familiarize himself with the drawings, technical specifications, and all other contract documents. The contractor, by the execution of the contract, shall in no way be relieved of any obligation under it due to his failure to receive or examine any form or legal instrument or to visit the site and acquaint himself with the conditions there existing; and the City of Duluth will be justified in rejecting any claim based on facts regarding which he should have been on notice as a result thereof.
4. Alternative Bids. No alternative bids will be considered unless alternative bids are specifically requested by the technical specifications.
5. Bids.
 - a. All bids must be submitted on forms supplied by the City of Duluth Purchasing Agent and shall be subject to all requirements of the contract documents, including the drawings, and these **Instructions to Bidders**. All bids must be regular in every respect; and no interlineations, excisions, or special conditions shall be made or included in the bid form by the bidder.

- b. Bid documents including the bid and the bid guaranty shall be enclosed in an envelope which shall be sealed and clearly labeled with the project number, if any, name of bidder, and date and time of bid opening, in order to guard against premature opening of the bid. If proposal is mailed, this envelope shall be placed in another envelope which shall be sealed and labeled with project number, if any, name of bidder, and date and time of bid opening -- and addressed to City of Duluth Purchasing Agent, 100 City Hall, Duluth, Minnesota 55802.
- c. The City of Duluth may consider as irregular any bid on which there is an alteration of or departure from the bid form hereto attached, and at its option may reject the same.
- d. If the contract is awarded, it will be awarded by the City of Duluth to a responsible bidder on the basis of the lowest bid and the selected alternative bid items. The contract will require the completion of the work according to the contract documents.
- e. Each bidder shall include in his bid the following information:

Principals -- Names
 Social Security Numbers
 Home Addresses, including city, state, & zip code

Firm -- Name
 Treasury Number
 Address
 City, State & Zip Code

Mechanical & Electrical Subcontractors -- Names of firms that will do the mechanical and electrical work and the amounts of the mechanical and electrical sub-bids, if applicable and when (where indicated on Bid Proposal Form).

6. Bid Guaranty.

- a. The bid must be accompanied by a bid guaranty which shall not be less than five percent (5%) of the amount of the bid. At the option of the bidder, the guaranty may be a certified check, bank draft, negotiable U.S. Government bond (at par value), or a bid bond. No bid will be considered unless it is accompanied by the required guaranty. Certified check or bank draft must be made payable to the order of the City of Duluth, Minnesota. Cash deposits will not be accepted. The bid guaranty shall insure the execution of the agreement and the furnishing of the surety bond or bonds by the successful bidder, all as required by the contract documents.
- b. Revised bids submitted before the opening of bids, whether forwarded by mail or telegram, if representing an increase in excess of two percent (2%) of the original bid, must have bid guaranty adjusted accordingly; otherwise, the bid will not be considered.
- c. Certified checks or bank drafts, or the amount thereof, bid bonds, and negotiable U.S. Government bonds of unsuccessful bidders, will be returned as soon as practical after the

opening of bids.

7. Collusive Agreements

- a. The successful bidder on each City of Duluth construction project shall be required to execute a City of Duluth non-collusive affidavit to the effect that he has not entered into a collusive agreement with any other person, firm, or corporation in regard to any bid submitted.
- b. Before executing any subcontract, the successful bidder shall submit the name of any proposed subcontractor for prior approval, and an affidavit substantially in the form provided in Section 103 of General Conditions hereof.

8. Unit Prices. The unit price for each of the several items in the proposal of each bidder shall include its prorata share of overhead so that the sum of the products obtained by multiplying the quantity shown for each item by the unit price bid represents the total bid. Any bid not conforming to this requirement may be rejected as informal. The special attention of all bidders is called to this provision; for should conditions make it necessary to revise the quantities, no limit will be fixed for such increased or decreased quantities nor extra compensation allowed, provided the net monetary value of all such additive and subtractive changes in quantities of such items of work (i.e., difference in cost) shall not increase or decrease the original contract price by more than twenty-five percent (25%), except for work not covered in the drawings and technical specifications as provided for in Section 109 hereof.

9. Corrections. Erasures or other changes in the bids must be explained or noted over the signature of the bidder.

10. Time for Receiving Bids.

- a. Bids received prior to the advertised hour of opening will be securely kept, sealed. The officer whose duty it is to open them will decide when the specified time has arrived, and no bid received thereafter will be considered; except that when a bid arrives by mail after the time fixed for opening, but before the reading of all other bids is completed, and it is shown to the satisfaction of the City Purchasing office that the non-arrival on time was

due solely to delay in the mails for which the bidder was not responsible, such bid will be received and considered.

- b. Bidders are cautioned that, while telegraphic modifications of bids may be received as provided above, such modifications, if not explicit and if in any sense subject to misinterpretation, shall make the bid so modified or amended, subject to rejection.
11. Opening of Bids. At the time and place fixed for the opening of bids, the City Purchasing Agent will cause to be opened and publicly read aloud every bid received within the time set for receiving bids, irrespective of any irregularities therein. Bidders and other persons properly interested may be present, in person or by representative.
 12. Withdrawal of Bids. Bids may be withdrawn on written or telegraphic request dispatched by the bidder in time for delivery in the normal course of business to the time fixed for opening; provided, that written confirmation of any telegraphic withdrawal over the signature of the bidder is placed in the mail and postmarked prior to the time set for bid opening. The bid guaranty of any bidder withdrawing his bid in accordance with the foregoing conditions will be returned promptly.
 13. Award of Contract: Rejection of Bids.
 - a. The contract will be awarded to the responsible bidder submitting the lowest bid complying with the conditions of the Invitation to Bid. The bidder to whom the award is made will be notified at the earliest possible date. The City of Duluth, however, reserves the right to reject any and all such bids and to waive any informality in bids received whenever such rejection or waiver is in its interest.
 - b. The City of Duluth reserves the right to consider as unqualified to do the work of general construction, any bidder who does not habitually perform with his own forces the major portions of the work involved in construction of the improvements embraced in the contract documents.
 14. Execution of Agreement: Performance and Payment Bond.
 - a. Subsequent to the award and within ten (10) days after the prescribed forms are presented for signature, the successful bidder shall execute and deliver to the City of Duluth an agreement in the form as furnished by the City, in such number of copies as the City of Duluth may require.
 - b. Having satisfied all conditions of award as set forth elsewhere in these documents, the successful bidder shall, within the period specified in paragraph "a" above, furnish:
 - 1) A performance bond for the use and benefit of the City of Duluth to complete the contract according to its terms, and conditioned on saving the City of Duluth harmless from all costs and charges that may accrue on account of completing the specified work; and

- 2) A payment bond for the use and benefit of all persons furnishing labor and materials for the performance of the contract conditioned upon the payment, as they become due, of all just claims for labor and materials.

Both the performance bond and the payment bond shall be in a penal sum of not less than the amount of the contract awarded. Such bonds shall be in the same form as that included in the contract documents and shall bear the same date as, or a date subsequent to, that of the agreement. A current power of attorney for the person who signs for any surety company shall be attached to such bonds.

- c. The failure of the successful bidder to execute such agreement to supply the required bond or bonds within ten (10) days after the prescribed forms are presented for signature, or within such extended period as the City of Duluth may grant, based on reasons determined sufficient by the City of Duluth, shall constitute a default, and the City of Duluth may either award the contract to the next lowest responsible bidder or re-advertise for bids, and may charge against the bidder the difference between the amount of the bid and the amount for which a contract for the work is subsequently executed, irrespective of whether the amount thus due exceeds the amount of the bid bond. If a more favorable bid is received by re-advertising, the defaulting bidder shall have no claim against the City of Duluth for a refund.

15. Wages and Salaries.

- a. Attention of bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and salary rates specified in the contract documents and the conditions of employment with respect to certain categories and classifications of employees.
- b. The rates of pay set forth under **General Conditions** are the minimums to be paid during the life of the contract. It is therefore the responsibility of bidders to inform themselves as to local labor conditions, such as the length of work day and work week, overtime compensations, health and welfare contributions, labor supply, and prospective changes or adjustments of rates.

16. Equal Employment Opportunity. Attention of bidders is particularly called to the requirement for ensuring that employees and applicants for employment are not discriminated against because of their race, color, religion, sex, or national origin. (See Supplementary General Conditions, Part II, Section II).

17. Employment and Business. Attention of bidders is particularly called to the requirement that, to the greatest extent feasible, opportunities for training and employment made possible by this project shall be given to lower income residents of the City of Duluth. Additionally, efforts should be made, if any work is subcontracted, to award subcontracts to concerns located in or owned in substantial part by persons residing in the City of Duluth.

18. Sales and Use Taxes. It is assumed that, in the preparation of his proposal, the bidder has taken into consideration his liability from any sales, use, or excise tax that might be assessed in the

purchase of, storage, use, or consumption of any materials, services, or supplies for performance of the contract work. Any such tax paid by the contractor will be considered as his expense, for which no direct compensation will be made by the City to the contractor over and above the accepted bid.

19. Pre-Bid/Pre-Construction Meetings.

- a. Seven (7) days prior to bid date, a pre-bid meeting will be held (see **Bid Form** for time and place). All prime bidders are requested to attend. All bidders will be allowed to make inquiries regarding the contract documents. All formal decisions will be documented by addendum. Failure of any prime bidders to attend this meeting could jeopardize the contract award.
- b. Approximately seven (7) days after City Council approval of contract award, the successful bidder is required to attend a pre-construction meeting. At this meeting, the successful bidder will present his construction schedule, cost breakdown, required submittals, etc.

20. Equal Employment Opportunity (EEO) Affirmative Action Policy Statement and Compliance Certificate.

- a. The successful bidder on each City of Duluth construction project shall be required to execute a certificate substantially in the form herein provided.
- b. Before executing any subcontract in excess of \$2,500, the successful bidder shall require the subcontractor to execute a form similar in nature to the form herein provided.

ATTACHMENT A

INSTRUCTIONS TO BIDDERS

All bids must be complete, signed, and transmitted in a sealed envelope plainly marked with the bid number, subject matter, and opening date. The City of Duluth reserves the right to split the award where there is a substantial savings to the City, to waive informalities and to reject any and all bids. Bidder must state in their proposal if bid price is based on acceptance of the total order. Do not include sales tax in the unit price. Price may not be the only consideration for bid award. Bids must be firm for a minimum of 30 days.

Bids must be received in Purchasing before 2:00 PM local time on June 11, 2015. The City Purchasing Agent or her designee will conduct a public bid opening in Room 100 immediately following receipt of the bids. Bid results will be posted online at http://www.duluthgov.info/db_frames/bid_information.cfm once all bids have been reviewed.

The following documents MUST be submitted with your bid:

1. **Bid Bond** - A certified check or bank draft, payable to the order of the City of Duluth, negotiable U.S. Government Bonds (at par value), or a satisfactory bid bond executed by the bidder and acceptable surety, in an amount equal to five per cent (5%) of the total bid.
2. **Project Labor Agreement (PLA)** will be required for any bid that is or could potentially exceed \$150,000 (Attachment B).
3. **Contract Exceptions** – Any exceptions or requested changes to the standard contract documents must be submitted with your proposal. Please attach a red-lined version of the draft contract (Attachment C).
4. **Acknowledgment of Addendum** (if applicable) – any changes to this solicitation will be announced via Addendum. A signed copy of the Addendum(s) must be submitted with your bid.

Please note that the following requirements also apply to this project, and any additional required documents must be submitted prior to award/contract execution. Submitting these documents with your bid will assist in expediting the process.

1. **Insurance** – Contractor must provide proof of Public Liability and Automobile Liability Insurance with limits not less than \$1,500,000 Single Limit prior to the commencement of work. The City of Duluth must be named as an additional insured. Please refer to the draft Contract, Attachment C - Section 7.
2. **Affidavit of Non-Collusion** – The successful bidder shall be required to execute an affidavit (Attachment D) stating that he/she has not entered into a collusive agreement with any other person, firm, or corporation in regard to any bid submitted.
3. **Performance & Payment Bonds** – The awarded contractor must submit performance and payments bonds in the full amount of the award. The required forms are attached as Attachments E & F.
4. **Affirmative Action/EEO** - The contractor must take affirmative action to ensure that the employees and applicants for employment are not discriminated against because of their race, color, creed, sex or national origin, and must meet the affirmative action goals. Contractors are encouraged to subcontract with Disadvantaged Business Enterprises (DBEs) when possible. A current list of certified DBEs is available on the Minnesota Unified Certification website at <http://mnuccp.metc.state.mn.us> . Contractor will comply with all applicable Equal Employment Opportunity laws and regulations. Awarded contractor will submit the Equal Employment Opportunity (EEO) Affirmative Action Policy Statement & Compliance Certificate (Attachment G)

5. **Responsible Contractor** - No construction contract in excess of \$50,000 will be awarded unless the Bidder is a “responsible contractor” as defined in Minnesota Statute §16C.285, subdivision 3. All Bidders submitting a proposal for this project must verify that they meet the minimum criteria specified in the statute by submitting a Responsible Contractor Verification and Certification of Compliance form (Attachment H). The owner or officer of the company must sign the form under oath verifying compliance with each of the minimum criteria. Making a false statement under oath will render the Bidder or subcontractor that makes the false statement ineligible to be awarded a construction project and may result in termination of a contract awarded to a Bidder or subcontractor that submits a false statement. Bidders must obtain verification of compliance from all subcontractors. Bidders must submit signed copies of verifications and certifications of compliance from subcontractors at the City’s request.
6. **Out of State Contractor** - Unless a State of Minnesota Certificate of Exemption is provided, any out-of-state bidder receiving a bid award will have 8% retained from invoice payments on any contracts over \$50,000. Submit a signed copy of the signed exemption form when submitting Payment and Performance Bonds. This form may be found at the following web address:
http://www.revenue.state.mn.us/Forms_and_Instructions/sde.pdf .
7. **Prevailing Wage** - Not less than the minimum salaries and prevailing wages as set forth in the contract documents must be paid on this project.

The City of Duluth is an Equal Opportunity employer.

CITY OF DULUTH

Amanda Ashbach
Purchasing Agent



REQUEST FOR BID
DATE 6/1/2015
BID # 15-4401

RETURN BY BID OPENING TIME TO:

PURCHASING DIVISION
 100 CITY HALL
 Duluth, MN 55802
 Buyer:
 PHONE: 218-730-5340
 FAX: 218-730-5921

SKY HARBOR AIRPORT VERTICAL PIVOT GATE AND FENCE REPLACEMENT

BID OPENING AT 2:00 PM on TUESDAY JUNE 9, 2015

Note: all bids must be written, signed and transmitted in a sealed envelope, plainly marked with the bid number, subject matter and opening date. The City of Duluth reserves the right to split award where there is a substantial savings to the City, waive informalities and to reject any and all bids. Bidder should state in proposal if bid price is based on acceptance of total order. Sales tax shall be included in the unit price. Bidder to state freight charges if the proposal F.O.B. is shipping point, freight not allowed. Low bid will not be the only consideration for award of bid. All pages shall be signed or initialed by authorized bidder's representative as indicated at the bottom of the page(s) of the request for bid form.

RETURN BID IN DUPLICATE WITH DUPLICATE DESCRIPTIVE LITERATURE FOR BID RESULTS, ENCLOSE A SELF-ADDRESSED, STAMPED ENVELOPE WITH BID

BID DEPOSIT REQUIREMENTS: 5% OF BID AMOUNT

Deposit shall mean cash, cashier's check or corporate surety bond payable to or in favor of the City of Duluth.

A PERFORMANCE BOND AND A PAYMENT BOND shall be required of the successful bidder, BOTH in the full amount of the bid.

INSURANCE CERTIFICATE required per attached requirements.
 Designated F.O.B. Point: Jobsite

Tax: Federal Excise Tax Exemption
 Account No. 41-74-0056 K

Vendor Email Address: _____	FREIGHT CHARGE	\$ N/A
NAME: _____	TOTAL BID PRICE	# _____
ADDR1: _____	TO INCLUDE ANY ADDITIONAL PAGES.	
ADDR2: _____		
ADDR3: _____		
BY: _____	PAYMENT TERMS	\$ _____
(Print) _____	F.O.B. POINT	Duluth Airport
(Signature) _____	DELIVERY DATE	_____
(Title) _____		
(Tele. #) _____		

The City of Duluth is an Equal Opportunity Employer.

ITEM NO.	WORK ITEM DESCRIPTION	UNIT	BID QUANTITY	UNIT PRICE	AMOUNT
	<u>BASE BID</u>				
P-100-3.1	MOBILIZATION AND GENERAL CONDITIONS	LSUM	1		
P-102-10.1	SAFETY AND SECURITY	LSUM	1		
P-104-5.1	SURVEY AND STAKEOUT	LSUM	1		
P-156-5.1	EROSION SEDIMENT CONTROL	LSUM	1		
P-156-5.2	SILT FENCE	LFT	100		
P-156-5.3	INLET AND OUTLET PROTECTION	EACH	1		
F-162-5.1	CHAIN-LINK FENCE 6'	LFT	110		
F-162-5.2a	VERTICAL PIVOT GATE	EACH	1		
F-162-5.2b	PEDESTRIAN GATE	EACH	1		
F-162-5.3	FENCE DEMOLITION	LFT	110		
F-162-5.4	ELECTRIC SLIDE GATE DEMOLITION	EACH	1		
F-162-5.5	PEDESTRIAN GATE DEMOLITION	EACH	1		
L-110-5.2	4-Way, 3", PVC Conduit, Schedule 40, Direct-buried	LFT	60		
L-110-5.3	1-WAY, 2", PVC CONDUIT, SCH. 40, DIRECT-BURIED	LFT	30		
L-115-5.4	ELECTRICAL HANDHOLE	EACH	1		
Bid Document Estimate of Probable Construction Cost					

BID EXTENSION ATTACHMENT

C I T Y O F D U L U T H

DATE: 6/1/2015

BID #: 15-4401

*******SCHEDULE OF PRICES*******

SKY HARBOR AIRPORT VERTICAL PIVOT GATE AND FENCE

Make all extensions and total the bid.

This project will consist of a Line Item Bid

TOTAL BID from Attached Bid Extension

Total \$ _____

The basis of the award of the contract shall be at the sole discretion of the City of Duluth/DAA. The award is based on available Federal Funding. The City of Duluth will be no additional allowance in the Contract Time if the Additive Alternate is awarded.

(Initial)

C I T Y O F D U L U T H
6/1/2014
15-4401

A Pre-bid meeting will be held on Thursday, June 4, 2015 at 1:00 p.m.
at the Sky Harbor Airport

Contract Duration: 30 Calendar Days with intermediate phase completion dates as
specified in the phasing plan shown on the plans.

Delivery Contact: Blaine Peterson
Duluth Airport Authority
(218) 727-2968

ADDENDUM RECEIPT ACKNOWLEDGEMENTS:

ADDENDUM NO. _____, DATED _____

ADDENDUM NO. _____, DATED _____

ADDENDUM NO. _____, DATED _____

TOTAL BASE BID INCLUDING ALTERNATE NUMBER 1 IN WORDS:

_____ \$ _____

CONTRACTOR NAME:

THE CONTRACTOR AGREES TO ALL OF THE
PROVISIONS CONTAINED IN THE CONTRACT
DOCUMENTS. ENCLOSED HEREWITH FIND A
CERTIFIED CHECK OR BID BOND IN THE
AMOUNT OF AT LEAST 5% OF THE AMOUNT OF
PROPOSAL MADE PAYABLE TO THE CITY OF
DULUTH AS A PROPOSAL GUARANTEE WHICH IT
(see additional page(s))

(Initial)

C I T Y O F D U L U T H
6/1/2015
15-4401

IS AGREED BY THE UNDERSIGNED WILL BE
FORFEITED IN THE EVENT THE FORM OF
CONTRACT AND BOND IS NOT EXECUTED, IF
AWARDED TO THE UNDERSIGNED.

SIGNED: _____ FOR

A PARTNERSHIP (OR)

A CORPORATION INCORPORATED UNDER THE
LAWS OF THE STATE OF:

PRESIDENT

VICE-PRES.

SECRETARY

TREASURER

ADDRESS (ES)

BEING DULY SWORN, DEPOSES AND SAYS THAT
THERE ARE NO OTHER PERSONS COMPRISING
ABOVE COMPANY OR FIRM THAN THE ABOVE
NAMES, AND THAT THERE ARE NO PERSONS
OR CORPORATIONS INTERESTED IN THE
FORGOING PROPOSALS, EITHER AS PRINCIPAL
OR SUBCONTRACTOR, OTHER THAN THE ABOVE
NAMES; ALSO THAT THE PROPOSALS ARE MADE
WITHOUT ANY CONNECTION WITH ANY PERSON
OR PERSONS MAKING ANY PROPOSAL FOR THE
ABOVE WORK; THAT THEY ARE IN ALL
RESPECTS FAIR AND WITHOUT COLLUSION OR
FRAUD; AND THAT NO PERSON ACTING IN ANY
OFFICIAL CAPACITY FOR THE CITY OF DULUTH
IS DIRECTLY OR INDIRECTLY INTERESTED
THEREIN, OR IN ANY PORTION OF THE PROFIT
THEREOF.

(see additional page(s))

(Initial)

C I T Y O F D U L U T H
6/1/2015
15-4401

SUBSCRIBED AND SWORN TO BEFORE ME THIS

DAY OF

A.D.,

NOTARY PUBLIC

IMPORTANT NOTE BIDDERS:
ALL APPLICABLE SALES AND/OR USE TAXES ARE
TO BE INCLUDED IN BID PRICING. ALSO,
ALL BIDS ARE TO BE F.O.B. JOBSITE.

(Initial)

City of Duluth Purchasing Division

General Specifications

The word "City" used in these specifications shall mean the city of Duluth and/or its Authorities.

1. Instruction to Bidders:

- A. All bids must be completed in a non-erasable format on the form provided by city of Duluth, errors are to be crossed out and initialed.
- B. All bids must be enclosed in a sealed envelope.
- C. The enclosed blue and white sticker must be placed on the outside of envelope.
- D. The bid envelope shall be addressed to the city of Duluth, Purchasing Division, Room 100 City Hall, Duluth, Minnesota 55802.

2. Non-Collusion Clause:

Vendor, their agent/employee hereby agree to comply and fully perform in accordance with the law and state that they have not, directly or indirectly, entered into an agreement or understanding, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with the proposal submitted with respect to the above-referenced invitation to bid. Vendor fully acknowledges that such an act of non-compliance may be deemed unlawful and would be considered a violation of the law and subject to prosecution.

3. Award of Contract - Rejection of Bids:

The Contract will be awarded to the responsible bidder submitting the lowest bid complying with the conditions of the Invitation for bids. The bidders, to whom the award is made, will be notified at the earliest possible date. The city of Duluth, however, reserves the right to reject any and all bids and to waive any informality in bids received whenever such rejection or waiver is in its interest.

5. Obligation of Bidder:

At the time of the opening of bids, each bidder will be presumed to have read and to be thoroughly familiar with the plans, specifications and contract documents (including all addenda). The failure or omission of any bidder to examine any form, instrument, or document shall in no way relieve any bidder from any obligation in respect to their bid.

6. Liquidated Damages for Failure to Enter into Contract:

The successful bidder, upon their failure or refusal to accept a purchase order or execute and deliver the contract and bonds required within 10 days after receipt of a notice of the acceptance of their bid, shall forfeit to the city, as liquidated damages for such failure or refusal, the security deposited with their bid (if required).

7. Completion of Bid Request:

The city may consider as irregular any bid on which there is an alteration of or departure from the Bid Form hereto attached and at its option may reject the same.

8. E.E.O. Regulations:

Contractor will be required to comply with all applicable Equal Employment Opportunity (E.E.O.) laws and regulations. Affirmative action must be taken to insure that the employees and applicants for employment are not discriminated against because of their race, color, creed, sex or national origin.

The city of Duluth is an equal opportunity employer.

9. Participation:

This document is intended to serve the city of Duluth, its Agents and Authorities. Each authority may issue their own purchase order and will be responsible for it. The City of Duluth Authorities are as follows:

- 1. Duluth Airport Authority
- 2. Spirit Mountain Recreational Area Authority
- 3. Duluth Entertainment and Convention Center
- 4. Duluth Transit Authority
- 5. Duluth Economic Development Authority
- 6. Duluth Housing and Redevelopment Authority

The city has a cooperative purchasing agreement with St. Louis county allowing the county to purchase from this bid when requested. St. Louis county will issue and be responsible for its own purchase orders.

10. Qualifications of Bidder

The city may make such investigations as deemed necessary to determine the ability of the bidder to perform the work, and the bidder shall furnish to the city all such information and data for this purpose as the city may request. The city reserves the right to reject any bid if the evidence submitted by, or investigation of, such bidder fails to satisfy the city that such bidder is properly qualified to carry out the obligations of the contract and to complete the work contemplated therein. Conditional bids will not be accepted.

11. Addenda and Interpretations

Responses to general questions and clarifications of bids may be made at the discretion of the city. However, no interpretation of the meaning of the specifications or other pre-bid documents will be made to any bidder orally.

Every request for such interpretation should be in writing and delivered or sent by facsimile to the city purchasing agent or the buyer shown on the bid request, Duluth, Minnesota 55802, and to be given consideration must be received at least five days prior to the date fixed for the opening of bids.

12. Award of Contract - Rejection of Bids:

In determining the successful bidder, there will be considered in addition to price (per Ordinance 7050):

- A. The ability, capacity and skill of the bidder to perform the contract.

B. The character, integrity, reputation, judgement, experience and efficiency of the bidder.

C. The quality of performance of previous contract.

D. The sufficiency of the financial resources, equipment available and ability of the bidder to perform the contract.

13. Quantities:

The city reserves the right to increase or decrease the quantities of items on this bid as required. Any exception to this provision must be noted by the vendor in its bid or proposal.

14. Wages and Salaries:

A. Attention of bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and salary rates specified in the contract documents and the conditions of employment with respect to certain categories and classifications of employees for all "Public Works" type projects estimated to exceed \$2,000.

B. The rates of pay set forth under General Conditions are the minimums to be paid during the life of the contract. It is therefore the responsibility of bidders to inform themselves as to local labor conditions, such as the length of work day and work week, overtime compensations, health and welfare contributions, labor supply, and prospective changes or adjustments of rates.

15. Validity of Bids: 90

All bids shall be valid for ~~60~~ 90 days from the date of bid opening, unless an other period is noted in bid documents or if an extension is agreed upon, in writing prior to the end of the ~~60~~ 90 day period.

16. Facsimile Bids:

Facsimile bids are acceptable if: bids are received at the designated facsimile number prior to the scheduled bid opening and an original copy of the bid, identical to the "faxed" bid, is received within 48 hours of the bid opening. Facsimile bid deposits are not acceptable. The city shall endeavor to keep bids confidential, but will accept no responsibility for the confidentiality of facsimile bids. All bids or proposals returned by facsimile are understood to incorporate these general specifications.

17. Insurance:

All vendors doing work on city property, except vendors making routine deliveries, shall submit an insurance certificate indicating insurance coverage as per current city requirements.

18. Website:

ci.duluth.mn.us/city/service/purchasing/index.htm

THE AMERICAN INSTITUTE OF ARCHITECTS



AIA Document A310

Bid Bond

Bond No.

KNOW ALL MEN BY THESE PRESENTS, that we _____
(Here insert full name and address or legal title of Contractor)

as Principal, hereinafter called the Principal, and _____
(Here insert full name and address or legal title of Surety)

a corporation duly organized under the laws of the State of _____
as Surety, hereinafter called the Surety, are held and firmly bound unto
(Here insert full name and address or legal title of Owner)

as Obligee, hereinafter called Obligee, in the sum of _____
Dollars (\$ _____).

For the payment of which sum well and truly to be made, the said Principal and the said Surety, bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS, the Principal has submitted a bid for Project No.: _____
(Here insert full name, address, and description of project)

NOW, THEREFORE, if the Obligee shall accept the bid of the Principal and the Principal shall enter into a Contract with the Obligee in accordance with the terms of such bid, and give such bond or bonds as may be specified in the bidding or Contract Documents with good and sufficient surety for the faithful performance of such Contract and for the prompt payment of labor and material furnished in the prosecution thereof, or in the event of the failure of the Principal to enter such Contract and give such bond or bonds, if the Principal shall pay to the Obligee the difference not to exceed the penalty hereof between the amount specified in said bid and such larger amount for which the Obligee may in good faith contract with another party to perform the Work covered by said bid, then this obligation shall be null and void, otherwise to remain in full force and effect.

Signed and sealed this _____ day of _____, 20__.

Witness lines and signature blocks for Principal, Surety, and their respective titles.

CONTRACT

"CONTRACTOR NAME"

VERTICAL PIVOT GATE AND FENCE REPLACEMENT

"Duluth International Airport Project Name"

FAA AIP No. 3-27-0025-10-15

Mn/DOT Project No. 6901A-40

THIS CONTRACT is made and is in effect as of this ____ day of _____, 2015, by and between the Duluth Airport Authority, (the "OWNER") and "_____", (the "CONTRACTOR").

THE PARTIES AGREE AS FOLLOWS: The Contractor, for and in consideration of the mutual promises contained herein, and the payment to Contractor of an amount not to exceed _____

"CONTRACT AMOUNT IN WORDS" \$ _____ "CONTRACT AMOUNT IN NUMBERS"

based on the Contractor's bid, dated June 9, 2015, which is hereby made a part of this Contract and appended hereto as Exhibit A, agrees to competently perform the various items of work and construct the projects therein indicated at Duluth International Airport (the "Airport") in accordance with the "Vertical Pivot Gate and Fence Replacement Contract Documents and Specifications hereinafter referred to as Exhibit B dated

_____, "DATE OF DOCUMENTS"

Said Exhibit B is hereby made a part of and basis of this Contract, and a true copy of said Exhibit B is now on file in the office of the Owner.

In the event of a conflict between any of the terms and conditions of this Contract and the Exhibits, such terms and conditions shall be deemed to be controlling in this order:

- (1) This Contract,
- (2) then Exhibit B,
- (3) then Exhibit A.

The parties further agree as follows:

1. That in consideration of the foregoing, the Owner hereby agrees to pay to the Contractor, promptly and according to the requirements of this Contract, the amount set forth above subject to the conditions as set forth in this Contract.
2. That it is understood that the parties named herein are the only persons interested in this Contract as principals. The parties do not intend to create any third party beneficiaries to this Contract. No employee or agent of Contractor shall be an employee or agent of Owner for any purpose.
3. That the Contractor has examined the site of the proposed work, plans and specifications, special provisions, contract documents, and all addenda in order that the Contractor might become familiar with the character, quality, and quantity of the work to be performed, the materials to be furnished and the requirements of the specifications, special provisions and contract documents.
4. That the Contractor certifies to be in compliance with all Human Rights, Affirmative Action and Equal Opportunity Requirements of state, federal, or local laws, all applicable drug and alcohol regulations, including the DAA drug and alcohol policy, and all other laws, rules, and regulations as are included in this Contract or are otherwise applicable to Contractor. Violation of any of these rules is grounds to void this contract.
5. That in the event any surety upon any bond furnished in connection with this Contract becomes unacceptable to the Owner, or if any such surety shall fail to furnish reports as to its financial condition from time to time as requested by the Owner, the Contractor agrees to furnish promptly such additional surety as may be required from time to time to protect the interests of the Owner or of persons supplying labor or materials in the prosecution of the work contemplated by this Contract.

6. That the Contractor shall not commence any work to be performed under this Contract until the Contractor has obtained from responsible insurance companies all insurance required as set forth in the provision entitled "Insurance and Indemnification Requirements" found in Part 5 - Supplementary General Conditions as contained in Exhibit B. The Owner and the City of Duluth, (the "City") shall be named as additional insureds on Contractor's Certificate of Insurance specific to Public Liability and Automobile Liability coverage. The Contractor shall maintain this insurance in full force and effect until the work to be performed under this Contract has been accepted by the Owner. Further, the Contractor shall indemnify the Owner and the City as set forth in said "Insurance and Indemnification Requirements" found in Part 5- Supplemental General Conditions contained in Exhibit B.
7. That should it become necessary to change any feature of the project from the terms and conditions set forth herein, this shall be done by written and dated supplemental agreement (change order). The Contractor shall not start working on any work requiring a supplemental agreement until the written agreement setting forth the adjusted prices shall be dated and executed by the Owner and the Contractor.
8. That the Contractor at all times shall observe and comply with all Federal, State, Territory or Possessions, and local laws, codes, ordinances, and regulations in any manner affecting the conduct of the work, including MSA 471.425 on prompt payment to subcontractors as set forth in Exhibit B, and 49 CFR Part 1520, Protection of Sensitive Security Information.
9. That it is further understood and agreed by the parties to this Contract that the work specified herein shall be commenced in accordance with Exhibit B. The time of commencing and completion of said work is the essence of this Contract and the Contractor shall complete all work in accordance with Exhibit B. Liquidated damages shall be assessed as listed in the Contract

Documents and Specifications: General Provisions, 80-08 Failure to Complete Work on Time on page GP-38-39 (\$3,000.00 per Calendar Day).

10. The books, records, documents and accounting procedures and practices of the Contractor as they relate to this Contract are subject to examination of the Owner, the City, and either the Legislative Auditor or the State Auditor, as appropriate, for a period of six (6) years following termination or expiration of this Contract.

The Federal Government, including the Comptroller General of the United States, has the right to examine or audit relevant financial records regarding this Contract for a period not to exceed six (6) years after expiration of the term of this Contract. Contractor shall maintain an established accounting system that complies with generally accepted accounting principles. Records related to disputes arising out of this Contract shall be maintained and made available until such disputes have been resolved. As used in this provision, "records" includes books, documents, accounting procedures and practices, and other data, regardless of type and regardless of whether such items are in written form, in the form of computer data, or in any other form.

The Contractor shall maintain all records and other evidence sufficient to reflect costs claimed to have been incurred or anticipated to be incurred directly or indirectly in performance of this Contract. The Transportation Security Administration Contracting Officer "TSA CO" or the authorized representative of the TSA CO shall have the right to examine and audit those records at any time, or from time to time. The right of examination shall include inspection at all reasonable times at the offices of the Contractor.

11. Kraus-Anderson Construction Company as the Construction Manager and Reynolds Smith and Hills, Inc. as the architect/engineer, will provide administration of this Contract and will be the Owner's representatives for purposes of this Contract; provided, however, that the Owner's Executive Director (the

“Executive Director”) will be the Owner’s representative for purposes of Paragraph 13.

12. The Contractor shall not contract with a proposed person or entity to whom the Owner reasonably objects.
13. In addition to the events of default set forth in Paragraph a through l in Section 80-09 of Exhibit B, it shall be deemed to be an event of default by the Contractor if the Contractor fails to observe or perform any of the terms, provisions, conditions, covenants or agreements required to be observed or performed under this Contract or so fails to administer the work as to endanger the performance of this Contract.

The Executive Director shall have the discretion to implement one or more of the following remedies in the event of a default:

- a. Terminate this Agreement immediately upon written notice.
- b. Provide Contractor with written notice of default setting forth a time period within which to cure the default, and if such default is not cured to the satisfaction of the Executive Director within said time period, the Executive Director may immediately terminate this Contract.
- c. Take the prosecution of the work out of the hands of the Contractor or surety, appropriate or use any or all materials and equipment that have been mobilized for use in the work and are acceptable, enter into an agreement(s) for the completion of said Contract according to the terms and provisions hereof, and/or use such other methods as in the opinion of the Executive Director will be required for the completion of said Contract in an acceptable manner. All costs and charges incurred by the Owner, together with the cost of completing the work under Contract, will be deducted from any monies due or which may become due the Contractor. If such expense exceeds the sum which would have been payable under the Contract, then the Contractor and the surety shall be liable and shall pay to the Owner the

amount of such excess.

- d. Seek and be entitled to injunctive or declaratory relief to prevent violation of the terms and conditions of this Contract or compel Contractor's performance of its obligations hereunder.
- e. Seek such other legal or equitable relief as a court of competent jurisdiction may determine is available to Owner.

The remedies provided under this Contract shall be deemed to be cumulative and non-exclusive and the election of one remedy shall not be deemed to be the waiver of any other remedy with regard to any event of default under this Contract.

- 14. Any waiver by any party of any provision of this Contract shall not imply a subsequent waiver of that or any other provision.
- 15. This Contract is made in the State of Minnesota and shall be construed and interpreted in accordance with the laws of the State of Minnesota. The appropriate venue and jurisdiction for any litigation hereunder shall be in a court located in St. Louis County, Minnesota. However, litigation in the federal courts involving the parties shall be in the appropriate federal court within the State of Minnesota.
- 16. Notice to the Owner or the Contractor provided for herein shall be sufficient if sent by the regular United States mail, postage prepaid, addressed to the Owner as follows: Duluth Airport Authority, 4701 Grinden Dr., Duluth, MN 55811 and addressed to the Contractor as follows: _____

"NAME AND COMPLETE ADDRESS OF CONTRACTOR" or to such other respective persons or addresses as the parties may designate to each other in writing from time to time.

- 17. This Contract, including all exhibits and addenda, constitutes the entire Contract between the Owner and the Contractor and supersedes all prior written oral agreements and negotiations between the parties relating to the subject matter hereto.

18. The Contractor represents to the Owner that the officers of the Contractor who executed this Contract on its behalf are fully authorized to do so, and that this Contract when thus executed by said officers of the Contractor on its behalf shall constitute and be the binding obligation and agreement of the Contractor in accordance with the terms and conditions hereof.

The parties hereto have duly executed this Contract for the purpose herein expressed this _____ day of _____, 2015.

DULUTH AIRPORT AUTHORITY

"NAME OF CONTRACTOR"

By _____
Michael G. Lundstrom
President

By _____
NAME: _____
TITLE: _____

By _____
Patrick K. Mullen
Secretary

By _____
NAME: _____
TITLE: _____

Approved as to form:

Joan Christensen
Assistant City Attorney



DULUTH AIRPORT AUTHORITY

PAYMENT BOND

KNOW ALL MEN BY THESE PRESENTS: That we:

_____ (contractor's name)

(hereinafter called the "Contractor") located at: _____

_____ (contractor's address)

and _____ (surety's name)

(a corporation holding a certificate of the Insurance Commissioner of the State of Minnesota showing that it is authorized to contract as a surety, hereinafter called the "Surety") located at:

_____ (surety's address)

are held and firmly bound unto the Duluth Airport Authority (hereinafter called the "Owner"), for the benefit of persons furnishing labor and materials for the contract set forth below, in the penal sum of _____ Dollars (\$_____) for the payment of which we bind ourselves, our heirs, executors and administrators, successors and assigns, for the payment of all labor and materials supplied by any person in the performance of a written contract for the purpose of:

_____ according to plans, profiles, and specifications thereto annexed. A copy of that contract is incorporated herein by reference and is made a part hereof as if fully copied herein.

NOW, THEREFORE, THE CONDITIONS OF THIS OBLIGATION ARE SUCH That,

- A) If the Contractor shall make payments, as they may become due, to all persons supplying "labor and materials," as defined in Minnesota Statutes Section 574.26, used directly or indirectly by the Contractor, or his Subcontractor, in the prosecution of the work provided for in the contract,
- B) If the Contractor shall indemnify the owner or other claimant for all costs that may accrue on account of the enforcing of the terms of the bond, if action is brought on the bond, including reasonable attorney's fees, in any case where such action is successfully maintained,

Then, this obligation shall be void; otherwise it shall remain in full force and effect.

And, the said Contractor and Surety agree that in accordance with Minnesota Statutes Section 574.26 not only said Duluth Airport Authority, but any person furnishing "labor and materials," as defined in Minnesota Statutes 574.26, may sue on this bond for their use on account of any sums due them for anything so furnished.

The Contractor and the Surety do hereby expressly waive any objection that might be interposed as to the right of the Owner to require a bond containing the foregoing provisions, and they do hereby further expressly waive any defense which they or either and any of them might interpose to an action brought hereon by any person, firm, or corporation, including subcontractors, materialmen and third persons, for work, labor, services, supplies or material performed, rendered or furnished as aforesaid, upon the ground that there is no law authorizing the Owner to require the foregoing provisions to be placed in this bond.

And the Surety, for value received, hereby stipulates and agrees that the obligations of the Surety and this bond shall in no way be impaired or affected by any extension of time, modification, omission, addition or change in or to the contract or the work to be performed thereunder, or by any payment thereunder before the time required therein, or by any waiver of any provision thereof, or by any assignment, subletting or other transfer thereof, or of any part thereof, or of any work to be performed, or of any moneys due or to become due thereunder; and the said Surety does hereby waive notice of any and all such extensions, modifications, omissions, additions, changes, payments, waivers, assignments, subcontracts and transfers, and hereby stipulates and agrees that any and all things done and omitted to be done by and in relation to executors, administrators, successors, assignees, subcontractors and other transferees, shall have the same effect as to said Surety as though done or omitted to be done by and in relation to the Contractor.

Signed this _____ day of _____, 20____.

Name of Principal

By

Name of Surety

By _____
Attorney-in-Fact

ACKNOWLEDGEMENTS

State of Minnesota)) ss. Principal – Individual
County of St. Louis)

This instrument was acknowledged before me on _____
by _____.

Notary Seal

Notary Public

State of Minnesota)) ss. Principal – Corporate or Partnership
County of St. Louis)

This instrument was acknowledged before me on _____
by _____ as _____
of _____.

Notary Seal

Notary Public

State of Minnesota)) ss. Surety
County of St. Louis)

Be It Known, That on this _____ day of _____ A. D., 20____, came before me personally
_____, to me personally known, who being
by me duly sworn, did say that he/she is the _____ (title)
of _____

the above named corporation which executed the foregoing bond as surety; that the seal affixed to the foregoing
instrument is the corporate seal of said corporation; that said instrument was executed in behalf of said corporation, by
authority of its Board of Directors; that said corporation hold a certificate of the Insurance Commissioner of the State
of Minnesota showing that it is authorized to contract as a surety; and said _____
acknowledged said instrument to be the free act and deed of said corporation.

Notary Seal

Notary Public

APPROVED AS TO FORM, CORRECTNESS AND VALIDTY HEREOF

Dated this _____ day of _____, 20 ____ Dated this _____ day of _____, 20 ____

Finance Director Duluth MN

Assistant City Attorney, Duluth MN



DULUTH AIRPORT AUTHORITY

PERFORMANCE BOND

KNOW ALL MEN BY THESE PRESENTS: That we:

_____ (contractor's name)

(hereinafter called the "Contractor") located at: _____

_____ (contractor's address)

and _____

(surety's name)

(a corporation holding a certificate of the Insurance Commissioner of the State of Minnesota showing that it is authorized to contract as a surety, hereinafter called the "Surety") located at:

_____ (surety's address)

are held and firmly bound unto the Duluth Airport Authority (hereinafter called the "Owner"), in the penal sum of _____ Dollars (\$ _____) for the payment of which we bind ourselves, our heirs, executors and administrators, successors and assigns, for the faithful performance of a written contract for the purpose of:

_____ according to plans, profiles, and specifications thereto annexed. A copy of that contract is incorporated herein by reference and is made a part hereof as if fully copied herein.

NOW, THEREFORE, THE CONDITIONS OF THIS OBLIGATION ARE SUCH That,

- A) If the Contractor shall in all respects comply with the terms and conditions of the Contract (which includes the contract documents) and such alterations as may be made in said contract as documents therein provide for, and shall complete the contract in accordance with its terms,
- B) If the Contractor shall indemnify, defend and save harmless the owner from all costs, expenses, damages, injury or conduct, want or care or skill, negligence or default, including patent infringement on the part of the Contractor, agents or employees, in the execution or performance of the contract,
- C) If the Contractor shall indemnify the Owner for all costs that may accrue on account of the enforcing of the terms of the bond, if action is brought on the bond, including reasonable attorney's fees, in any case where such action is successfully maintained,

D) If the Contractor shall comply with all laws pertaining to doing the work under the contract,

Then, this obligation shall be void; the Contractor and Surety jointly and severally agree to pay to the Owner any difference between the sum to which the Contractor will be entitled on the completion of the contract and that which the Owner may be obliged to pay for the completion of the work by contract or otherwise, and any damages, direct or indirect, or consequential, which the Owner may sustain on account of the work, or on account of the failure of the Contractor to properly and in all things, keep and execute all of the provisions of the Contract, provided however that Surety's liability to pay damages is limited to the amount of the Performance Bond as set forth above.

And, the said Contractor and Surety hereby further bind themselves, their successors, executors, administrators and assigns, jointly and severally, that they will employ and fully protect the said Owner against and will pay any and all amounts, damages, costs and judgments which may be recovered against or which the Owner may be called upon to pay to any person or corporation by reason of any damage arising from the performance of said work, repair or maintenance thereof, or the manner of doing the same, or the neglect of the said Contractor or his agents or servants, or the improper performance of the said work by the Contractor or his agents or servants, or the infringements of any patent rights by reason of the use of any material furnished or work done, as aforesaid, or otherwise. For the purpose of this paragraph, a subcontractor shall be deemed to be the agent or employee of the Contractor to the extent of his subcontract.

The Contractor and the Sureties do hereby expressly waive any objection that might be interposed as to the right of the Owner to require a bond containing the foregoing provisions, and they do hereby further expressly waive any defense which they or either and any of them might interpose to an action brought hereon by any person, firm, or corporation, including subcontractors, materialmen and third persons, for work, labor, services, supplies or material performed, rendered or furnished as aforesaid, upon the ground that there is no law authorizing the Owner to require the foregoing provisions to be placed in this bond.

And the Surety, for value received, hereby stipulates and agrees that the obligations of the Surety and this bond shall in no way be impaired or affected by any extension of time, modification, omission, addition or change in or to the contract or the work to be performed thereunder, or by any payment thereunder before the time required therein, or by any waiver of any provision thereof, or by any assignment, subletting or other transfer thereof, or of any part thereof, or of any work to be performed, or of any moneys due or to become due thereunder; and the said Surety does hereby waive notice of any and all such extensions, modifications, omissions, additions, changes, payments, waivers, assignments, subcontracts and transfers, and hereby stipulates and agrees that any and all things done and omitted to be done by and in relation to executors, administrators, successors, assignees, subcontractors and other transferees, shall have the same effect as to said Surety as though done or omitted to be done by and in relation to the Contractor.

Signed this _____ day of _____, 20____.

Name of Principal

By

Name of Surety

By _____
Attorney-in-Fact

ACKNOWLEDGEMENTS

State of Minnesota)
) ss. Principal – Individual
County of St. Louis)

This instrument was acknowledged before me on _____
by _____.

Notary Seal

Notary Public

State of Minnesota)
) ss. Principal – Corporate or Partnership
County of St. Louis)

This instrument was acknowledged before me on _____
by _____ as _____
of _____.

Notary Seal

Notary Public

State of Minnesota)
) ss. Surety
County of St. Louis)

Be It Known, That on this _____ day of _____ A. D., 20____, came before me personally
_____, to me personally known, who being
by me duly sworn, did say that he/she is the _____ (title) of

the above named corporation which executed the foregoing bond as surety; that the seal affixed to the foregoing
instrument is the corporate seal of said corporation; that said instrument was executed in behalf of said corporation, by
authority of its Board of Directors; that said corporation hold a certificate of the Insurance Commissioner of the State
of Minnesota showing that it is authorized to contract as a surety; and said _____
acknowledged said instrument to be the free act and deed of said corporation.

Notary Seal

Notary Public

APPROVED AS TO FORM, CORRECTNESS AND VALIDTY HEREOF

Dated this _____ day of _____, 20 ____

Dated this _____ day of _____, 20 ____

Finance Director, Duluth MN

Assistant City Attorney, Duluth MN

FINAL RELEASE OF LIEN

KNOWN ALL MEN BY THESE PRESENTS, that the undersigned, for and in consideration of the payment of the sum of _____ Dollars (\$ _____), paid by **the Duluth Airport Authority** hereinafter referred to as "Owner", receipt of which is hereby acknowledged as total compensation for performance of the below-described Contract for Bid Schedule(s) _____, does hereby fully and completely discharge and release the Owner from and waives any and all debts, accounts, promises, damages, liens, encumbrances, causes of action, suits, bonds, judgments, claims and demands whatsoever, in law or in equity, which the undersigned ever had, now has or might hereafter have on account of labor performed, material furnished or services rendered, directly or indirectly, for the Contract between the parties dated _____, 20 ____, known as **Sky Harbor Airport Apron Rehabilitation Phase 2**, except for those claims, disputes and other matters arising out of or relating to said Contract which have been raised by written demand in accordance with the Contract Documents prior to this data and identified by the Contractor as unsettled in the final Application for Payment and are either in arbitration or court litigation, as the case may be, in accordance with the Contract Documents.

The undersigned further covenants that subcontractors, suppliers, and material suppliers, and any or all other persons supplying materials, supplies, service or labor used directly or indirectly in the prosecution of the work provided for in the Contract, have been paid in full for all work under this contract.

The undersigned agrees to maintain in full force and effect the provisions of the Contract Documents respecting the guaranty against defective work, and any other special guaranties required by the Contract Documents, for the terms provided in the Contract Documents, which terms shall begin to run from the date specified in the Contract Documents.

The undersigned represents and warrants that the statements contained in the foregoing Release are true and correct.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this ____ day of _____, 20____.

WITNESSES:

CONTRACTOR

By: _____

STATE OF _____

Title: _____

COUNTY OF _____

Sworn to and subscribed before me this . day of _____, 20____.

(NOTARY SEAL)

NOTARY PUBLIC
My Commission Expires:

AFFIDAVIT AND INFORMATION REQUIRED OF BIDDERS

Affidavit of Non-Collusion:

I hereby swear (or affirm) under penalty of perjury:

- 1) That I am the bidder (if the bidder is an individual), a partner in the bidder (if the bidder is a partnership), or an officer or employee of the bidding corporation having authority to sign on its behalf (if the bidder is a corporation);
- 2) That the attached bid or bids have been arrived at by the bidder independently and have been submitted without collusion with and without agreement, understanding, or planned common course of action with any other vendor or materials, supplied, equipment or services described in the invitation to bid, designed to limit independent bidding or competition;
- 3) That the contents of the bid or bids have not been communicated by the bidder or its employees or agents to any person not an employee or agent of the bidder or its surety on any bond furnished with the bid or bids and will not be communicated to any such person prior to the official opening of the bid or bids; and
- 4) That I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed: _____

Firm Name: _____

Subscribed and sworn to me before this ____ day of _____, _____

NOTARY PUBLIC _____

My commission expires: _____

Bidder's E.I. Number _____

(Number used on employer's quarterly Federal Tax return)

DATA FOR LABOR COST BIDDING

Project No.: 03-27-0025-10-15

SKY HARBOR AIRPORT VERTICAL PIVOT GATE AND FENCE REPLACEMENT

This **project is funded** by (bold/underline those which apply):

City of Duluth

Federal Government

HUD/CDBG - see Section 10 of Supplementary
General Conditions, Part II

State of Minnesota

The **base workweek** may be (bold/underline those which apply):

Five 8-hour days

or

Four 10-hour days

Each certified payroll must indicate the base workweek on the accompanying Statement of Compliance form.

OVERTIME REQUIREMENTS:

For City, State, and Federal funded projects, overtime must be paid on daily hours worked in excess of the base daily hours. Contractors (including sub-contractors) are not allowed to pay overtime solely on hours in excess of forty per week.

HUD projects, however, do allow payment of overtime after forty hours per week—this is the only exception.

WAGE RATES

When both State of Minnesota and Federal Government (general decision) wage rates are included in a contract, the higher of the two rates for any classification must be paid.

State of Minnesota prevailing wages typically list two rates for each classification with two effective dates. Should any City of Duluth contract continue to and past the second effective date, that rate and fringe benefit will be in effect through the remainder of the project.

March 16, 1998

PREVAILING WAGE STATEMENT

A recent unpublished decision of the Minnesota Court of Appeals affirms the authority of the Minnesota Commissioner of Transportation to enforce the Minnesota Prevailing Wage Law on State Highway projects on a case-by-case basis. International Union of Operations Engineers, Local 49 vs. Minnesota Department of Transportation, et. Al., Court of Appeals Case No. C6-97-1582, also see Minnesota Statutes §§177.43 and 177.44 (1996).

The Department of Transportation will enforce the Minnesota Prevailing Wage Law in a manner consistent with the Court of Appeals decision notwithstanding any prior notices on this subject. A copy of the Court of Appeals decision is available to anyone who is interested in reviewing it. Please call Charles Groshens, Labor Compliance Unit at (651) 297-5716 to receive a copy.

June 26, 2001

PREVAILING WAGE STATEMENT II

On June 18, 2001, the Minnesota Department of Labor & Industry (MnL&I) published, in the State Register, a notice of modification and adoption of the rules as published in State Register, Volume 25, Number 14, Pages 772-778, October 2, 2000 (25 SR 772). The rules were promulgated under Minnesota Administrative Procedures Act, Minnesota Statutes Chapter 14, and affect all projects funded in whole or part with state monies that are advertised for bid 5 working days after the publication date.

The rules give guidance on the application of the State Prevailing Wage Statute, Minnesota Statutes §177.41 to 177.44, as it applies to contractors' laborers and mechanics working at off-site facilities, truck drivers performing hauling activities for state funded projects, and the calculation and application of truck rental rates.

The truck rental rates, when certified by the MnL&I, will take effect on state funded projects advertised after the rates are published in the State Register. Mn/DOT will incorporate the truck rental rates into the appropriate contracts when published after they have been published in the State Register.

Copies of the rules can be received by contacting the MnL&I, Labor Standards, Erik Oelker at (651) 296-6452 or Mn/DOT Labor Compliance Office, Charles Groshens, at (651) 297-5716.

Reference:

5200.1105 Rental Rates for Trucks on Public Works Highway Projects
www.revisor.leg.state.mn.us/arule/5200/1105.html

5200.1106 Coverage of Prevailing Wage Law Under Minnesota Statutes 177.41-177.44
www.revisor.leg.state.mn.us/arule/5200/1106.html

NOTICE TO BIDDERS

Minnesota Statutes that require prompt payment to subcontractors:

471.425 Prompt payment of local government bills.

Subd. 1. Definitions. For the purposes of this section, the following terms have the meanings here given them.

(d) "Municipality" means any home rule charter or statutory city, county, town, school district, political subdivision or agency of local government. "Municipality" means the metropolitan council or any board or agency created under chapter 473.

Subd. 4a. Prompt payment to subcontractors.

Each contract of a municipality must require the prime contractor to pay any subcontractor within ten days of the prime contractor's receipt of payment from the municipality for undisputed services provided by the subcontractor. The contract must require the prime contractor to pay interest of 1-1/2 percent per month or any part of a month to the subcontractor on any undisputed amount not paid on time to the subcontractor. The minimum monthly interest penalty payment for an unpaid balance of \$100 or more is \$10. For an unpaid balance of less than \$100, the prime contractor shall pay the actual penalty due to the subcontractor. A subcontractor who prevails in a civil action to collect interest penalties from a prime contractor must be awarded its costs and disbursements, including attorney's fees, incurred in bringing the action.

HIST: 1985 c 136 s 5; 1995 c 31 s 1

ATTACHMENT A

RESPONSIBLE CONTRACTOR VERIFICATION AND CERTIFICATION OF COMPLIANCE

PROJECT TITLE: _____

<p>Minn. Stat. § 16C.285, Subd. 7. IMPLEMENTATION. ... any prime contractor or subcontractor that does not meet the minimum criteria in subdivision 3 or fails to verify that it meets those criteria is not a responsible contractor and is not eligible to be awarded a construction contract for the project or to perform work on the project...</p>	
<p>Minn. Stat. § 16C.285, Subd. 3. RESPONSIBLE CONTRACTOR, MINIMUM CRITERIA. "Responsible contractor" means a contractor that conforms to the responsibility requirements in the solicitation document for its portion of the work on the project and verifies that it meets the following minimum criteria:</p>	
(1)	<p>The Contractor:</p> <ul style="list-style-type: none">(i) is in compliance with workers' compensation and unemployment insurance requirements;(ii) is currently registered with the Department of Revenue and the Department of Employment and Economic Development if it has employees;(iii) has a valid federal tax identification number or a valid Social Security number if an individual; and(iv) has filed a certificate of authority to transact business in Minnesota with the Secretary of State if a foreign corporation or cooperative.
(2)	<p>The contractor or related entity is in compliance with and, during the three-year period before submitting the verification, has not violated section 177.24, 177.25, 177.41 to 177.44, 181.13, 181.14, or 181.722, and has not violated United States Code, title 29, sections 201 to 219, or United States Code, title 40, sections 3141 to 3148. For purposes of this clause, a violation occurs when a contractor or related entity:</p> <ul style="list-style-type: none">(i) repeatedly fails to pay statutorily required wages or penalties on one or more separate projects for a total underpayment of \$25,000 or more within the three-year period;(ii) has been issued an order to comply by the commissioner of Labor and Industry that has become final;(iii) has been issued at least two determination letters within the three-year period by the Department of Transportation finding an underpayment by the contractor or related entity to its own employees;(iv) has been found by the commissioner of Labor and Industry to have repeatedly or willfully violated any of the sections referenced in this clause pursuant to section 177.27;(v) has been issued a ruling or findings of underpayment by the administrator of the Wage and Hour Division of the United States Department of Labor that have become final or have been upheld by an administrative law judge or the Administrative Review Board; or(vi) has been found liable for underpayment of wages or penalties or misrepresenting a construction worker as an independent contractor in an action brought in a court having jurisdiction. Provided that, if the contractor or related entity contests a determination of underpayment by the Department of Transportation in a contested case proceeding, a violation does not occur until the contested case proceeding has concluded with a determination that the contractor or related entity underpaid wages or penalties;*

(3)	The contractor or related entity is in compliance with and, during the three-year period before submitting the verification, has not violated section 181.723 or chapter 326B. For purposes of this clause, a violation occurs when a contractor or related entity has been issued a final administrative or licensing order;*
(4)	The contractor or related entity has not, more than twice during the three-year period before submitting the verification, had a certificate of compliance under section 363A.36 revoked or suspended based on the provisions of section 363A.36, with the revocation or suspension becoming final because it was upheld by the Office of Administrative Hearings or was not appealed to the office;*
(5)	The contractor or related entity has not received a final determination assessing a monetary sanction from the Department of Administration or Transportation for failure to meet targeted group business, disadvantaged business enterprise, or veteran-owned business goals, due to a lack of good faith effort, more than once during the three-year period before submitting the verification;*
	* Any violations, suspensions, revocations, or sanctions, as defined in clauses (2) to (5), occurring prior to July 1, 2014, shall not be considered in determining whether a contractor or related entity meets the minimum criteria.
(6)	The contractor or related entity is not currently suspended or debarred by the federal government or the state of Minnesota or any of its departments, commissions, agencies, or political subdivisions; and
(7)	All subcontractors that the contractor intends to use to perform project work have verified to the contractor through a signed statement under oath by an owner or officer that they meet the minimum criteria listed in clauses (1) to (6).

Minn. Stat. § 16C.285, Subd. 5. **SUBCONTRACTOR VERIFICATION.**

A prime contractor or subcontractor shall include in its verification of compliance under subdivision 4 a list of all of its first-tier subcontractors that it intends to retain for work on the project.

If a prime contractor or any subcontractor retains additional subcontractors on the project after submitting its verification of compliance, the prime contractor or subcontractor shall obtain verifications of compliance from each additional subcontractor with which it has a direct contractual relationship and shall submit a supplemental verification confirming compliance with subdivision 3, clause (7), within 14 days of retaining the additional subcontractors.

A prime contractor shall submit to the contracting authority upon request copies of the signed verifications of compliance from all subcontractors of any tier pursuant to subdivision 3, clause (7). A prime contractor and subcontractors shall not be responsible for the false statements of any subcontractor with which they do not have a direct contractual relationship. A prime contractor and subcontractors shall be responsible for false statements by their first-tier subcontractors with which they have a direct contractual relationship only if they accept the verification of compliance with actual knowledge that it contains a false statement.

Minn. Stat. § 16C.285, Subd. 4. **VERIFICATION OF COMPLIANCE.**

A contractor responding to a solicitation document of a contracting authority shall submit to the contracting authority a signed statement under oath by an owner or officer verifying compliance with each of the minimum criteria in subdivision 3 at the time that it responds to the solicitation document.

A contracting authority may accept a sworn statement as sufficient to demonstrate that a contractor is a responsible contractor and shall not be held liable for awarding a contract in reasonable reliance on that statement. Failure to verify compliance with any one of the minimum criteria or a false statement under oath in a verification of compliance shall render the prime contractor or subcontractor that makes the false statement ineligible to be awarded a construction contract on the project for which the verification was submitted.

A false statement under oath verifying compliance with any of the minimum criteria may result in termination of a construction contract that has already been awarded to a prime contractor or subcontractor that submits a false statement. A contracting authority shall not be liable for declining to award a contract or terminating a contract based on a reasonable determination that the contractor failed to verify compliance with the minimum criteria or falsely stated that it meets the minimum criteria.

CERTIFICATION

By signing this document I certify that I am an owner or officer of the company, and I swear under oath that:

- 1) My company meets each of the Minimum Criteria to be a responsible contractor as defined herein and is in compliance with Minn. Stat. § 16C.285,**
- 2) I have included Attachment A-1 with my company's solicitation response, and**
- 3) if my company is awarded a contract, I will also submit Attachment A-2 as required.**

Authorized Signature of Owner or Officer:

Printed Name:

Title:

Date:

Company Name:

NOTE: Minn. Stat. § 16C.285, Subd. 2, (c) If only one prime contractor responds to a solicitation document, a contracting authority may award a construction contract to the responding prime contractor even if the minimum criteria in subdivision 3 are not met.

ATTACHMENT A-1

FIRST-TIER SUBCONTRACTORS LIST

SUBMIT WITH PRIME CONTRACTOR RESPONSE

PROJECT TITLE: _____

Minn. Stat. § 16C.285, Subd. 5. A prime contractor or subcontractor shall include in its verification of compliance under subdivision 4 a list of all of its first-tier subcontractors that it intends to retain for work on the project. ...

FIRST TIER SUBCONTRACTOR NAMES (Legal name of company as registered with the Secretary of State)	Name of city where company home office is located

ATTACHMENT A-2

ADDITIONAL SUBCONTRACTORS LIST

PRIME CONTRACTOR TO SUBMIT AS SUBCONTRACTORS ARE ADDED TO THE PROJECT

PROJECT TITLE: _____

This form must be submitted to the Project Manager or individual as identified in the solicitation document.

Minn. Stat. § 16C.285, Subd. 5. ... If a prime contractor or any subcontractor retains additional subcontractors on the project after submitting its verification of compliance, the prime contractor or subcontractor shall obtain verifications of compliance from each additional subcontractor with which it has a direct contractual relationship and shall submit a supplemental verification confirming compliance with subdivision 3, clause (7), within 14 days of retaining the additional subcontractors. ...

ADDITIONAL SUBCONTRACTOR NAMES (Legal name of company as registered with the Secretary of State)	Name of city where company home office is located

ADDITIONAL SUBCONTRACTOR NAMES (Legal name of company as registered with the Secretary of State)	Name of city where company home office is located

SUPPLEMENTAL CERTIFICATION FOR ATTACHMENT A-2	
<p>By signing this document I certify that I am an owner or officer of the company, and I swear under oath that:</p> <p>All additional subcontractors listed on Attachment A-2 have verified through a signed statement under oath by an owner or officer that they meet the minimum criteria to be a responsible contractor as defined in Minn. Stat. § 16C.285.</p>	
Authorized Signature of Owner or Officer:	Printed Name:
Title:	Date:
Company Name:	

**MINNESOTA DEPARTMENT OF LABOR AND INDUSTRY PREVAILING WAGES FOR STATE
FUNDED CONSTRUCTION PROJECTS**



THIS NOTICE MUST BE POSTED ON THE JOBSITE IN A CONSPICUOUS PLACE

Construction Type: Highway and Heavy

Region Number: 01

Counties within region:

- CARLTON-09
- COOK-16
- ITASCA-31
- KOOCHICHING-36
- LAKE-38
- PINE-58
- ST. LOUIS-69

Effective: 2014-10-20 Revised: 2015-04-20

This project is covered by Minnesota prevailing wage statutes. Wage rates listed below are the minimum hourly rates to be paid on this project.

All hours worked in excess of eight (8) hours per day or forty (40) hours per week shall be paid at a rate of one and one half (1 1/2) times the basic hourly rate.

Violations should be reported to:

Department of Transportation
Office of Construction
Transportation Building MS650
John Ireland Blvd
St. Paul, MN 55155
(651) 366-4209

Refer questions concerning the prevailing wage rates to:

Department of Labor and Industry
Prevailing Wage Section
443 Lafayette Road N
St Paul, MN 55155
(651) 284-5091
DLI.PrevWage@state.mn.us

LABOR CODE AND CLASS

	EFFECT DATE	BASIC RATE	FRINGE RATE	TOTAL RATE
<i>LABORERS (101 - 112) (SPECIAL CRAFTS 701 - 730)</i>				
101 LABORER, COMMON (GENERAL LABOR WORK)	2014-10-20	26.97	16.21	43.18
	2015-05-01	28.10	16.58	44.68
102 LABORER, SKILLED (ASSISTING SKILLED CRAFT JOURNEYMAN)	2014-10-20	26.97	16.21	43.18
	2015-05-01	28.10	16.58	44.68
103 LABORER, LANDSCAPING (GARDENER, SOD LAYER AND NURSERY OPERATOR)	2014-10-20	18.75	13.24	31.99
	2015-05-01	19.96	13.59	33.55
104 FLAG PERSON	2014-10-20	26.97	16.21	43.18
	2015-05-01	28.10	16.58	44.68
105 WATCH PERSON	2014-10-20	23.42	15.96	39.38
	2015-05-01	24.55	16.33	40.88
106 BLASTER	2014-10-20	28.89	15.33	44.22
107 PIPELAYER (WATER, SEWER AND GAS)	2014-10-20	29.47	16.21	45.68
	2015-05-01	30.60	16.58	47.18
108 TUNNEL MINER	2014-10-20	27.67	16.21	43.88
	2015-05-01	28.80	16.58	45.38
109 UNDERGROUND AND OPEN DITCH LABORER (EIGHT FEET BELOW STARTING GRADE LEVEL)	2014-10-20	27.67	16.21	43.88
	2015-05-01	28.80	16.58	45.38
110 SURVEY FIELD TECHNICIAN (OPERATE TOTAL STATION, GPS RECEIVER, LEVEL, ROD OR RANGE POLES, STEEL TAPE MEASUREMENT; MARK AND DRIVE STAKES; HAND OR POWER DIGGING FOR AND	2014-10-20	26.97	16.21	43.18

IDENTIFICATION OF MARKERS OR MONUMENTS;
 PERFORM AND CHECK CALCULATIONS; REVIEW AND
 UNDERSTAND CONSTRUCTION PLANS AND LAND
 SURVEY MATERIALS). THIS CLASSIFICATION DOES
 NOT APPLY TO THE WORK PERFORMED ON A
 PREVAILING WAGE PROJECT BY A LAND SURVEYOR
 WHO IS LICENSED PURSUANT TO MINNESOTA
 STATUTES, SECTIONS 326.02 TO 326.15.

2015-05-01 28.10 16.58 44.68

111 TRAFFIC CONTROL PERSON (TEMPORARY SIGNAGE) 2014-10-20 26.97 16.21 43.18

2015-05-01 28.10 16.58 44.68

112 QUALITY CONTROL TESTER (FIELD AND COVERED
 OFF-SITE FACILITIES; TESTING OF AGGREGATE,
 ASPHALT, AND CONCRETE MATERIALS); LIMITED TO
 MN DOT HIGHWAY AND HEAVY CONSTRUCTION
 PROJECTS WHERE THE MN DOT HAS RETAINED
 QUALITY ASSURANCE PROFESSIONALS TO REVIEW
 AND INTERPRET THE RESULTS OF QUALITY
 CONTROL TESTERS. SERVICES PROVIDED BY THE
 CONTRACTOR. 2014-10-20 21.40 13.51 34.91

SPECIAL EQUIPMENT (201 - 204)

201 ARTICULATED HAULER 2014-10-20 32.07 17.20 49.27

2015-05-01 32.93 17.90 50.83

202 BOOM TRUCK 2014-10-20 32.07 17.20 49.27

2015-05-01 32.93 17.90 50.83

203 LANDSCAPING EQUIPMENT, INCLUDES HYDRO
 SEEDER OR MULCHER, SOD ROLLER, FARM TRACTOR
 WITH ATTACHMENT SPECIFICALLY SEEDING,
 SODDING, OR PLANT, AND TWO-FRAMED FORKLIFT
 (EXCLUDING FRONT, POSIT-TRACK, AND SKID STEER
 LOADERS), NO EARTHWORK OR GRADING FOR
 ELEVATIONS 2014-10-20 18.75 13.24 31.99

2015-05-01 19.96 13.59 33.55

204 OFF-ROAD TRUCK 2014-10-20 31.37 16.70 48.07

205	PAVEMENT MARKING OR MARKING REMOVAL EQUIPMENT (ONE OR TWO PERSON OPERATORS); SELF-PROPELLED TRUCK OR TRAILER MOUNTED UNITS.	2014-10-20	28.36	16.36	44.72
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HIGHWAY/HEAVY POWER EQUIPMENT OPERATOR

GROUP 2		2014-10-20	32.92	17.20	50.12
		2015-05-01	33.78	17.90	51.68

302	HELICOPTER PILOT (HIGHWAY AND HEAVY ONLY)				
303	CONCRETE PUMP (HIGHWAY AND HEAVY ONLY)				
304	ALL CRANES WITH OVER 135-FOOT BOOM, EXCLUDING JIB (HIGHWAY AND HEAVY ONLY)				
305	DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR OTHER SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS THREE CUBIC YARDS AND OVER MANUFACTURER.S RATED CAPACITY INCLUDING ALL ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)				
306	GRADER OR MOTOR PATROL				
307	PILE DRIVING (HIGHWAY AND HEAVY ONLY)				
308	TUGBOAT 100 H.P. AND OVER WHEN LICENSE REQUIRED (HIGHWAY AND HEAVY ONLY)				

GROUP 3		2014-10-20	32.37	17.20	49.57
		2015-05-01	33.23	17.90	51.13

309	ASPHALT BITUMINOUS STABILIZER PLANT				
310	CABLEWAY				
311	CONCRETE MIXER, STATIONARY PLANT (HIGHWAY AND HEAVY ONLY)				
312	DERRICK (GUY OR STIFFLEG)(POWER)(SKIDS OR STATIONARY) (HIGHWAY AND HEAVY ONLY)				
313	DRAGLINE, CRAWLER, HYDRAULIC BACKHOE (TRACK OR WHEEL MOUNTED) AND/OR SIMILAR EQUIPMENT WITH SHOVEL-TYPE CONTROLS, UP TO THREE CUBIC YARDS MANUFACTURER.S RATED CAPACITY INCLUDING ALL ATTACHMENTS (HIGHWAY AND HEAVY ONLY)				
314	DREDGE OR ENGINEERS, DREDGE (POWER) AND ENGINEER				
315	FRONT END LOADER, FIVE CUBIC YARDS AND OVER INCLUDING ATTACHMENTS. (HIGHWAY AND HEAVY ONLY)				
316	LOCOMOTIVE CRANE OPERATOR				
317	MIXER (PAVING) CONCRETE PAVING, ROAD MOLE, INCLUDING MUCKING OPERATIONS, CONWAY OR SIMILAR TYPE				
318	MECHANIC . WELDER ON POWER EQUIPMENT (HIGHWAY AND HEAVY ONLY)				

319	TRACTOR . BOOM TYPE (HIGHWAY AND HEAVY ONLY)				
320	TANDEM SCRAPER				
321	TRUCK CRANE . CRAWLER CRANE (HIGHWAY AND HEAVY ONLY)				
322	TUGBOAT 100 H.P AND OVER (HIGHWAY AND HEAVY ONLY)				
GROUP 4		2014-10-20	32.07	17.20	49.27
		2015-05-01	32.93	17.90	50.83
323	AIR TRACK ROCK DRILL				
324	AUTOMATIC ROAD MACHINE (CMI OR SIMILAR) (HIGHWAY AND HEAVY ONLY)				
325	BACKFILLER OPERATOR				
326	CONCRETE BATCH PLANT OPERATOR (HIGHWAY AND HEAVY ONLY)				
327	BITUMINOUS ROLLERS, RUBBER TIRED OR STEEL DRUMMED (EIGHT TONS AND OVER)				
328	BITUMINOUS SPREADER AND FINISHING MACHINES (POWER), INCLUDING PAVERS, MACRO SURFACING AND MICRO SURFACING, OR SIMILAR TYPES (OPERATOR AND SCREED PERSON)				
329	BROKK OR R.T.C. REMOTE CONTROL OR SIMILAR TYPE WITH ALL ATTACHMENTS				
330	CAT CHALLENGER TRACTORS OR SIMILAR TYPES PULLING ROCK WAGONS, BULLDOZERS AND SCRAPERS				
331	CHIP HARVESTER AND TREE CUTTER				
332	CONCRETE DISTRIBUTOR AND SPREADER FINISHING MACHINE, LONGITUDINAL FLOAT, JOINT MACHINE, AND SPRAY MACHINE				
333	CONCRETE MIXER ON JOBSITE (HIGHWAY AND HEAVY ONLY)				
334	CONCRETE MOBIL (HIGHWAY AND HEAVY ONLY)				
335	CRUSHING PLANT (GRAVEL AND STONE) OR GRAVEL WASHING, CRUSHING AND SCREENING PLANT				
336	CURB MACHINE				
337	DIRECTIONAL BORING MACHINE				
338	DOPE MACHINE (PIPELINE)				
339	DRILL RIGS, HEAVY ROTARY OR CHURN OR CABLE DRILL (HIGHWAY AND HEAVY ONLY)				
340	DUAL TRACTOR				
341	ELEVATING GRADER				
342	FORK LIFT OR STRADDLE CARRIER (HIGHWAY AND HEAVY ONLY)				
343	FORK LIFT OR LUMBER STACKER (HIGHWAY AND HEAVY ONLY)				
344	FRONT END, SKID STEER OVER 1 TO 5 C YD				
345	GPS REMOTE OPERATING OF EQUIPMENT				
346	HOIST ENGINEER (POWER) (HIGHWAY AND HEAVY ONLY)				
347	HYDRAULIC TREE PLANTER				
348	LAUNCHER PERSON (TANKER PERSON OR PILOT LICENSE)				

- 349 LOCOMOTIVE (HIGHWAY AND HEAVY ONLY)
- 350 MILLING, GRINDING, PLANNING, FINE GRADE, OR TRIMMER MACHINE
- 351 MULTIPLE MACHINES, SUCH AS AIR COMPRESSORS, WELDING MACHINES, GENERATORS, PUMPS (HIGHWAY AND HEAVY ONLY)
- 352 PAVEMENT BREAKER OR TAMPING MACHINE (POWER DRIVEN) MIGHTY MITE OR SIMILAR TYPE
- 353 PICKUP SWEEPER, ONE CUBIC YARD AND OVER HOPPER CAPACITY(HIGHWAY AND HEAVY ONLY)
- 354 PIPELINE WRAPPING, CLEANING OR BENDING MACHINE
- 355 POWER PLANT ENGINEER, 100 KWH AND OVER (HIGHWAY AND HEAVY ONLY)
- 356 POWER ACTUATED HORIZONTAL BORING MACHINE, OVER SIX INCHES
- 357 PUGMILL
- 358 PUMPCRETE (HIGHWAY AND HEAVY ONLY)
- 359 RUBBER-TIRED FARM TRACTOR WITH BACKHOE INCLUDING ATTACHMENTS (HIGHWAY AND HEAVY ONLY)
- 360 SCRAPER
- 361 SELF-PROPELLED SOIL STABILIZER
- 362 SLIP FORM (POWER DRIVEN) (PAVING)
- 363 TIE TAMPER AND BALLAST MACHINE
- 364 TRACTOR, BULLDOZER (HIGHWAY AND HEAVY ONLY)
- 365 TRACTOR, WHEEL TYPE, OVER 50 H.P. WITH PTO UNRELATED TO LANDSCAPING (HIGHWAY AND HEAVY ONLY)
- 366 TRENCHING MACHINE (SEWER, WATER, GAS) EXCLUDES WALK BEHIND TRENCHER (HIGHWAY AND HEAVY ONLY)
- 367 TUB GRINDER, MORBARK, OR SIMILAR TYPE
- 368 WELL POINT DISMANTLING OR INSTALLATION (HIGHWAY AND HEAVY ONLY)

GROUP 5	2014-10-20	29.03	17.20	46.23
	2015-05-01	29.89	17.90	47.79

- 369 AIR COMPRESSOR, 600 CFM OR OVER (HIGHWAY AND HEAVY ONLY)
- 370 BITUMINOUS ROLLER (UNDER EIGHT TONS)
- 371 CONCRETE SAW (MULTIPLE BLADE) (POWER OPERATED)
- 372 FORM TRENCH DIGGER (POWER)
- 373 FRONT END, SKID STEER UP TO 1C YD
- 374 GUNITE GUNALL (HIGHWAY AND HEAVY ONLY)
- 375 HYDRAULIC LOG SPLITTER
- 376 LOADER (BARBER GREENE OR SIMILAR TYPE)
- 377 POST HOLE DRIVING MACHINE/POST HOLE AUGER

- 378 POWER ACTUATED AUGER AND BORING MACHINE
- 379 POWER ACTUATED JACK
- 380 PUMP (HIGHWAY AND HEAVY ONLY)
- 381 SELF-PROPELLED CHIP SPREADER (FLAHERTY OR SIMILAR)
- 382 SHEEP FOOT COMPACTOR WITH BLADE . 200 H.P. AND OVER
- 383 SHOULDERING MACHINE (POWER) APSCO OR SIMILAR TYPE INCLUDING SELF-PROPELLED SAND AND CHIP SPREADER
- 384 STUMP CHIPPER AND TREE CHIPPER
- 385 TREE FARMER (MACHINE)

GROUP 6	2014-10-20	27.82	17.20	45.02
	2015-05-01	28.68	17.90	46.58

- 387 CAT, CHALLENGER, OR SIMILAR TYPE OF TRACTORS, WHEN PULLING DISK OR ROLLER
- 388 CONVEYOR (HIGHWAY AND HEAVY ONLY)
- 389 DREDGE DECK HAND
- 390 FIRE PERSON OR TANK CAR HEATER (HIGHWAY AND HEAVY ONLY)
- 391 GRAVEL SCREENING PLANT (PORTABLE NOT CRUSHING OR WASHING)
- 392 GREASER (TRACTOR) (HIGHWAY AND HEAVY ONLY)
- 393 LEVER PERSON
- 394 OILER (POWER SHOVEL, CRANE, TRUCK CRANE, DRAGLINE, CRUSHERS, AND MILLING MACHINES, OR OTHER SIMILAR HEAVY EQUIPMENT) (HIGHWAY AND HEAVY ONLY)
- 395 POWER SWEEPER
- 396 SHEEP FOOT ROLLER AND ROLLERS ON GRAVEL COMPACTION, INCLUDING VIBRATING ROLLERS
- 397 TRACTOR, WHEEL TYPE, OVER 50 H.P., UNRELATED TO LANDSCAPING

TRUCK DRIVERS

GROUP 1	2014-10-20	27.70	14.80	42.50
	2015-05-01	29.10	14.80	43.90

- 601 MECHANIC . WELDER
- 602 TRACTOR TRAILER DRIVER
- 603 TRUCK DRIVER (HAULING MACHINERY INCLUDING OPERATION OF HAND AND POWER OPERATED WINCHES)

GROUP 2	2014-10-20	26.20	14.80	41.00
	2015-05-01	27.60	14.80	42.40

604 FOUR OR MORE AXLE UNIT, STRAIGHT BODY TRUCK

GROUP 3	2014-10-20	26.10	14.80	40.90
	2015-05-01	27.50	14.80	42.30

605 BITUMINOUS DISTRIBUTOR DRIVER

606 BITUMINOUS DISTRIBUTOR (ONE PERSON OPERATION)

607 THREE AXLE UNITS

GROUP 4	2014-10-20	26.80	14.80	41.60
	2015-05-01	28.20	14.80	43.00

608 BITUMINOUS DISTRIBUTOR SPRAY OPERATOR (REAR AND OILER)

609 DUMP PERSON

610 GREASER

611 PILOT CAR DRIVER

612 RUBBER-TIRED, SELF-PROPELLED PACKER UNDER 8 TONS

613 TWO AXLE UNIT

614 SLURRY OPERATOR

615 TANK TRUCK HELPER (GAS, OIL, ROAD OIL, AND WATER)

616 TRACTOR OPERATOR, UNDER 50 H.P.

SPECIAL CRAFTS

701 HEATING AND FROST INSULATORS	2014-10-20	21.53	14.71	36.24
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702 BOILERMAKERS	2014-10-20	32.70	26.42	59.12
	2015-01-01	34.10	26.42	60.52

703 BRICKLAYERS	2014-10-20	30.20	22.63	52.83
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704 CARPENTERS	2014-10-20	33.37	16.33	49.70
	2015-05-01	34.86	16.33	51.19

705 CARPET LAYERS (LINOLEUM)	2014-10-20	22.58	7.50	30.08
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706 CEMENT MASONS	2014-10-20	34.30	17.25	51.55
	2015-05-01	35.86	17.25	53.11

707 ELECTRICIANS	2014-10-20	32.68	23.60	56.28
711 GROUND PERSON	2014-10-20	26.64	12.71	39.35
	2015-03-30	27.44	13.28	40.72
712 IRONWORKERS	2014-10-20	29.94	22.85	52.79
	2015-05-04	31.59	22.85	54.44
713 LINEMAN	2014-10-20	39.76	16.38	56.14
	2015-03-30	40.95	17.07	58.02
714 MILLWRIGHT	2014-10-20	35.33	14.78	50.11
	2015-05-01	36.73	14.78	51.51
715 PAINTERS (INCLUDING HAND BRUSHED, HAND SPRAYED, AND THE TAPING OF PAVEMENT MARKINGS)	2014-10-20	28.81	15.37	44.18
	2015-05-04	30.06	15.37	45.43
716 PILEDRIIVER (INCLUDING VIBRATORY DRIVER OR EXTRACTOR FOR PILING AND SHEETING OPERATIONS)	2014-10-20	33.37	16.33	49.70
	2015-05-01	34.86	16.33	51.19
717 PIPEFITTERS . STEAMFITTERS	2014-10-20	39.45	17.01	56.46
	2015-05-01	40.95	17.01	57.96
719 PLUMBERS	2014-10-20	39.45	17.01	56.46
	2015-05-01	40.95	17.01	57.96
721 SHEET METAL WORKERS	2014-10-20	26.21	11.18	37.39
723 TERRAZZO WORKERS	FOR RATE CALL 651-284-5091 OR EMAIL DLI.PREVVAGE@STATE.MN.US			
724 TILE SETTERS				

FOR RATE CALL 651-284-5091 OR
EMAIL
DLI.PRE VWAGE@STATE.MN.US

725 TILE FINISHERS

FOR RATE CALL 651-284-5091 OR
EMAIL
DLI.PRE VWAGE@STATE.MN.US

727 WIRING SYSTEM TECHNICIAN

2014-10-20 35.24 14.03 49.27

728 WIRING SYSTEMS INSTALLER

2014-10-20 24.67 11.78 36.45

729 ASBESTOS ABATEMENT WORKER

2014-10-20 27.89 16.31 44.20

730 SIGN ERECTOR

FOR RATE CALL 651-284-5091 OR
EMAIL
DLI.PRE VWAGE@STATE.MN.US

General Decision Number: MN150105 05/22/2015 MN105

Superseded General Decision Number: MN20140105

State: Minnesota

Construction Type: Heavy

County: St Louis County in Minnesota.

HEAVY CONSTRUCTION PROJECTS

Note: Executive Order (EO) 13658 establishes an hourly minimum wage of \$10.10 for 2015 that applies to all contracts subject to the Davis-Bacon Act for which the solicitation is issued on or after January 1, 2015. If this contract is covered by the EO, the contractor must pay all workers in any classification listed on this wage determination at least \$10.10 (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract. The EO minimum wage rate will be adjusted annually. Additional information on contractor requirements and worker protections under the EO is available at www.dol.gov/whd/govcontracts.

Modification Number	Publication Date
0	01/02/2015
1	05/22/2015

BOIL0647-004 01/01/2013

	Rates	Fringes
BOILERMAKER.....	\$ 32.40	25.37

CARP0361-020 07/11/2011

ST LOUIS COUNTY (Southern 1/3 including Cotton, Floodwood, Fond Du Lac, and Proctor)

	Rates	Fringes
CARPENTER (Including Form Work).....	\$ 31.07	15.80

CARP0361-021 07/11/2011

ST LOUIS (Duluth)

	Rates	Fringes
CARPENTER (Including Form Work).....	\$ 31.47	15.80

CARP0606-010 05/01/2011

ST LOUIS COUNTY (Northeast 2/3 including Cook, Cusson, Ely; and Western part including Chisholm, Greaney, and Orr)

	Rates	Fringes
CARPENTER (Including Form Work).....	\$ 31.07	15.80

 ELEC0242-012 06/01/2014

ST. LOUIS (South part bounded on the north by the north line of Kelsey Township extended east & west)

	Rates	Fringes
ELECTRICIAN.....	\$ 32.54	24.07

 ELEC0294-006 06/01/2014

ST. LOUIS (North part bounded on the south by the south line of Ellsburg Township, extended east & west)

	Rates	Fringes
ELECTRICIAN.....	\$ 33.72	73.34%

 * ENGI0049-064 05/01/2015

	Rates	Fringes
OPERATOR: Power Equipment		
Group 2.....	\$ 33.78	17.90
Group 3.....	\$ 33.23	17.90
Group 4.....	\$ 32.93	17.90
Group 5.....	\$ 29.89	17.90
Group 6.....	\$ 28.68	17.90

POWER EQUIPMENT OPERATOR CLASSIFICATIONS

GROUP 2: Crane with over 135' Boom, excluding jib; Dragline & Hydraulic Backhoe with shovel-type controls, 3 cubic yards and over; Grader/Blade finishing earthwork and bituminous.

GROUP 3: Dragline & Hydraulic Backhoe with shovel-type controls up to 3 cubic yards; Loader 5 cu yd and over; Mechanic; Tandem Scraper; Truck Crane; Crawler Crane

GROUP 4: Bituminous Roller 8 tons & over; Crusher/Crushing Plant; Drill Rig; Elevating Grader; Loader over 1 cu yd; Grader; Pump; Scraper up to 32 cu yd; Farm Tractor with Backhoe attachment; Skid Steer Loader over 1 cu yd with Backhoe attachment; Bulldozer over 50 hp.

GROUP 5: Bituminous Roller under 8 tons; Bituminous Rubber Tire Roller; Loader up to 1 cu yd; Bulldozer 50 hp or less.

GROUP 6: Oiler; Self-Propelled Vibrating Packer 35 hp and over.

CRANE OVER 135' BOOM, EXCLUDING JIB - \$.25 PREMIUM;
 CRANE OVER 200' BOOM, EXCLUDING JIB - \$.50 PREMIUM

UNDERGROUND WORK:
 UNNELS, SHAFTS, ETC. - \$.25 PREMIUM
 UNDER AIR PRESSURE - \$.50 PREMIUM

HAZARDOUS WASTE PROJECTS (PPE Required):
 LEVEL A - \$1.25 PREMIUM
 LEVEL B - \$.90 PREMIUM
 LEVEL C - \$.60 PREMIUM

 * IRON0512-028 05/01/2015

	Rates	Fringes
IRONWORKER, STRUCTURAL AND REINFORCING.....	\$ 31.04	23.45

 LABO1091-006 05/01/2014

ST LOUIS (South of T. 55 N)

	Rates	Fringes
LABORERS		
(1) Common or General.....	\$ 26.97	16.21
(2) Mason Tender Cement/Concrete.....	\$ 27.17	16.21
(6) Pipe Layer.....	\$ 29.47	16.21

 LABO1091-007 05/01/2014

SOUTHERN ST. LOUIS COUNTY

	Rates	Fringes
LABORER		
Common or General (Natural Gas Pipeline only).....	\$ 26.97	16.21

 LABO1097-002 05/01/2014

NORTHERN ST. LOUIS COUNTY

	Rates	Fringes
LABORER		
Common or General (Natural Gas Pipeline only).....	\$ 25.02	18.16

 LABO1097-005 05/01/2014

ST LOUIS (North of T. 55 N)

	Rates	Fringes
LABORERS		

(1) Common or General.....	\$ 25.02	18.16
(2) Mason Tender		
Cement/Concrete.....	\$ 25.22	18.16
(6) Pipe Layer.....	\$ 27.52	18.16

 PLAS0633-036 05/01/2012

ST. LOUIS COUNTY (North of T 55N)

	Rates	Fringes
CEMENT MASON/CONCRETE FINISHER...	\$ 26.71	14.64

 PLAS0633-039 05/01/2012

ST. LOUIS COUNTY (South of T 55N)

	Rates	Fringes
CEMENT MASON/CONCRETE FINISHER...	\$ 32.78	16.80

 TEAM0160-018 05/01/2014

	Rates	Fringes
TRUCK DRIVER (DUMP)		
(1) Articulated Dump Truck..	\$ 27.70	14.80
(2) 3 Axles/4 Axles; 5 Axles receive \$0.30 additional per hour.....	\$ 27.15	14.80
(3) Tandem Axles; & Single Axles.....	\$ 27.05	14.80

 SUMN2009-072 09/28/2009

	Rates	Fringes
LABORER: Landscape.....	\$ 12.88	4.61

 WELDERS - Receive rate prescribed for craft performing
 operation to which welding is incidental.

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 Unlisted classifications needed for work not included within
 the scope of the classifications listed may be added after
 award only as provided in the labor standards contract clauses
 (29CFR 5.5 (a) (1) (ii)).

 The body of each wage determination lists the classification
 and wage rates that have been found to be prevailing for the
 cited type(s) of construction in the area covered by the wage
 determination. The classifications are listed in alphabetical
 order of "identifiers" that indicate whether the particular

rate is a union rate (current union negotiated rate for local), a survey rate (weighted average rate) or a union average rate (weighted union average rate).

Union Rate Identifiers

A four letter classification abbreviation identifier enclosed in dotted lines beginning with characters other than "SU" or "UAVG" denotes that the union classification and rate were prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2014. PLUM is an abbreviation identifier of the union which prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. 07/01/2014 is the effective date of the most current negotiated rate, which in this example is July 1, 2014.

Union prevailing wage rates are updated to reflect all rate changes in the collective bargaining agreement (CBA) governing this classification and rate.

Survey Rate Identifiers

Classifications listed under the "SU" identifier indicate that no one rate prevailed for this classification in the survey and the published rate is derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As this weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SULA2012-007 5/13/2014. SU indicates the rates are survey rates based on a weighted average calculation of rates and are not majority rates. LA indicates the State of Louisiana. 2012 is the year of survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. 5/13/2014 indicates the survey completion date for the classifications and rates under that identifier.

Survey wage rates are not updated and remain in effect until a new survey is conducted.

Union Average Rate Identifiers

Classification(s) listed under the UAVG identifier indicate that no single majority rate prevailed for those classifications; however, 100% of the data reported for the classifications was union data. EXAMPLE: UAVG-OH-0010 08/29/2014. UAVG indicates that the rate is a weighted union average rate. OH indicates the state. The next number, 0010 in the example, is an internal number used in producing the wage determination. 08/29/2014 indicates the survey completion date for the classifications and rates under that identifier.

A UAVG rate will be updated once a year, usually in January of each year, to reflect a weighted average of the current negotiated/CBA rate of the union locals from which the rate is based.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- * an existing published wage determination
- * a survey underlying a wage determination
- * a Wage and Hour Division letter setting forth a position on a wage determination matter
- * a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
Wage and Hour Division
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION

General Decision Number: MN150121 01/02/2015 MN121

Superseded General Decision Number: MN20140121

State: Minnesota

Construction Type: Highway

Counties: Carlton, Cook, Itasca, Koochiching, Lake, Pine and St Louis Counties in Minnesota.

HIGHWAY CONSTRUCTION PROJECTS

Note: Executive Order (EO) 13658 establishes an hourly minimum wage of \$10.10 for 2015 that applies to all contracts subject to the Davis-Bacon Act for which the solicitation is issued on or after January 1, 2015. If this contract is covered by the EO, the contractor must pay all workers in any classification listed on this wage determination at least \$10.10 (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract. The EO minimum wage rate will be adjusted annually. Additional information on contractor requirements and worker protections under the EO is available at www.dol.gov/whd/govcontracts.

Modification Number	Publication Date
0	01/02/2015

SUMN2014-001 05/01/2014

	Rates	Fringes
BRICKLAYER.....	\$ 30.20	22.63
CARPENTER.....	\$ 33.37	16.33
CEMENT MASON/CONCRETE FINISHER...	\$ 33.78	16.80
ELECTRICIAN		
Electrician.....	\$ 32.68	23.60
Ground Person.....	\$ 26.64	12.71
Lineman.....	\$ 39.76	16.38
Wiring System Installer.....	\$ 24.67	11.78
Wiring System Technician....	\$ 35.24	14.03
IRONWORKER.....	\$ 29.94	22.85
LABORER		
Blaster.....	\$ 28.89	15.33
Common or General.....	\$ 26.97	16.21
Flag Person.....	\$ 26.97	16.21
Landscape.....	\$ 18.75	13.24
Skilled.....	\$ 26.97	16.21
Underground & Open Ditch (8 ft below grade).....	\$ 27.67	16.21
MILLWRIGHT.....	\$ 35.33	14.78

PAINTER (Including Pavement Marking).....	\$ 28.81	15.37
PILEDRIVERMAN.....	\$ 33.37	16.33
POWER EQUIPMENT OPERATOR:		
GROUP 2.....	\$ 32.92	17.20
GROUP 3.....	\$ 32.37	17.20
GROUP 4.....	\$ 32.07	17.20
GROUP 5.....	\$ 29.03	17.20
GROUP 6.....	\$ 27.82	17.20
Special Equipment		
Articulated Hauler.....	\$ 32.07	17.20
Boom Truck.....	\$ 32.07	17.20
Off-Road Truck.....	\$ 31.37	16.70
Pavement Marking or Marking Removal Equipment Operator (one or two person operators), Self-Propelled Truck or Trailer Mounted Units.....		
	\$ 28.36	16.36
OPERATING ENGINEER CLASSIFICATIONS		

GROUP 2: Helicopter Pilot; Concrete Pump; Cranes over 135 ft boom excluding jib; Dragline, Crawler, Hydraulic Backhoe and other similar equipment with shovel-type controls including attachments 3 cu yd & over; Grader or Motor Patrol; Pile Driving

GROUP 3: Asphalt Bituminous Stabilizer Plant; Cableway; Concrete Mixer, Stationary Plant; Derrick (guy or stiff leg) (power) (skids or stationary); Dragline, Crawler, Hydraulic Backhoe and other similar equipment with shovel-type controls including attachments up to 3 cu yd; Dredge or Engineers Dredge (Power); Front end loader 5 cu yd & over including attachments; Locomotive Crane Operator; Mixer (paving) concrete paving, Road Mole including Mucking operations, Conway or similar type; Mechanic, Welder; Tractor, Boom type. Tandem Scraper; Truck Crane, Crawler Crane

GROUP 4: Air Track Rock Drill; Automatic Road Machine CMI or similar; Backfiller; Concrete Batch Plant; Bituminous Roller Rubber Tire or Steel Drum 8 tons & over; Bituminous Spreader & Finishing Machine (power), including pavers, Macro Surfacing & Micro Surfacing or similar types (operator & Screed person); Brokk or RTC remote control or similar type with attachments; Cat Challenger Tractor or similar types pulling Rock Wagons; Bulldozer & Scraper; Chip Harvester & Tree Cutter; Concrete Distributor & Spreader Finishing Machine, Longitudinal Float Joint Machine, Spray Machine; Concrete Mixer on jobsite; Concrete Mobil; Crushing Plant (gravel, stone) or Gravel Washing, Crushing & Screening Plant; Curb Machine; Directional Boring Machine; Drill Rigs, Heavy Rotary or Churn or Cable Drill, Dual Tractor; Elevating Grader; Fort Lift; Front End, Skid Steer 1 to 5 cu yd; GPS Remote Operating of equipment; Hoist Engineer (power); Hydraulic Tree Planter; Launcher Person; Locomotive; Milling, Grinding, Planing, Fine Grade, or Trimmer Machine; Multiple Machines such as Air Compressors, Welding Machines, Generators, Pumps; Pavement Breaker or

Tamping Machine, Mighty Mite or similar type; Pickup Sweeper 1 cu yd & over hopper capacity; Horizontal Boring Machine power actuated over 6 inches; Pugmill; Pumpcrete; Rubber Tired Farm Tractor with Backhoe attachment; Scraper; Self-Propelled Soil Stabilizer; Slip Form (power driven) paving; Tractor, Bulldozer; Wheel type Tractor over 50 hp with PTO; Trenching Machine excludes walk behind Trencher; Tub Grinder, Morbark or similar type; Well Point installation Dismantling.

GROUP 5: Air Compressor 600 cfm or over; Bituminous Roller under 8 tons; Concrete Saw multiple blade; Form Tench Digger (power); Front End Skid Steer up to 1 cu yd; Gunit Gunall; Hydraulic Log Splitter; Loader, Barber Greene or similar; Post Hole Driving Machine/Post Hole Auger; Power Actuated Auger & Boring Machine; Power Actuated Jack; Pump; Self-Propelled Chip Spreader (Flaherty or similar); Sheep Foot Compactor with blade 200 hp & over; Shouldering Machine (Power) APSCO or similar type including self-propelled Sand and Chip Spreader; Stump Chipper and Tree Chipper; Tree Farmer (Machine).

GROUP 6: Cat, Challenger or similar tractor when pulling Disk or Roller; Conveyor; Dredge Deck Hand; Fire Person or Tank Car Heater; Gravel Screening Plant (portable, not crushing or washing); Greaser (tractor); Lever Person; Oiler (Power Shovel, Truck Crane, Dragline, Crusher and Milling Machine; Power Sweeper; Sheep Foot Roller & Rollers on Gravel Compaction including vibrating rollers; Wheel type Tractor over 50 hp.

TRUCK DRIVER

GROUP 1.....	\$ 26.85	14.40
GROUP 2.....	\$ 26.30	14.40
GROUP 3.....	\$ 26.10	14.80
GROUP 4.....	\$ 26.80	14.80

TRUCK DRIVER CLASSIFICATIONS:

GROUP 1: Mechanic, Welder; Tractor Trailer; Truck hauling machinery including operation of hand and power operated winches.

GROUP 2: Four or more axle unit straight body truck.

GROUP 3: Bituminous Distributor driver; Bituminous Distributor (one person operation); Three Axle units.

GROUP 4: Bituminous Distributor Spray operator (rear and oiler); Dump Person; Greaser; Pilot Car; Rubber Tire self-propelled Packer under 8 tons; Two Axle unit; Slurry Operator; Tank Truck Tender (gas, road oil, water); Tractor under 50 hp.

Tunnel Miner.....	\$ 27.67	16.21
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WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

Unlisted classifications needed for work not included within

the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29CFR 5.5 (a) (1) (ii)).

The body of each wage determination lists the classification and wage rates that have been found to be prevailing for the cited type(s) of construction in the area covered by the wage determination. The classifications are listed in alphabetical order of "identifiers" that indicate whether the particular rate is a union rate (current union negotiated rate for local), a survey rate (weighted average rate) or a union average rate (weighted union average rate).

Union Rate Identifiers

A four letter classification abbreviation identifier enclosed in dotted lines beginning with characters other than "SU" or "UAVG" denotes that the union classification and rate were prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2014. PLUM is an abbreviation identifier of the union which prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. 07/01/2014 is the effective date of the most current negotiated rate, which in this example is July 1, 2014.

Union prevailing wage rates are updated to reflect all rate changes in the collective bargaining agreement (CBA) governing this classification and rate.

Survey Rate Identifiers

Classifications listed under the "SU" identifier indicate that no one rate prevailed for this classification in the survey and the published rate is derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As this weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SULA2012-007 5/13/2014. SU indicates the rates are survey rates based on a weighted average calculation of rates and are not majority rates. LA indicates the State of Louisiana. 2012 is the year of survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. 5/13/2014 indicates the survey completion date for the classifications and rates under that identifier.

Survey wage rates are not updated and remain in effect until a new survey is conducted.

Union Average Rate Identifiers

Classification(s) listed under the UAVG identifier indicate

that no single majority rate prevailed for those classifications; however, 100% of the data reported for the classifications was union data. EXAMPLE: UAVG-OH-0010 08/29/2014. UAVG indicates that the rate is a weighted union average rate. OH indicates the state. The next number, 0010 in the example, is an internal number used in producing the wage determination. 08/29/2014 indicates the survey completion date for the classifications and rates under that identifier.

A UAVG rate will be updated once a year, usually in January of each year, to reflect a weighted average of the current negotiated/CBA rate of the union locals from which the rate is based.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- * an existing published wage determination
- * a survey underlying a wage determination
- * a Wage and Hour Division letter setting forth a position on a wage determination matter
- * a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
Wage and Hour Division
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material,

etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

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END OF GENERAL DECISION

[]

**CERTIFICATION OF BIDDER REGARDING
EQUAL EMPLOYMENT OPPORTUNITY**

GENERAL

In accordance with Executive Order 11246 (30 F.R. 12319-25), the implementing rules and regulations thereof, and orders of the Secretary of Labor, a Certification regarding Equal Opportunity is required of bidders or prospective contractors and their proposed subcontractors prior to the award of contracts or subcontracts.

CERTIFICATION OF BIDDER

Bidder's Name _____

Address _____

1. Participation in a previously Federally assisted contract or subcontract.
 - a. The Bidder (Proposer) shall complete the following statement by checking the appropriate boxes.
 - (1) The Bidder (Proposer) has () has not () participated in a previous contract subject to the equal opportunity clause prescribed by Executive Order 10925, or Executive Order 11114, or Executive Order 11246, as amended.
 - (2) The Bidder (Proposer) has () has not () submitted all compliance reports in connection with any such contract due under the applicable filing requirements; and that representations indicating submission of required compliance reports signed by proposed subcontractors will be obtained to award of subcontractors.
 - b. If the Bidder (Proposer) has participated in a previous contract subject to the equal opportunity clause and has not submitted compliance reports due under applicable filing requirements, the Bidder (Proposer) shall submit a compliance report on Standard Form 100, "Employee Information Report EEO-1" prior to the award of contract.
 - c. When a determination has been made to award the contract to a specific contractor, such contractor may be required, prior to award, or after the award, or both, to furnish such other pertinent information regarding its own employment practice and policies as well as of its proposed subcontractors as the FAA, the Sponsor, or the Director of OFCC may require. (41 CFR Chapter 60; FAR 152.6(c).)

CERTIFICATION OF NONSEGREGATED FACILITIES

The federally assisted construction contractor certifies that he does not maintain or provide, for his employees, any segregated facilities at any of his establishments and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor certifies that he will not maintain or provide, for his employees, segregated facilities at any of his establishments and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor agrees that a breach of this certification is a violation of the equal opportunity clause in this contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work area, restrooms and washrooms, restaurants and other eating areas, timeclocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directives or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or any other reason. The federally assisted construction contractor agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the equal opportunity clause and that he will retain such certifications in his files.

REMARKS:

Certification - The information above is true and complete to the best of my knowledge and belief.

Name and Title of Signer

(Please Type)

() Contractor

() Subcontractor

Signature

Date

Note: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

Airport Name: Duluth International Airport

Location: Duluth, MN

Sponsor: Duluth Airport Authority

FAA AIP Number: 3-27-25-10-15

AFFIDAVIT AND INFORMATION REQUIRED OF BIDDERS

Affidavit of Non-Collusion:

I hereby swear (or affirm) under penalty of perjury:

1. That I am the bidder (if the bidder is an individual), a partner in the bidder (if the bidder is a partnership), or an officer or employee of the bidding corporation having authority to sign on its behalf (if the bidder is a corporation);
2. That the attached bid or bids have been arrived at by the bidder independently and have been submitted without collusion with and without agreement, understanding, or planned common course of action with any other vendor or materials, supplied, equipment or services described in the invitation to bid, designed to limit independent bidding or competition;
3. That the contents of the bid or bids have not been communicated by the bidder or its employees or agents to any person not an employee or agent of the bidder or its surety on any bond furnished with the bid or bids and will not be communicated to any such person prior to the official opening of the bid or bids; and
4. That I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed: _____

Firm Name: _____

Subscribed and sworn to me before this ____ day of _____, _____

NOTARY PUBLIC _____

My commission expires: _____

Bidder's E.I. Number _____

(Number used on employer's quarterly Federal Tax return)

Airport Name: Duluth International Airport

Location: Duluth, MN

Sponsor: Duluth Airport Authority

FAA AIP Number: 3-27-25-10-15

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal Contract, grant, loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobby Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Contractor _____ Dated _____

Signed _____

Airport Name: Duluth International Airport

Location: Duluth, MN

Sponsor: Duluth Airport Authority

FAA AIP Number: 3-27-25-10-15

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND
VOLUNTARY EXCLUSION - 49 CFR PART 29
(VERSION 1, 1/5/90)**

The bidder/offerer certifies, by submission of this proposal or acceptance of this contract, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. It further agrees by submitting this proposal that it will include this clause without modification in all lower tier transactions, solicitations, proposals, contracts, and subcontracts. Where the bidder/offerer/contractor or any lower tier participant is unable to certify to this statement, it shall attach an explanation to this solicitation/proposal.

Contractor _____ Dated _____

Signed _____

Airport Name: Duluth International Airport

Location: Duluth, MN

Sponsor: Duluth Airport Authority

FAA AIP Number: 3-27-25-10-15

RESTRICTIONS ON FEDERAL PUBLIC WORKS PROJECTS CERTIFICATION

The undersigned CONTRACTOR or SUBCONTRACTOR, hereby certifies that it:

- a. Is not owned or controlled by one or more citizens or nationals of a foreign country included in the list of countries that discriminate against U.S. firms published by the Office of the United States Trade Representative (USTR):
- b. has not knowingly entered into any contract or subcontract for this project with a CONTRACTOR that is a citizen or national of a foreign country on said list, or is owned or controlled directly or indirectly by one or more citizens or nationals of a foreign country on said list.
- c. has not procured any product nor subcontracted for the supply of any product for use on the project that is produced in a foreign country on said list.

Unless the restrictions of this clause are waived by the Secretary of Transportation in accordance with 49 CFR 30.17 no contract shall be awarded to a CONTRACTOR or SUBCONTRACTOR who is unable to certify to the above. If the CONTRACTOR knowingly procures or subcontracts for the supply of any product or service of a foreign country on the said list for use on the project, the Federal Aviation Administration may direct, through the sponsor, cancellation of the contract at no cost to the Government.

Further, the CONTRACTOR agrees that, if awarded a contract resulting from this solicitation, it will incorporate this provision for certification without modification in each contract and in all lower tier subcontracts. The CONTRACTOR may rely upon the certification of a prospective SUBCONTRACTOR unless it has knowledge that the certification is erroneous.

The CONTRACTOR shall provide immediate written notice to the sponsor if the CONTRACTOR learns that its certification or that of a SUBCONTRACTOR was erroneous when submitted or has become erroneous by reason of changed circumstances. The SUBCONTRACTOR agrees to provide immediate written notice to the CONTRACTOR, if at any time it learns that its certification was erroneous by reason of changed circumstances.

This certification is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the CONTRACTOR or SUBCONTRACTOR knowingly rendered an erroneous certification, the Federal Aviation Administration may direct, through the sponsor, cancellation of the contract or subcontract for default at no cost to the Government.

Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by this provision. The knowledge and information of a CONTRACTOR is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

This certification concerns a matter within the jurisdiction of an agency of the United States of America and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

Contractor _____ Dated _____

Signed _____

Airport Name: Duluth International Airport

Location: Duluth, MN

Sponsor: Duluth Airport Authority

FAA AIP Number: 3-27-25-10-15

DBE ATTACHMENT

Each bidder shall submit with the proposal a written assurance of its ability to meet the prescribed DBE goal of **3.2 %** in its bid or of its "good faith efforts" to meet that goal. Bids received that do not contain this assurance or have not given acceptable evidence of "good faith efforts" to meet the DBE goal may be considered nonresponsive and may be ineligible for award of the contract at the discretion of the DAA.

Exclusive agreements between DBEs and Bidder/Proposers are forbidden. Bidders will submit, in writing, the names of the DBEs included in the bid, a description of the work the DBEs will perform and the dollar value of each DBE subcontract.

<u>DBE Firm</u>	<u>Description of Work</u>	<u>Dollar Value</u>
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DULUTH INTERNATIONAL AIRPORT

Closer to everywhere.

DAA DISADVANTAGED BUSINESS ENTERPRISE POLICY STATEMENT

The Duluth Airport Authority has established a Disadvantage Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. The Duluth Airport Authority has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, the Duluth Airport Authority has signed an assurance that it will comply with 49 CFR part 26.

It is the policy of the Duluth Airport Authority to ensure that DBEs, as defined in part 26, have an equal opportunity to receive and participate in DOT assisted contracts. It is also our policy to ensure nondiscrimination in the award and administration of DOT assisted contracts; to create a level playing field on which DBEs can compete fairly for DOT assisted contracts; to ensure that the DBE program is narrowly tailored in accordance with applicable law; to ensure that only firms that fully meet 49 CFR part 26 eligibility standards are permitted to participate as DBEs; to help remove barriers to the participation of DBEs in DOT assisted contracts; and to assist the development of firms that can compete successfully in the market place outside the DBE Program.

The Blaine Peterson, Director of Operations, has been delegated as the DBE Liaison Officer. In that capacity, the Director of Operations, is responsible for implementing all aspects of the DBE program. The Sky Harbor Airport Manager will be the assistant to the DBELO. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by the Duluth Airport Authority in its financial assistance agreements with the Department of Transportation.

Blaine Peterson
DBE Liaison Officer
Duluth Airport Authority
4701 Grinden Drive
Duluth, MN 55811
(218) 727-2968
bpeterson@duluthairport.com

Brian Madsen
DBELO Assistant
Duluth Airport Authority
4701 Grinden Drive
Duluth, MN 55811
(218) 391-8073
bmadsen@duluthairport.com

**DEPARTMENT OF TRANSPORTATION
DBE PROGRAM – 49 CFR PART 26
DULUTH AIRPORT AUTHORITY**

POLICY STATEMENT

Section 26.1, 26.23

Objectives/Policy Statement

The Duluth Airport Authority has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. The Duluth Airport Authority has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, the Duluth Airport Authority has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of the Duluth Airport Authority to ensure that DBEs are defined in part 26, have an equal opportunity to receive and participate in DOT-assisted contracts. It is also our policy:

1. To ensure nondiscrimination in the award and administration of DOT – assisted contracts;
2. To create a level playing field on which DBEs can compete fairly for DOT-assisted contracts;
3. To ensure that the DBE Program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in DOT assisted contracts;
6. To assist the development of firms that can compete successfully in the market place outside the DBE Program.

The Director of Operations, Blaine Peterson, has been delegated as the DBE Liaison Officer. In that capacity, the Director of Operations is responsible for implementing all aspects of the DBE program. The Sky Harbor Airport Manager has been delegated as the assistant to the DBELO. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by the Duluth Airport Authority in its financial assistance agreements with the Department of Transportation.

The Duluth Airport Authority has disseminated this policy statement to the Board of Directors and all of the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work for us on DOT-assisted contracts by including this statement in our bid documents along with our advertisements in minority and majority publications.



Tom Werner, Executive Director

6 Feb 13
Date



Blaine Peterson, DBELO

6 Feb 13
Date

SUBPART A – GENERAL REQUIREMENTS

Section 26.1 Objectives

The objectives are found in the policy statement on the first page of this program.

Section 26.3 Applicability

The Duluth Airport Authority is the recipient of federal airport funds authorized by 49 U.S.C. 47101, *et seq.*

Section 26.5 Definitions

The Duluth Airport Authority will adopt the definitions contained in Section 26.5 for this program.

Section 26.7 Non-discrimination Requirements

The Duluth Airport Authority will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, the Duluth Airport Authority will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, or national origin.

Section 26.11 Record Keeping Requirements

Reporting to DOT: 26.11(b)

The Duluth Airport Authority will report DBE participation to DOT as follows:

We will submit annually DOT Form 4630, as modified for use by FAA recipients.

Bidders List: 26.11(c)

The Duluth Airport Authority will create a bidders list, consisting of information about all DBE and non-DBE firms that bid or quote on DOT-assisted contracts. The purpose of this requirement is to allow use of the bidder's list approach to calculating overall goals. The bidder list will include the name, address, DBE / non-DBE status, age, and annual gross receipts of firms.

The Duluth Airport Authority will collect this information by obtaining the Minnesota DOT Certified DBE Directory, utilizing past record information maintained by the City of Duluth Purchasing Department and obtaining information provided by firms quoting on projects.

Section 26.13 Federal Financial Assistance Agreement

The Duluth Airport Authority has signed the following assurances, applicable to all DOT-assisted contracts and their administration:

Assurance: 26.13(a)

Duluth Airport Authority shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT assisted contract or in the administration of its DBE Program or the requirements of 49 CFR part 26. The recipient shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT assisted contracts. The recipient's DBE Program, as required by 49 CFR part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Duluth Airport Authority of its failure to carry out its approved program, the Department may impose sanction as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 *et seq.*).

This language will appear in financial assistance agreements with sub-recipients.

Contract Assurance: 26.13b

The Duluth Airport Authority will ensure that the following clause is placed in every DOT-assisted contract and subcontract:

The contractor, sub-recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy, as the recipient deems appropriate.

SUBPART B - ADMINISTRATIVE REQUIREMENTS

Section 26.21 DBE Program Updates

Since the Duluth Airport Authority has received a grant of \$250,000 or more for airport planning or development, we will continue to carry out this program until all funds from DOT financial assistance have been expended. We will provide to DOT updates representing significant changes in the program.

Section 26.23 Policy Statement

The Policy Statement is elaborated on the first page of this program.

Section 26.25 DBE Liaison Officer (DBELO)

We have designated the following individual as our DBE Liaison Officer:

Blaine Peterson, Director of Operations
Duluth Airport Authority
4701 Grinden Drive
(218) 727-2968
e-mail: bpeterson@duluthairport.com

In that capacity, the DBELO is responsible for implementing all aspects of the DBE program and ensuring that the Duluth Airport Authority complies with all provision of 49 CFR Part 26. The DBELO has direct, independent access to the *Executive Director* concerning DBE program matters. An organization chart displaying the DBELO's position in the organization is found in *Attachment 1* to this program.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. The DBELO will administer the program and has access to additional staff and legal council if needed to assist in the administration of the program. The duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by DOT.
2. Reviews third party contracts and purchase requisitions for compliance with this program.
3. Works with all departments to set overall annual goals.
4. Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
5. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract specific goals attainment and identifies ways to improve progress.
6. Analyzes Duluth Airport Authority's progress toward attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Advises the *Executive Director* on DBE matters and achievement.
9. Chairs the DBE Advisory Committee.
10. Participates in pre-bid meetings.
11. Provides DBEs with information and assistance in preparing bids, obtaining bonding and insurance.
12. Plans and participates in DBE training seminars.
13. Certifies DBEs according to the criteria set by DOT and acts as liaison to the Uniform Certification Process in Minnesota.
14. Provides outreach to DBEs and community organizations to advise them of opportunities.
15. Maintains the Duluth Airport Authority's updated directory on certified DBEs.

Section 26.27 DBE Financial Institutions

It is the policy of the Duluth Airport Authority to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted contract to make use of these institutions.

Section 26.29 Prompt Payment Mechanisms

The Duluth Airport Authority will include the following clause in each DOT-assisted prime contract:

The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 10 days from the receipt of each payment the prime contract receives from Duluth Airport Authority. The prime contractor agrees further to return retainage payments to each subcontractor within 30 days after the subcontractors work is satisfactorily completed.

Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the Duluth Airport Authority. This clause applies to both DBE and non-DBE subcontracts.

Section 26.31 Directory

The Duluth Airport Authority maintains a directory identifying all firms eligible to participate as DBEs. The directory lists the firm's name, address, phone number, date of the most recent certification, and the type of work the firm has been certified to perform as a DBE. We revise the Directory annually. We make the Directory available as follows: *Duluth Airport Authority, 4701 Grinden Drive, Duluth, MN 55811; (218) 727-2968; e-mail: daa@duluthairport.com* The Directory may be found in **Attachment 2** to this program document.

Section 26.33 Overconcentration

Duluth Airport Authority has not identified that overconcentration exists in the types of work that DBEs perform.

Section 26.35 Business Development Programs

Duluth Airport Authority has not established a business development program.

Section 26.37 Monitoring and Enforcement Mechanisms

The Duluth Airport Authority will take the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR Part 26.

1. We will bring to the attention of the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in 26.109.
2. We will consider similar action under our own legal authorities, including responsibility determinations in future contracts. **Attachment 3** lists the regulation, provisions, and contract remedies available to us in the events of non-compliance with the DBE regulation by a participant in our procurement activities.
3. We will also provide a monitoring and enforcement mechanism to verify that work committed to DBEs at contract award is actually performed by the DBEs. This will be accomplished by verifying payroll reports and verifying work performed.
4. We will keep a running tally of actual payments to DBE firms for work committed to them at the time of contract award.

Section 26.39 Fostering Small Business Participation

The *Duluth Airport Authority* has included an element to structure contracting requirements to facilitate competition by small business concerns, taking all reasonable steps to eliminate obstacles to their participation, including unnecessary and unjustified bundling of contract requirements that may preclude small business participation in procurements as prime contractors or subcontractors.

As part of this program element the *Duluth Airport Authority* has included the following strategies:

- (1) Establishing a race-neutral small business set-aside for prime contracts under a stated amount (e.g., \$1 million).
- (2) In multi-year design-build contracts or other large contracts (e.g., for "megaprojects"), requiring bidders on the prime contract to specify elements of the contract or specific subcontracts that are of a size that small businesses, including DBEs, can reasonably perform.
- (3) On prime contracts not having **DBE** contract goals, requiring the prime contractor to provide subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform, rather than self-performing all the work involved.

(4) Identifying alternative acquisition strategies and structuring procurements to facilitate the ability of consortia or joint ventures consisting of small businesses, including DBEs, to compete for and perform prime contracts.

(5) To meet the portion of our overall goal we project to meet through race-neutral measures, ensuring that a reasonable number of prime contracts are of a size that small businesses, including DBEs, can reasonably perform.

SUBPART C – GOALS, GOOD FAITH EFFORTS, AND COUNTING

Section 26.43 Set-asides or Quotas

The Duluth Airport Authority does not use quotas in any way in the administration of this DBE program.

Section 26.45 Overall Goals

Duluth Airport Authority will annually establish overall goals if we anticipate that we will award prime contracts exceeding \$250,000 in FAA funds in a Federal fiscal year in accordance with the 2-step process as specified in 49 CFR Part 26.45. If the *Duluth Airport Authority* does not anticipate awarding more than \$250,000 in FAA funds in prime contracts within the Federal fiscal year, we will not develop an overall goal; however the existing DBE program will remain in effect and the *Duluth Airport Authority* will seek to fulfill the objectives outlined in 49 CFR Part 26.1.

Duluth Airport Authority will annually establish overall goals in accordance with the 2-Step process as specified in 49 CFR Part 26.45. The first step is to determine the relative availability of DBEs in the market area, “base figure”. The second step is to adjust the “base figure” percentage from Step 1 so that it reflects as accurately as possible the DBE participation the recipient would expect in the absence of discrimination based on past participation, a disparity study and/or information about barriers to entry to past competitiveness of DBEs on projects.

A description of the methodology to calculate the overall goal and the goal calculations can be found in [Attachment 5](#) to this program. This section of the program will be updated annually.

In accordance with Section 26.45(f) the Duluth Airport Authority will submit its overall goal to DOT on August 1 of each year. Before establishing the overall goal each year, Duluth Airport Authority will consult with the *compliance officer for the City of Duluth, along with the Builders Exchange officials of Northern Minnesota, Minnesota Small Business Development Cooperation, Minnesota Department of transportation, and the Local Office of Economic Security* to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the Duluth Airport Authority’s efforts to establish a level playing field for the participation of DBEs.

Following this consultation, we will publish a notice of the proposed overall goals, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at your principal office for 30 days following the date of the notice, and informing the public that you and DOT will accept comments on the goals for 45 days from the date of the notice. This notice will be published in both local general circulation newspapers and a local minority publication. Normally, we will issue this notice by June 1 of each year. The notice must include addresses to which comments may be sent and addresses (including offices and websites) where the proposal may be reviewed.

Our overall goal submission to DOT will include a summary of information and comments received during this public participation process and our responses.

We will begin using our overall goal on October 1 of each year, unless we have received other instructions from DOT. If we establish a goal on a project basis, we will begin using our goal by the time of the first solicitation for a DOT-assisted contract for the project.

Section 26.51(a-c) Breakout of Estimated Race-Neutral & Race-Conscious Participation

The breakout of estimated race-neutral and race-conscious participation can be found in *Attachment 5* to this program. This section of the program will be updated annually when the goal calculation is updated.

Section 26.51(d-g) Contract Goals

The Duluth Airport Authority will use contract goals to meet any portion of the overall goal Duluth Airport Authority does not project being able to meet using race-neutral means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

We will establish contract goals only on those DOT-assisted contracts that have subcontracting possibilities. We need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work, availability of DBEs to perform the particular type of work.)

We will express our contract goals as a percentage of the Federal share of a DOT-assisted contract.

Section 26.53 Good Faith Efforts Procedures

Demonstration of good faith efforts (26.53(a) & (c))

The obligation of the bidder/offeror is to make good faith efforts. The bidder/offeror can demonstrate that it has done so either by meeting the contract goal or documenting good faith efforts. Examples of good faith efforts are found in Attachment 5

The following personnel are responsible for determining whether a bidder/offeror who has not met the contract goal has documented sufficient good faith efforts regarded as a responsive approach.

DBELO
City Attorney

We will ensure that all information is complete and accurate and adequately documents the bidder/offer's good faith efforts before we commit to the performance of the contract by the bidder/offeror.

Information to be submitted (26.53(b))

Duluth Airport Authority treats bidder/offers' compliance with good faith efforts' requirements as a matter of responsiveness.

Each solicitation for which a contract goal has been established will require the bidders/offerors to submit the following information:

1. The names and addresses of DBE firms that will participate in the contract;
2. A description of the work that each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;

5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractors commitment and
6. If the contract goal is not met, evidence of good faith efforts.

Administrative reconsideration (26.53(d))

Within 10 days of being informed by Duluth Airport Authority that it is not responsive because it has not documented sufficient good faith efforts, a bidder/offeror may request administrative reconsideration. Bidder/offerors should make this request in writing to the following reconsideration official: *Mary Prescott Director, Office of EEO Contract Management, 395 John Ireland Boulevard, St. Paul, MN 55155 (651) 366-3150.*

As part of this reconsideration, the bidder/offeror will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder/offeror will have the opportunity to meet in person with our reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do. We will send the bidder/offeror a written decision on reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

Good Faith Efforts when a DBE is replaced on a contract (26.53(f))

Duluth Airport Authority will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. We will require the prime contractor to notify the DBE Liaison Officer immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, we will require the prime contractor to obtain our prior approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts. If the contractor fails or refuses to comply in the time specified, our contracting office will issue an order stopping all or part of payment/work until satisfactory action has been taken. If the contractor still fails to comply, the contracting officer may issue a termination for default proceeding.

Sample Bid Specification:

The requirements of 49 CFR Part 26, Regulations of the U.S. Department of Transportation, apply to this contract. It is the policy of the Duluth Airport Authority to practice nondiscrimination based on race, color, sex, or national origin in the award or performance of this contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this contract will be conditioned upon satisfying the requirements of this bid specification. These requirements apply to all bidders/offerors, including those who qualify as a DBE. A DBE contract goal of 2.1% percent has been established for this contract. The bidder/offeror shall make good faith efforts, as defined in Appendix A, 49 CFR Part 26 (*Attachment 6*), to meet the contract goal for DBE participation in the performance of this contract.

The bidder/offeror will be required to submit the following information: (1) the names and addresses of DBE firms that will participate in the contract; (2) a description of the work that each DBE firm will perform; (3) the dollar amount of the participation of each DBE firm participating; (4) Written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet the contract goal; (5) Written confirmation from the DBE that it is participating in the contract as provided in the commitment made under (4); and (5) if the contract goal is not met, evidence of good faith efforts.

Section 26.55 Counting DBE Participation

We will count DBE participation toward overall and contract goals as provided in 49 CFR 26.55.

SUBPART D – CERTIFICATION STANDARDS**Section 26.61 – 26.73 Certification Process**

Duluth Airport Authority will use the certification standards of Subpart D of Part 26 to determine the eligibility of firms to participate as DBEs in DOT-assisted contracts. To be certified as a DBE, a firm must meet all certification eligibility standards. We will use the Minnesota Unified Certification Program (Mn/UCP) to certify firms under Part 26 requirements.

For information about the certification process or to apply for certification, firms should contact:

*Minnesota Department of Transportation
Office of EEO Contract Management
395 John Ireland Boulevard
St. Paul, MN 55155-1899
(651) 366-3073*

SUBPART E – CERTIFICATION PROCEDURES**Section 26.81 Unified Certification Programs**

Duluth Airport Authority is the member of a Unified Certification Program (UCP) administered by *Minnesota Department of Transportation*. The UPC will meet all of the requirements of this section. The following is a description of the UCP:

The Minnesota Uniform Certification Program (Mn/UCP) has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. Agencies that comprise the Mn/UCP have received Federal financial assistance from DOT and, as a condition of receiving this assistance, have signed an assurance that they will comply with 49 CFR Part 26. The Mn/UCP was submitted March 2002 and was approved.

Section 26.83 Procedures for Certification Decisions**Re-certifications 26.83(a) & (c)**

We will for recertifications use the Mn/UCP certification process that has been updated to Part 26 requirements.

“No Change” Affidavits and Notices of Change (26.83(j))

We require all DBEs to inform us, in a written affidavit, of any change in its circumstances affecting its ability to meet size, disadvantaged status, ownership or control criteria of 49 CFR Part 26 or of any material changes in the information provided with DBE's application for certification.

We will use the Mn/UCP certification process that meets the Part 26 requirements.

The UCP requires DBEs to submit with this affidavit documentation of the firm's size and gross receipts.

The UCP will notify all currently certified DBE firms of these obligations. This notification will inform DBEs that to submit the "no change" affidavit, their owners must swear or affirm that they meet all regulatory requirements of Part 26, including personal net worth. Likewise, if a firm's owner knows or should know that he or she, or the firm, fails to meet a Part 26 eligibility requirement (e.g. personal net worth), the obligation to submit a notice of change applies.

Personal Net Worth, (26.67(b))

All disadvantaged owners of applicant firms and currently certified DBE firms whose eligibility under Part 26 is reviewed are required to submit a statement of personal net worth. Attachment 4 sets forth our personal net worth form (*you are required to use SBA Form 413*) and the documentation respondents must submit with it.

Section 26.85 Denials of Initial Requests for Certification

We will use the Mn/UCP process for this requirement that meets the Part 26 requirements.

Section 26.86 Denials of Initial Requests for Certification

If we deny a firm's application or decertify it, it may not reapply until 12 months have passed from our action.

Section 26.87 Removal of a DBE's Eligibility

We will use the Mn/UCP process for this requirement that meets the Part 26 requirements.

Section 26.89 Certification Appeals

Any firm or complainant may appeal our decision in a certification matter to DOT. Such appeals may be sent to:

Department of Transportation
Office of Civil Rights Certification Appeals Branch
400 7th Street, SW
Room 2104
Washington, D.C. 20590

We will promptly implement any DOT certification appeal decisions affecting the eligibility of DBEs for our DOT-assisted contracting (e.g., certify a firm if DOT has determined that our denial of its application was erroneous).

SUBPART F – COMPLIANCE AND ENFORCEMENT

Section 26.109 Information, Confidentiality, Cooperation

We will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal, state, and local law. Notwithstanding any contrary provisions of state or local law, we will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than DOT) without the written consent of the submitter.

Monitoring Payments to DBEs

We will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of the Duluth Airport Authority, MnDOT or DOT. This reporting requirement also extends to any certified DBE subcontractor.

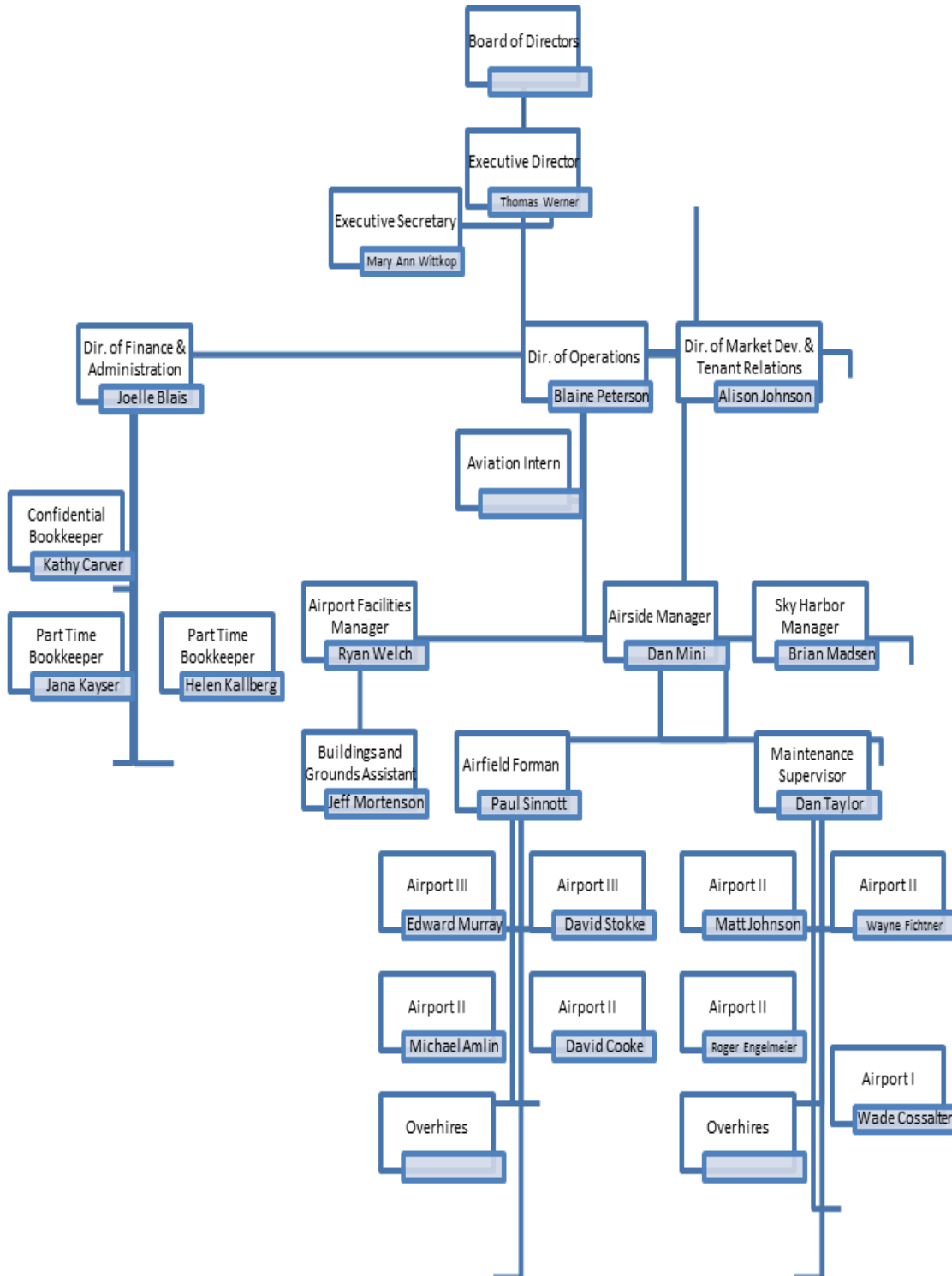
We will perform interim audits of contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts states in the schedule of DBE participation.

ATTACHMENTS

Regulations: 49 CFR Part 26 [include the e-version of the regulations, dated 12/2/03, found at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=19d94f5dd55c8d6dff1de8ec3a9c1ea3&rgn=div5&view=text&node=49:1.0.1.1.20&idno=49>]

Attachment 1	Organizational Chart
Attachment 2	DBE Directory
Attachment 3	Monitoring and Enforcement Mechanisms
Attachment 4	Bidders List
Attachment 5	Overall Goal Calculations
Attachment 6	Form 1 & 2 for Demonstration of Good Faith Efforts
Attachment 7	Certification Application Form
Attachment 8	Procedures for Removal of DBE's Eligibility or copy of the State's UCP Uniform Report of DBE Awards & Commitment [from the Final Rule from Federal Register, Volume 68, No. 115, dated 6/16/03—Forms can be found at: http://www.osdbu.dot.gov/Documents/pdf/dbe/03-14989.pdf]

Attachment 1
Organizational Chart



Attachment 2

DBE Directory

The Duluth Airport Authority utilizes the Minnesota Department of Transportation's Certified DBE Directory. This directory is maintained by the Mn DOT Office of EEO Contract Management and can be viewed or downloaded by visiting:

<http://www.dot.state.mn.us/civilrights/dbedirectory.html>

Attachment 3

Monitoring and Enforcement Mechanisms

The Airport Authority has available several remedies to enforce the DBE requirements contained in its contracts, including, but not limited to, the following:

1. Breach of contract action, pursuant to the terms of the contract;
2. Breach of contract action, pursuant to State Codes and / or Local Laws.

In addition, the federal government has available several enforcement mechanisms that it may apply to firms participating in the DBE problem, including, but not limited to, the following:

1. Suspension or debarment proceedings pursuant to 49 CFR part 26
2. Enforcement action pursuant to 49 CFR part 31
3. Prosecution pursuant to 18 USC 1001.

Attachment 5

Section 26.45: Overall Goal Calculation

Amount of Goal

The Duluth Airport Authority's overall three year goal for FY's 2013-2015 is the following: 3.2% of the Federal Financial assistance we will expend in DOT-assisted contracts.

1. Terminal Bid Pack 2D Overhead Walkway
2. Wildlife Assessment
3. Taxiway "A" Rehab, Phase 1
4. Taxiway "A" Rehab, Phase 2
5. Airfield Electrical Drainage
6. Sign Upgrade Airfield
7. Obstruction Removal
8. Sky Harbor Apron Rehab
9. Sky Harbor Pavement Maintenance
10. Sky Harbor Runway Shift – Phase 1
11. Sky Harbor Pavement Maintenance

Although some of these projects are not guaranteed to occur in FY's 2013-2015 depending on the availability of discretionary funding, DBE goals were set and factored into the overall DBE goal for FY's 2013-2015.

Given the amount of DOT-assisted contracts the Authority could expect to let during this fiscal year, which is approximately **\$9,770,000.00** (federal share only), the Duluth Airport Authority has set a goal of expending \$1,630,460 with DBEs during the three year period.

Methodology used to Calculate Overall Goal

Step 1: 26.45(c)

The following is a summary of the method the Duluth Airport Authority utilized to calculate the three year goal.

Determine the base figure for the relative availability of DBEs. The base figure for the relative availability of DBE's was calculated as follows:

$$\text{Base figure} = \frac{\text{Ready, willing and able DBEs}}{\text{All firms ready, willing and able}}$$

The data source or demonstrable evidence used to derive the numerator was: Minnesota Certified DBE Directory <http://www.dot.state.mn.us/bidlet/misfiles/pdf/dbedirec.pdf>, and any known DBE contractor information and the United States Census Bureau Information <http://www.census.gov/epcd/cbp/view/cbpview.html>

The data source or demonstrable evidence used to derive the denominator was: Northern Minnesota Builder's Exchange Directory and the yellow pages of the telephone books from the area, the number of firms with these NAICS codes was determined 379.

The Duluth Airport Authority decided to weight the projects by utilizing an engineer's estimate to more accurately depict the DBE goal. Based on the engineer's estimate, the following three pages summarize the DBE goal calculation for each project

**DULUTH INTERNATIONAL AIRPORT
TERMINAL BID PACK 2D OVERHEAD WALKWAY**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$790,000 in AIP FY 2013 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	3.9%	0	9	0.00%
Geotechnical Engineering	0.4%	1	5	0.07%
Erosion Sediment Control	1.3%	13	80	0.21%
Building Construction	38.9%	25	93	10.45%
Trucking	3.2%	50	2842	0.06%
Survey	0.6%	6	100	0.04%
Electrical	11.4%	22	163	1.54%
Total	59%	117	3292	12.354%

	\$
Total Project Cost	470,000.00
Anticipated DBE Participation	12.35%
***DBE Adjustment Factor	0.25
DBE Project Goal	3.1%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH INTERNATIONAL AIRPORT
WILDLIFE ASSESSMENT**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$30,000 in AIP FY 2014 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	100.0%	0	9	0.00%
Geotechnical Engineering	0.0%	1	5	0.00%
Erosion Sediment Control	0.0%	13	80	0.00%
Site Work/Demolition	0.0%	6	95	0.00%
Trucking	0.0%	50	2842	0.00%
Survey	0.0%	6	100	0.00%
Electrical	0.0%	22	163	0.00%
Total	100%	98	3294	0.000%

	\$
Total Project Cost	30,000.00
Anticipated DBE Participation	0.00%
***DBE Adjustment Factor	0.00
DBE Project Goal	0.0%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH INTERNATIONAL AIRPORT
TAXIWAY "A" REHAB. PHASE 1**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$1,900,000 in AIP FY 2014 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	14.5%	0	9	0.00%
Geotechnical Engineering	2.6%	1	5	0.53%
Erosion Sediment Control	1.3%	13	80	0.21%
Site Work/Demolition	57.9%	6	95	3.66%
Trucking	6.6%	50	2842	0.12%
Survey	1.8%	6	100	0.11%
Electrical	15.3%	22	163	2.06%
Total	100%	98	3294	6.683%

	\$
Total Project Cost	1,900,000.00
Anticipated DBE Participation	6.68%
***DBE Adjustment Factor	0.50
DBE Project Goal	3.3%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following
 Previous Years Participation
 Current Bidding Climate
 Project
 Schedule
 Project Size

**DULUTH INTERNATIONAL AIRPORT
TAXIWAY "A" REHAB. PHASE 2**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$1,900,000 in AIP FY 2015 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	14.5%	0	9	0.00%
Geotechnical Engineering	2.6%	1	5	0.53%
Erosion Sediment Control	1.3%	13	80	0.21%
Site Work/Demolition	57.9%	6	95	3.66%
Trucking	6.6%	50	2842	0.12%
Survey	1.8%	6	100	0.11%
Electrical	15.3%	22	163	2.06%
Total	100%	98	3294	6.683%

	\$
Total Project Cost	1,900,000.00
Anticipated DBE Participation	6.68%
***DBE Adjustment Factor	0.50
DBE Project Goal	3.3%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH INTERNATIONAL AIRPORT
AIRFIELD ELECTRICAL DRAINAGE**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$100,000 in AIP FY 2014 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	10.0%	0	9	0.00%
Geotechnical Engineering	0.7%	1	5	0.14%
Erosion Sediment Control	1.0%	13	80	0.16%
Site Work/Demolition	64.3%	6	95	4.06%
Trucking	2.1%	50	2842	0.04%
Survey	1.0%	6	100	0.06%
Electrical	20.9%	22	163	2.82%
Total	100%	98	3294	7.278%

	\$
Total Project Cost	350,000.00
Anticipated DBE Participation	7.28%
***DBE Adjustment Factor	0.50
DBE Project Goal	3.6%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH INTERNATIONAL AIRPORT
AIRFIELD SIGN UPGRADE**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$100,000 in AIP FY 2015 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	10.0%	0	9	0.00%
Geotechnical Engineering	0.0%	1	5	0.00%
Erosion Sediment Control	0.0%	13	80	0.00%
Site Work/Demolition	0.0%	6	95	0.00%
Trucking	0.0%	50	2842	0.00%
Survey	0.0%	6	100	0.00%
Electrical	90.0%	22	163	12.15%
Total	100%	98	3294	12.147%

Total Project Cost	\$ 100,000.00
Anticipated DBE Participation	12.15%
***DBE Adjustment Factor	0.25
DBE Project Goal	3.0%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH INTERNATIONAL AIRPORT
OBSTRUCTION REMOVAL**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$100,000 in AIP FY 2015 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	15.0%	0	9	0.00%
Geotechnical Engineering	0.0%	1	4	0.00%
Erosion Sediment Control	0.0%	3	6	0.00%
Site Work/Demolition	0.0%	1	12	0.00%
Trucking	0.0%	8	130	0.00%
Survey	5.0%	8	14	2.86%
Tree Trimming	80.0%	8	14	45.71%
Total	100%	29	189	48.571%

Total Project Cost	\$ 100,000.00
Anticipated DBE Participation	48.57%
***DBE Adjustment Factor	0.15
DBE Project Goal	7.3%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project Schedule
- Project Size

**DULUTH SKY HARBOR AIRPORT
APRON REHAB**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$705,000 in AIP FY 2014 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	15.6%	0	9	0.00%
Geotechnical Engineering	1.7%	1	4	0.43%
Erosion Sediment Control	1.4%	3	6	0.71%
Site Work/Demolition	72.6%	1	12	6.05%
Trucking	7.8%	8	130	0.48%
Survey	0.9%	8	14	0.53%
Total	100%	21	175	8.188%

Total Project Cost	\$ 705,000.00
Anticipated DBE Participation	8.19%
***DBE Adjustment Factor	0.50
DBE Project Goal	4.1%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project Schedule
- Project Size

**DULUTH SKY HARBOR AIRPORT
PAVEMENT MAINTENANCE**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$30,000 in AIP FY 2014 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	16.7%	0	9	0.00%
Geotechnical Engineering	1.7%	1	5	0.33%
Erosion Sediment Control	0.0%	13	80	0.00%
Site Work/Demolition	66.7%	6	95	4.21%
Trucking	15.0%	50	2842	0.26%
Survey	0.0%	6	100	0.00%
Total	100%	76	3131	4.808%

Total Project Cost	\$ 30,000.00
Anticipated DBE Participation	4.81%
***DBE Adjustment Factor	0.50
DBE Project Goal	2.4%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project Schedule
- Project Size

**DULUTH SKY HARBOR AIRPORT
RUNWAY SHIFT PHASE 1**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$3,450,000 in AIP FY 2015 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non- DBE RWA	Anticipated DBE Participation
Architect/Engineering	11.6%	0	9	0.00%
Geotechnical Engineering	0.7%	1	5	0.14%
Erosion Sediment Control	7.2%	13	80	1.18%
Site Work/Demolition	63.8%	6	95	4.03%
Trucking	4.3%	50	2842	0.08%
Survey	0.7%	6	100	0.04%
Electrical	11.6%	22	163	1.56%
Total	100%	98	3294	7.035%

	\$
Total Project Cost	3,450,000.00
Anticipated DBE Participation	7.03%
***DBE Adjustment Factor	0.25
DBE Project Goal	1.8%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

**DULUTH SKY HARBOR AIRPORT
PAVEMENT MAINTENANCE**

FY 2013-2015 DBE GOAL

This project is expected to utilize \$30,000 in AIP FY 2015 funds for the Improvements

Weighted value based on Engineer's Estimate

	% of Project	**DBE *RWA	Non-DBE RWA	Anticipated DBE Participation
Architect/Engineering	16.7%	0	9	0.00%
Geotechnical Engineering	1.7%	1	5	0.33%
Erosion Sediment Control	0.0%	13	80	0.00%
Site Work/Demolition	66.7%	6	95	4.21%
Trucking	15.0%	50	2842	0.26%
Survey	0.0%	6	100	0.00%
Total	100%	76	3131	4.808%

Total Project Cost	\$ 30,000.00
Anticipated DBE Participation	4.81%
***DBE Adjustment Factor	0.50
DBE Project Goal	2.4%
Race/Gender-Neutral	1.8%
Race/Gender-Conscious	1.0%

*RWA = Ready Willing and Able

**DBE= Disadvantaged Business Enterprise

***DBE Adjustment Factor = Factor based on the following

- Previous Years Participation
- Current Bidding Climate
- Project
- Schedule
- Project Size

Step 2: 26.45(d)

The Duluth Airport Authority past goal history was reviewed. The following projects are listed for reference.

1. Terminal Bid Pack 2D Overhead Walkway	3.1%
2. Wildlife Assessment	0.0%
3. Taxiway "A" Rehab – Phase 1	3.3%
4. Taxiway "A: Rehab – Phase 2	3.3%
5. Airfield Electrical Drainage	3.6%
6. Airfield Signage Upgrade	3.0%
7. Obstruction Removal	7.3%
8. Sky Harbor Apron Rehab	4.1%
9. Sky Harbor Pavement Maintenance	2.4%
10. Sky Harbor Runway Shift Phase 1	1.8%
11. Sky Harbor Pavement Maintenance	2.4

TOTAL: 38.4% AVERAGE: 3.2%

These past projects utilized the same SIC codes to compare past DBE participation with this year's goals. Because our base goal of 3.2% is close to past DBE participation with a similar project (Construct New Passenger Terminal 4.95%), the DAA will maintain this figure.

Public Participation

We published our goal information in these publications: Duluth News Tribune, Duluth, MN

Copies of the newspaper advertisements and any public comments received will be forwarded for review and included in this *Attachment 5*.

LEGAL ADVERTISING**NOTICE OF 2013/2014/-2015
DBE CONSTRUCTION GOAL**

THE DULUTH AIRPORT AUTHORITY HAS SET A DISADVANTAGED BUSINESS ENTERPRISE THREE YEAR GOAL OF 3.2% FOR THE FY's 2013-2015 FEDERALLY FUNDED PROJECTS. THE FEDERALLY FUNDED PROJECTS INCLUDE: TERMINAL BID PACK 2D OVERHEAD WALKWAY; WILDLIFE ASSESSMENT; TAXIWAY "A" REHAB-PHASE 1; TAXIWAY "A" REHAB – PHASE 2; AIRFIELD ELECTRICAL DRAINAGE; AIRFIELD SIGN UPGRADE; OBSTRUCTION REMOVAL; SKY HARBOR APRON REHAB; SKY HARBOR PAVEMENT MAINTENANCE; SKY HARBOR RUNWAY SHIFT-PHASE 1. THE GOALS AND RATIONALE ARE AVAILABLE FOR INSPECTION AND COMMENT DURING NORMAL BUSINESS HOURS AT THE AIRPORT ADMINISTRATION OFFICE, 4701 GRINDEN DRIVE, DULUTH, MN 55811 UNTIL MARCH 1, 2013. THE DULUTH AIRPORT WILL ACCEPT COMMENTS ON THE CONSTRUCTION GOAL UNTIL MARCH 1, 2013 AT THE ABOVE ADDRESS OR EMAIL: bpeterson@duluthairport.com

Attachment 5

Section 26.51: Breakout of Estimated Race-Neutral & Race Conscious Participation

Duluth Airport Authority will meet the maximum feasible portion of its overall goal by using race-neutral means of facilitating DBE participation. The Duluth Airport Authority uses the following race-neutral means to increase DBE participation: (1) Solicitation dates are scheduled to give potential participants ample time to direct questions and respond to bid requests. Bid advertisements are published in minority and non-minority publications to insure that potential participants are aware of the project. (2) While bonding is required of prime contractors to meet federal requirement the DAA does not impose these requirements on subcontractors and material suppliers. (3) Pre-bid conferences are held to explain the DBE program and make prime contractors aware of potential sources. (4) We will participate in local presentations or programs to explain contracting opportunities when such opportunities are available. (5) Copies of all plan holders are made available to all contractors in accordance with our standard copy policy.

We estimate that, in meeting our overall goal of 3.2%, we will obtain 0 to 1% from race-neutral participation and the majority (1.8%) through race-conscious measures (contract goals). An analysis (see next page – “DBE Participation Summary”) was done of the overall goal accomplishments during the last few years to determine the airport’s ability to achieve DBE participation on DOT assisted projects.

This analysis showed that less than 1% of our DBE accomplishments were beyond those required by contract goals. Because of the size of our organization, it is not feasible to devote extensive additional staffing or other resources to concentrate solely on the use of race-neutral means beyond what we have mentioned in this program. Should we become successful in obtaining higher than anticipated DBE participation, we will adjust the estimated breakout of race-neutral and race-conscious participation as needed to reflect actual DBE participation (see 26.51(0) and we will track and report race-neutral and race conscious participation separately. For reporting purposes, race-neutral DBE participation includes, but is not necessarily limited to, the following: DBE participation through a prime contract a DBE obtains through customary competitive procurement procedures; DBE participation through a subcontract on a prime contract that does not carry a DBE goal; DBE participation on a prime contract exceeding a contract goal; and DBE participation through a subcontract from a prime contractor that did not consider a firm’s DBE status in making the award.

Attachment 6

Forms 1 & 2 for Demonstration of Good Faith Efforts

[Forms 1 and 2 should be provided as part of the solicitation documents.]

FORM 1: DISADVANTAGED BUSINESS ENTERPRISE (DBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid specification in the following manner (please check the appropriate space):

_____ The bidder/offeror is committed to a minimum of _____ % DBE utilization on this contract.

_____ The bidder/offeror (if unable to meet the DBE goal of _____%) is committed to a minimum of _____% DBE utilization on this contract and should submit documentation demonstrating good faith efforts.

Name of bidder/offeror's firm:

State Registration No. _____

By _____

(Signature) Title

FORM 2: LETTER OF INTENT

Name of bidder/offeror's firm: _____

Address:

City: _____ State: _____ Zip: _____

Name of DBE firm:

Address:

City: _____ State: _____ Zip: _____

Telephone: _____

Description of work to be performed by DBE firm:

.....
.....
.....
.....

The bidder/offeror is committed to utilizing the above-named DBE firm for the work described above.
The estimated dollar value of this work is \$ _____.

Affirmation

The above-named DBE firm affirms that it will perform the portion of the contract for the estimated dollar value as stated above.

By _____

(Signature) Title

If the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.

[Submit this page for each DBE subcontractor.]

Attachment 7

Certification Application Form

For UCP certification and application procedures contact:

Minnesota Department of Transportation, Office of Civil Rights

395 John Ireland Boulevard Mail Stop 170

Minneapolis, MN 55155

612-366-3073

<http://mnucep.org/NewApplicants.html>

Attachment 8

Procedures for Removal of DBE's Eligibility or Copy of the State's UCP Procedure

Report any and all violations and contract breaches to the Minnesota DOT Office Civil Rights

<http://www.dot.state.mn.us/civilrights/>

Contractor Affidavit

This Contractor Affidavit must be certified by the Minnesota Department of Revenue before the state of Minnesota or any of its subdivisions can make final payment to contractors. For more detailed information, see the instructions on the back of this form.

Please type or print clearly. This information will be used for returning the completed form.

Company name		Daytime phone	Minnesota tax ID number
Address		Total contract amount	Month/year work began
City	State	ZIP code	
		\$	Month/year work ended
		Amount still due	
		\$	

Project Information

Project number	Project location			
Project owner	Address	City	State	ZIP code

Did you have employees work on this project? Yes No. If no, who did the work?

Contractor Type

Check the box that describes your involvement in the project and fill in all information requested.

Sole contractor

Subcontractor
 Name of contractor who hired you _____
 Address _____

Prime contractor—If you subcontracted out any work on this project, all of your subcontractors must submit their own Contractor Affidavits and have them certified by the Department of Revenue *before* you can submit your Contractor Affidavit. For each subcontractor you had, fill in the information below and attach a copy of each subcontractor's certified Contractor Affidavit. If you need more space, attach a separate sheet.

Business name	Address	Owner/Officer

Sign Here

I declare that all information I have filled in on this form is true and complete to the best of my knowledge and belief. I authorize the Department of Revenue to disclose pertinent information relating to this project, including sending copies of this form, to the prime contractor if I am a subcontractor, and to any subcontractors if I am a prime contractor, and to the contracting agency.

Contractor's signature	Title	Date

Mail to: Minnesota Revenue, Mail Station 6610, St. Paul, MN 55146-6610
 Phone: 651-282-9999 or 1-800-657-3594 (TTY: Call 711 for Minnesota Relay).

Certificate of Compliance

Based on records of the Minnesota Department of Revenue, I certify that the contractor who has signed this Contractor Affidavit has fulfilled all the requirements of Minnesota Statutes 290.92 and 270C.66 concerning the withholding of Minnesota income tax from wages paid to employees relating to contract services with the state of Minnesota and/or its subdivisions.

Department of Revenue approval

Date

Form IC134 Instructions

Contractor Affidavit

No state agency or local unit of government can make final payment to a contractor until the Department of Revenue has certified that the contractor and any subcontractor have fulfilled the requirements of Minnesota withholding tax laws.

If you are a prime contractor, a contractor or a subcontractor who did work on a project for the state of Minnesota or any of its local government subdivisions — such as a county, city or school district — you must submit a Contractor Affidavit to the Department of Revenue to receive a certificate of compliance.

Use of Information

The Department of Revenue needs **all** the requested information to determine if you have met the state income tax withholding requirements. If all required information is not provided, Form IC134 will be returned to you for completion.

All information on this Contractor Affidavit is private by state law. It cannot be given to others without your permission, except to the Internal Revenue Service, other states that guarantee the same privacy and certain government agencies as provided by law.

Minnesota Tax ID Number

You must have a Minnesota tax ID number if you have employees who work in Minnesota. You must enter your Minnesota tax ID number on Form IC134.

If you don't have a Minnesota tax ID number, apply online at www.revenue.state.mn.us or by calling our Business Registration Office at 651-282-5225 or 1-800-657-3605.

If you have no employees and did all the work yourself, you do not need a Minnesota tax ID number. Instead, enter your Social Security number in the space for Minnesota tax ID number and explain who did the work.

Submit Contractor Affidavit

Form IC134 cannot be processed by the Department of Revenue until you finish the work. If you submit the form before the project is completed, it will be returned to you unprocessed.

If any withholding payments are due to the state, Minnesota law requires certified payments before we approve your Form IC134.

If you are a subcontractor or sole contractor, submit the form when you have completed your part of the project.

If you are a prime contractor, submit the form when the entire project is completed and you have received certified Contractor Affidavits from all of your subcontractors.

If you're a prime contractor and a subcontractor on the same project

If you were hired as a subcontractor to do work on a project, and you subcontracted all or a part of your portion of the project to another contractor, you are a prime contractor as well. Complete both the subcontractor and prime contractor areas on a single Form IC134.

You may submit your Contractor Affidavit either electronically **or** by mail. This affidavit must be certified and returned before the state or any of its subdivisions can make final payment for your work.

For an immediate response: Complete and submit your Contractor Affidavit electronically. Go to www.revenue.state.mn.us and choose Withholding Tax. Under the File and Pay tab, click on Contractor Affidavit Information for Government Projects.

You may complete and mail Form IC134 to: Minnesota Revenue, Mail Station 6610, St. Paul, MN, 55146-6610. If you have fulfilled the requirements of Minnesota withholding tax laws, the department will sign your Form IC134 and return it to you.

To receive your final payment, submit the certified Contractor Affidavit to the government unit for which the work was done. If you are a subcontractor, submit the certified Contractor Affidavit to your prime contractor to receive your final payment.

Information and Assistance

Additional forms and information, including fact sheets and frequently asked questions, are available on our website.

Website: www.revenue.state.mn.us

Email: withholding.tax@state.mn.us

Phone: 651-282 9999 or 1-800-657-3594.

We'll provide information in other formats upon request to persons with disabilities.

Surety Deposits for Non-Minnesota Construction Contractors

12

Withholding Fact Sheet 12

Fact Sheet

This fact sheet explains the Minnesota law requiring surety deposits for many non-Minnesota construction contractors (M.S. 290.9705). If you need more information, call the phone number at the bottom of this page.

There must be 8 percent (.08) Minnesota withholding on payments made to non-Minnesota construction contractors once cumulative payments made to the contractor for work done in Minnesota exceed \$50,000 in a calendar year. The 8 percent payment is deposited with the Minnesota Department of Revenue to ensure the contractor's obligations to the State of Minnesota are met for withholding, sales and use, franchise and income taxes.

Contractors are eligible for an exemption if any one of the following applies:

1. The construction contractor gives the department a bond for 8 percent of the contract secured by an insurance company licensed in Minnesota. This is to guarantee that the construction contractor will comply with Minnesota law regarding withholding, sales and use, franchise and income taxes.
2. The construction contractor gives the department a cash surety. A cash surety is evidence of a savings account, deposit, or certificate of deposit in, or issued by, a state bank, national bank, or savings and loan association doing business in Minnesota. Interest and dividends earned on the principal amount may be retained by the contractor.
3. The construction contractor has a payment and performance bond required by government agencies.
4. The construction contractor has done construction work in Minnesota during the past three calendar years and has fully complied with Minnesota law regarding withholding, sales and use, franchise and income taxes.

Construction contractors can apply for an exemption from Minnesota surety deposit requirements by filing Form SDE, *Exemption from Surety Deposits for Non-Minnesota Contractors*.

If the contractor is not exempt, whoever hires the construction contractor is required to withhold the surety deposit from each payment made to the contractor. Form SDD, *Surety Deposits for Non-Minnesota Contractors*, is used to make the surety deposit.

The department will hold the surety deposits until the construction contractor's state tax obligations are considered fulfilled. The construction contractor can apply for a refund after the project is completed using Form SDR, *Refund of Surety Deposits for Non-Minnesota Contractors*. The department will refund, with interest, any amounts held as surety.

In addition, non-Minnesota construction contractors who are carrying on a trade or business as a sole proprietor and who work in Minnesota, are required to have 2 percent withheld from payments of \$600 or more. See Fact Sheet 18 for more information.

Non-Minnesota construction contractors doing work for Minnesota subdivisions (counties, cities, school districts, etc.) must file Form IC134, *Withholding Affidavit for Contractors*, in addition to complying with this surety provision.

Information and assistance

Forms, fact sheets and the withholding instruction booklet are available on our website at www.taxes.state.mn.us. If you don't have Internet access or have questions about your withholding responsibilities, call our office at the number below.

Withholding Tax Division, Mail Station 6501, St. Paul, MN 55146-6501
Phone: 651-282-9999 or 1-800-657-3594 (outside the MN metro area)
Minnesota Relay 711 (TTY)
E-mail: withholding.tax@state.mn.us

This fact sheet is intended to help you become more familiar with Minnesota tax laws and your rights and responsibilities under the laws. Nothing in this fact sheet supersedes, alters, or otherwise changes any provisions of the tax law, administrative rules, court decisions or revenue notices. Alternative formats available upon request.

Exemption from Surety Deposits for Non-Minnesota Contractors

Please type or print clearly. This will be your mailing label for returning the form to you.

Contractor information

Contractor		
Address		
City	State	Zip Code

Total contract amount \$	Minnesota tax ID number
Contact person	Daytime phone ()
Contract starting date	Projected completion date
Business type (check one):	
<input type="checkbox"/> Corporation	<input type="checkbox"/> S corporation
<input type="checkbox"/> Partnership	<input type="checkbox"/> Sole proprietor

Project information

Name of business or government agency	Contact person	Daytime phone ()
Contract owner's address City State Zip Code		Project number
Project location address City State Zip code		

I request exemption from surety deposits under Minnesota law (MS 290.9705) for the following reason (check one and complete the information requested):

- I have a cash surety or a bond secured by an insurance company licensed in Minnesota. The bond must be 8 percent of the total contract amount. **Attach a copy of the bonding agreement.**

Reason for exemption

Bonding company	Bonding agent
Address	Daytime phone ()
City State Zip code	Period of bond (month/day/year) From / / To / /

- I have done construction work in Minnesota during the past three calendar years and have fully complied with Minnesota law regarding Minnesota income, sales and withholding taxes.
- I am performing work for a government agency and have a payment and performance bond.
- I am performing work for a government agency and have a cash surety issued by a state bank, national bank, or savings and loan association doing business in Minnesota.

Sign here

I declare this information is true and complete to the best of my knowledge and belief. I authorize the Department of Revenue to send a copy of this form to the contract owner and discuss this case and related taxes with the bonding company.

Contractor's signature	Title	Date
------------------------	-------	------

Mail to: Minnesota Revenue, Mail Station 6501, St. Paul, MN 55146-6501

Department of Revenue Approval

The above-named out-of-state contractor is exempt from the surety requirements of Minnesota Statute 290.9705 for this project.

Department of Revenue approval

Date

Instructions for Form SDE

Who can apply?

A non-Minnesota contractor can apply for an exemption if your contract exceeds or is expected to exceed \$50,000 or multiple contracts have exceeded \$50,000 cumulative per calendar year for work done in Minnesota.

Before you start

You must have a Minnesota tax ID number from the Department of Revenue to request this exemption.

If you don't have one, you must apply for one. Go to our website at www.taxes.state.mn.us and click "Register for a Minnesota tax ID number" on the e-services menu. If you do not have Internet access, call Registration Services at 651-282-5225 or 1-800-657-3605.

How to apply

To apply for an exemption from Minnesota surety deposits, file Form SDE before the project is started.

Mail this form and any required attachments to the address on the front.

If you're approved

If we approve the exemption, we'll sign the bottom of this form and return it to you. Make a copy for your records and give the original to the business for whom you are doing the work.

If you're not approved

If we determine you're not eligible for exemption, 8 percent of each payment made to you must be withheld by the business for whom you are doing the work and deposited with the Department of Revenue.

To apply for a refund, complete Form SDR, *Refund of Surety Deposits for Non-Minnesota Contractors*. When the project is complete, and we determine that you have complied with Minnesota income, withholding and sales tax laws, you'll receive a refund plus interest at the current rate required by law.

Use of information

All information on this form is required except for your phone number.

All information is private by state law. It cannot be given to others without your permission, except to the Internal Revenue Service, other states that guarantee the same privacy, the contract owner or bonding company, and certain government agencies as provided by law.

Information and assistance

If you need help or additional information to fill out this form, call 651-282-9999 or 1-800-657-3594. TTY: Call 711 for Minnesota Relay.

A fact sheet on surety deposit requirements (Fact Sheet 12) is also available upon request.

We'll provide information in another format upon request to persons with disabilities.

Surety Deposits for Non-Minnesota Contractors

Please print

Business entity or Minnesota government unit making deposit		Contact person		
Contact person's address		Daytime phone ()		
Name of non-Minnesota contractor	Address	City	State	Zip code
Minnesota tax ID number	Project description/number			

Deposit

Date of payment _____

- | | | |
|---|----------|-----|
| 1 Gross payment made to the contractor | 1 | |
| 2 Withholding rate | 2 | .08 |
| 3 Amount to withhold from payment (multiply line 1 by line 2) | 3 | |

Send this amount to the address below. Make check payable to Minnesota Revenue.

Mail to: Minnesota Revenue, Mail Station 6501, St. Paul, MN 55146-6501

Instructions for Form SDD

If you're a person, cooperative, business or government unit that has hired a non-Minnesota contractor to perform construction work in Minnesota and the project is over or expected to go over \$50,000 (cumulative per calendar year) you must withhold 8 percent of each payment made to the contractor unless they have received an exemption.

Use Form SDD to make the deposits with the Minnesota Department of Revenue. Notify the contractor of the date and amount of the deposit because the contractor will need that information when requesting a refund.

Information and assistance

If you have questions or need help completing this form, call (651) 282-9999 or 1-800-657-3594. TTY: Call 711 for Minnesota Relay.

We'll provide information in an alternative format upon request to persons with disabilities.



Minnesota Department of Transportation
Request to Sublet Form (Standard Specification 1801)

Prime Contractor Information

Prime Contractor:	Telephone Number:
State Contract Number:	Fax Number:
Project Location:	Email:

Important Notices and Instructions

1. The Prime Contractor must complete all sections of this form, acquire all applicable signatures, and submit it to the Project Engineer (P.E.) **10 days** prior to the first day of work for each Subcontractor. The Prime Contractor may attach additional sheets, or use the *Request to Sublet Summary Form* on the Labor Compliance Unit website (LCU); <http://www.dot.state.mn.us/const/labor/documents/contractdocs/rtssummary.xls>
2. The Prime Contractor will ensure compliance with MnDOT's subcontracting requirements under MnDOT *Standard Specifications for Construction, Section 1801 Subletting of a Contract*, applicable to the contract and any additional supplemental 1801 provisions listed in the contracts.
3. A First Tier Subcontractor may sublet up to 50 percent of its original Contract.
4. A Second Tier Subcontractor may not sublet any portion of its work under the Contract.
5. Upon approval, the P.E. will sign the form and provide a copy to the Prime Contractor.
6. Upon request, the Prime Contractor will provide a copy of its written subcontracts to the P.E. or the Department.
7. Each Subcontractor must submit an IC-134 form to the Prime contractor and the Prime contractor shall submit the necessary IC-134 forms to the Department before the State of Minnesota or its Subdivisions will issue final payment.

First Tier Subcontractor Information

First Tier Subcontractor:	SWIFT Vendor ID:
Street Address:	Federal Tax I.D. Number:
City, State, Zip Code:	Minnesota Tax I.D. Number:
Telephone Number:	Email:
Fax Number:	Certified DBE Contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No

Contract Item No.	Contract Item Description	Quantity	Unit of Measurement	Unit Price	Amount
				<u>Total</u>	<u>Total</u>
				%	\$

The Prime Contractor and/or First Tier Subcontractors shall not sublet any portion of its Contract without prior written consent from the P.E.

Second Tier Subcontractor Information

Second Tier Subcontractor:			SWIFT Vendor ID:		
Street Address:			Federal Tax I.D. Number:		
City, State, Zip Code:			Minnesota Tax I.D. Number:		
Telephone Number:			Email:		
Fax Number:			Certified DBE Contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Contract Item No.	Contract Item Description	Quantity	Unit of Measurement	Unit Price	Amount
\$ <u>Total</u>					

CONTRACTOR'S STATEMENT OF COMPLIANCE

<u>Print Name and Title of Prime Contractor Representative</u>	<u>Signature</u>	<u>Date</u>
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As a representative of the Prime Contractor, I hereby certify that the information on this form is truthful and accurate to the best of my knowledge and that: All subcontracts are in writing and contain the appropriate requirements/provisions from the prime contract for the work performed by the individual subcontractor which includes: Special Provisions Division A, State and/or Federal wage determinations and the State certified truck rental rates. All subcontractors have viewed the Prevailing Wage Pre-construction videos and meeting agenda located on the MnDOT, LCU website. All subcontractors are meeting the requirements of [Minn. Stat. 16C.075](#) E-Verify and I have verified that all subcontractors have not been suspended or debarred by any governmental agency. **By signing this document, I certify that the first tier subcontractor listed on this document has verified in writing to me that it is a "Responsible Contractor" as defined in Minnesota Statutes 16C.285, subdivision 3. I further certify that each subcontractor I intend to use has been identified to the Department on Attachment A-1 or A-2 to the "Responsible Contractor Verification and Certification" Form.**

<u>Print Name and Title of First Tier Subcontractor Representative</u>	<u>Signature</u>	<u>Date</u>
---	-------------------------	--------------------

As a representative of the First Tier Subcontractor, I hereby certify that: All information listed in the First Tier Subcontractor Information above is true and accurate, I've reviewed our written subcontract with the prime and understand all applicable contract requirements and specifications for the work we will be performing on the contract, which includes but is not limited to: Special Provisions Division A, State and/or Federal wage determinations, State certified truck rental rates, I have viewed the Prevailing Wage Pre-construction video and meeting agenda on the MnDOT, LCU website and I have passed all appropriate prime contract requirements and specifications in a written subcontract onto all Second Tier Subcontractors. **By signing this document, I certify that our company is "Responsible Contractor" as defined in Minnesota Statutes 16C.285, Subdivision 3. I further certify that the second tier subcontractor listed on this document has verified in writing to me that it is a "Responsible Contractor" as defined in Minnesota Statutes 16C.285, Subdivision 3. If I intend to use any additional second tier subcontractors, I will identify them to the prime contractor not later than 14 days after retaining them and will obtain written verification of their status as a "Responsible Contractor" as defined in Minnesota Statutes 16C.285, Subdivision 3.**

<u>Print Name and Title of Second Tier Subcontractor Representative</u>	<u>Signature</u>	<u>Date</u>
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As a representative of the Second Tier Subcontractor, I hereby certify that: All company information listed in the Second Tier Subcontractor Information above is true and accurate, I've reviewed our written subcontract with the First Tier Subcontractor and understand all applicable prime contract requirements and specifications for the work to be performed on the contract, which includes but are not limited to: Special Provisions Division A, State and/or Federal wage determinations, State certified truck rental rates. I have also viewed the Prevailing Wage Pre-construction video and meeting agenda on the MnDOT, LCU website. **By signing this document, I certify that our company has verified, in writing to the First Tier Subcontractor, that it is a "Responsible Contractor" as defined in Minnesota Statutes 16C.285, Subdivision 3.**

<u>Print Name and Title of Project Engineer</u>	<u>Signature</u>	<u>Date</u>
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As a representative of the Department, I approve the Prime Contractor's utilization of the above-mentioned Subcontractors. Additionally, the Prime Contractor has complied with the terms established in Mn/DOT Standard Specifications for Construction, Section 1801.

All persons signing this form understand that willful falsification of this document may result in civil and/or criminal prosecution under federal and/or state law. See Minnesota Statutes 16B, 161.315 Subdivision 2, 177.43 Subdivision 5, 177.44 Subdivision 6, 609.63; or the United States Code 18 U.S.C. 1001, 31 U.S.C. 231, CFR 5.12.

For additional information, visit the Labor Compliance website at: <http://www.dot.state.mn.us/const/labor/>
 Pre-Construction Meeting Videos and Agenda link: <http://www.dot.state.mn.us/const/labor/resources.html#pre-construction>
 Debarment links; State: <http://www.mmd.admin.state.mn.us/debarredreport.asp> Federal: <https://www.epls.gov/>

**NOTICE OF DETERMINATION OF MINIMUM TRUCK RENTAL RATES
AND NOTICE OF INFORMAL CONFERENCE PURSUANT TO
*MINNESOTA RULES, PART 5200.1105***

On March 12, 2012, the commissioner determined the minimum truck rental rates for state funded highway construction projects.

The truck rental rate is determined for each equipment type by adding the average of the itemized costs of operating the vehicle as submitted by survey respondents to the certified prevailing wage rate for the driver. The determination of the minimum truck rental rates by region are as follows:

3 Axle Units				
	Effective Date	607 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	certification date	39.70	37.35	77.05
	May 1, 2012	40.10	37.35	77.45
Region 2	certification date	33.36	37.35	70.71
	May 1, 2012	33.76	37.35	71.11
Region 3	certification date	25.40	37.35	62.75
	May 1, 2012	25.40	37.35	62.75
Region 4	certification date	33.36	37.35	70.71
	May 1, 2012	33.76	37.35	71.11
Region 5	certification date	40.10	37.35	77.45
	May 1, 2012	40.50	37.35	77.85
Region 6	certification date	37.90	37.35	75.25
	May 1, 2012	38.30	37.35	75.65
Region 7	certification date	33.36	37.35	70.71
	May 1, 2012	33.76	37.35	71.11
Region 8	certification date	33.36	37.35	70.71
	May 1, 2012	33.76	37.35	71.11
Region 9	certification date	40.10	37.35	77.45
	May 1, 2012	40.50	37.35	77.85
Region 10	certification date	13.22	37.35	50.57
	May 1, 2012	13.22	37.35	50.57

4 or more Axle Units

	Effective Date	604 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	certification date	39.80	45.62	85.42
	May 1, 2012	40.20	45.62	85.82
Region 2	certification date	33.51	45.62	79.13
	May 1, 2012	33.91	45.62	79.53
Region 3	certification date	24.71	45.62	70.33
	May 1, 2012	24.71	45.62	70.33
Region 4	certification date	33.51	45.62	79.13
	May 1, 2012	33.91	45.62	79.53
Region 5	certification date	26.34	45.62	71.96
	May 1, 2012	26.34	45.62	71.96
Region 6	certification date	38.00	45.62	83.62
	May 1, 2012	38.40	45.62	84.02
Region 7	certification date	20.87	45.62	66.49
	May 1, 2012	20.87	45.62	66.49
Region 8	certification date	20.87	45.62	66.49
	May 1, 2012	20.87	45.62	66.49
Region 9	certification date	40.20	45.62	85.82
	May 1, 2012	40.60	45.62	86.22
Region 10	certification date	32.91	45.62	78.53
	May 1, 2012	32.91	45.62	78.53

Tractor		Tractor Only			Plus Trailer	Tractor Trailer
	Effective Date	602 Driver Rate	Operating Cost	Truck Rental Rate	Operating Cost	Rental Rate
Region 1	certification date	40.35	35.82	76.17	11.46	87.63
	May 1, 2012	40.75	35.82	76.57	11.46	88.03
Region 2	certification date	34.02	35.82	69.84	11.46	81.30
	May 1, 2012	34.42	35.82	70.24	11.46	81.70
Region 3	certification date	22.37	35.82	58.19	11.46	69.65
	May 1, 2012	22.37	35.82	58.19	11.46	69.65
Region 4	certification date	34.02	35.82	69.84	11.46	81.30
	May 1, 2012	34.42	35.82	70.24	11.46	81.70
Region 5	certification date	21.38	35.82	57.20	11.46	68.66
	May 1, 2012	21.38	35.82	57.20	11.46	68.66
Region 6	certification date	37.95	35.82	73.77	11.46	85.23
	May 1, 2012	37.95	35.82	73.77	11.46	85.23
Region 7	certification date	25.85	35.82	61.67	11.46	73.13
	May 1, 2012	25.85	35.82	61.67	11.46	73.13
Region 8	certification date	34.02	35.82	69.84	11.46	81.30
	May 1, 2012	34.42	35.82	70.24	11.46	81.70
Region 9	certification date	40.75	35.82	76.57	11.46	88.03
	May 1, 2012	41.15	35.82	76.97	11.46	88.43
Region 10	certification date	33.42	35.82	69.24	11.46	80.70
	May 1, 2012	33.42	35.82	69.24	11.46	80.70

The truck driver prevailing wage rates, operating costs and truck rental rates may also be reviewed by accessing the department's web site at www.dli.mn.gov. Questions regarding the truck rental rates or the informal conference noticed below can be answered by calling (651) 284-5091.

PLEASE TAKE NOTICE that on Wednesday, April 4, 2012, from 10:00AM to 11:00AM in the Minnesota Room, at the Minnesota Department of Labor and Industry, 443 Lafayette Road North, St. Paul, Minnesota, 55155, the department will hold the informal conference pursuant to *Minnesota Rules*, part 5200.1105. The informal conference is a public meeting and its purpose is to receive further input about construction truck operational costs prior to the certification and publication of the minimum truck rental rates.

The truck operational cost data used in the determination is 2010 data submitted to the department by survey in 2011. Fuel costs have continued to be volatile from 2010 to the present and interested parties may wish to provide input regarding fuel costs or other truck operational costs from 2010 to the present. The Department will consider all such input prior to certifying the truck rental rates for 2012.

Written input on construction truck operational costs may be submitted in advance of the informal conference by sending them to: Michelle Dreier, State Program Administrative Director, Prevailing Wage, Minnesota Department of Labor and Industry, 443 Lafayette Road N. St Paul MN 55155-4341. Written input must be received by March 28, 2012 in order to assure it is considered prior to the informal conference. Written input may also be submitted at the informal conference and persons may provide oral input at the informal conference as time allows.

The data, survey summary sheets and other documents used in determining truck operating costs will be reviewed and available for inspection at the informal conference. Copies may be obtained by contacting the department's prevailing unit at (651) 284-5091.

Subsequent to the informal conference the minimum truck rental rates for these four types of trucks will be certified and notice of the certification will be published in the *State Register*.

The minimum truck rental rates for these four types of trucks in the state's ten highway and heavy construction areas will be effective for all highway and heavy construction projects financed in whole or part with state funds advertised for bid on or after the day the notice of certification is published in the *State Register*.



Ken B. Peterson,
COMMISSIONER

**DEPARTMENT OF LABOR AND INDUSTRY
LABOR STANDARDS UNIT**

May 1, 2012

**NOTICE OF CERTIFICATION OF TRUCK RENTAL RATES AND EFFECTIVE
DATE PURSUANT TO MINNESOTA RULES, PART 5200.1105**

On May 1, 2012, the Commissioner of the Department of Labor and Industry (“DLI”) certified the minimum truck rental rates for highway projects in the state’s ten highway and heavy construction areas for trucks and drivers operating “four or more axle units, straight body trucks,” “three axle units,” “tractor only” and “tractor trailers.” The certification followed publication of the Notice of Determination of Truck Rental Rates in the *State Register* on March 12, 2012, and the informal conference held pursuant to Minnesota Rules, part 5200.1105 on April 4, 2012.

According to Minnesota Rules, part 5200.1105, the purpose of the informal conference is for DLI to obtain further input regarding the proposed rates before the rates are certified. Approximately 18 individuals attended the informal conference. Many of the attendees voiced strong concerns regarding the inadequacy of the proposed rates. Among the concerns raised was the fact that the proposed rates were based on 2010 costs, including the 2010 price of fuel. Speakers indicated that because of the dramatic increase in the price of diesel in recent months, the published rates were far below the operators’ current costs. As stated by some attendees:

“This year, right now yesterday we were paying \$4.10...I know when fuel went up that last time, a lot of us had to eat the cost because there was no way of recouping it.”

Testimony of Colleen Donovan, Transcript of Informal Conference, pp. 13, 14.

Ms. Donovan provided DLI written information that her 2010 average cost for fuel was \$2.99 per gallon.

“And, like the price of fuel, \$4.25, \$4.30. That’s what it is down by my place, anyway.”

Testimony of Bob Dornsbach, Transcript of Informal Conference, p. 32.

Mr. Bob Dornsbach provided DLI written information that in October 2010 his fuel cost was \$3.15 per gallon.

In response to the informal conference Jim Lloyd provided written information that his 2010 fuel cost was close to \$3.00 per gallon and “now is at \$4.00 plus and it does not look like it is going to decrease.”

After the informal conference, Tom Barnes provided written information that his fuel costs in March 2010 were \$2.82 per gallon and that his fuel costs for March 2012 were \$4.07 per gallon.

Following the informal conference, DLI staff obtained data from the United States Department of Energy (“DOE”) regarding the price of diesel during 2010 as compared to current costs.¹ That data, available at www.eia.doe.gov, show that the average price of diesel during 2010 was \$2.964 per gallon. The average price of diesel during January, February, and March 2012 was \$3.862 per gallon. Consequently, the average price of diesel for the first three months of this year was 30.4% higher than the average cost of diesel during 2010.

The purpose of Minnesota Rules, part 5200.1105, as stated in its Statement of Need and Reasonableness, is to “provide equitable compensation” to independent truck operators. The commissioner finds that in order to carry out the purpose of the rule, it is appropriate to consider the concerns expressed at the informal conference² and to use average 2012 diesel costs in computing and certifying 2012 truck rental rates. Specifically, the commissioner finds that the extreme disparity between 2010 and current fuel costs warrants this adjustment in order for truck operators to be equitably compensated.³

Construction truck operating costs were initially determined by survey on a statewide basis and were the subject of further input by interested parties attending the informal conference pursuant to Minnesota Rules, part 5200.1105 on April 4, 2012 and further data on fuel prices from the DOE for 2010 and 2012. In light of the discussion above, fuel costs stated in the surveys were adjusted upward by 30.4% to determine statewide operating costs. As a result of this adjustment, the operating cost for “four axle units, straight body trucks” is determined to be \$51.58 per hour; the operating cost for “three axle units” is determined to be \$37.35 per hour; the operating cost for “tractor only” is determined to be \$41.43 per hour; and the operating cost for “tractor trailers” is determined to be \$52.89 per hour.

Adding the prevailing wage for drivers of these four types of trucks from each of the State’s ten highway and heavy construction areas to the operating costs, the minimum

¹ U.S. Energy Information Administration Midwest No. 2 Retail Prices (Dollars per Gallon)

² The DLI has historically used input from the informal conferences to establish certified rates. For example, truck rental rates certified in 2009 varied from the proposed rates based on information gathered at the informal conference.

³ The commissioner notes that the Minnesota Department of Transportation incorporates a fuel adjustment clause in certain of its contracts to accommodate the fluctuating price of fuel. That clause generally provides for the adjustment of contract payments when the cost of fuel increases or decreases by more than 15% from an indexed rate during the term of the contract. By using 2012 fuel costs in certifying 2012 truck rental rates, the commissioner is not intending to adopt or establish a similar fuel adjustment mechanism. Rather, he is taking this action to effectuate the purpose of Part 5200.1105 in light of the concerns raised at the informal conference and the dramatic increase in the price of diesel between 2010 and effective date of 2012 truck rental rates.

hourly truck rental rate for the four types of trucks in each area is certified to be as follows:

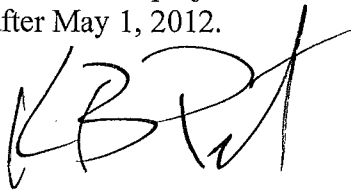
		3 Axle Units		
	Effective Date	607 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	May 1, 2012	40.10	37.35	77.45
Region 2	May 1, 2012	33.76	37.35	71.11
Region 3	May 1, 2012	25.40	37.35	62.75
Region 4	May 1, 2012	33.76	37.35	71.11
Region 5	May 1, 2012	40.50	37.35	77.85
Region 6	May 1, 2012	38.30	37.35	75.65
Region 7	May 1, 2012	33.76	37.35	71.11
Region 8	May 1, 2012	33.76	37.35	71.11
Region 9	May 1, 2012	40.50	37.35	77.85
Region 10	May 1, 2012	13.22	37.35	50.57

		4 or more Axle Units		
	Effective Date	604 Driver Rate	Operating Cost	Truck Rental Rate
Region 1	May 1, 2012	40.20	51.58	91.78
Region 2	May 1, 2012	33.91	51.58	85.49
Region 3	May 1, 2012	24.71	51.58	76.29
Region 4	May 1, 2012	33.91	51.58	85.49
Region 5	May 1, 2012	26.34	51.58	77.92
Region 6	May 1, 2012	38.40	51.58	89.98
Region 7	May 1, 2012	20.87	51.58	72.45
Region 8	May 1, 2012	20.87	51.58	72.45
Region 9	May 1, 2012	40.60	51.58	92.18
Region 10	May 1, 2012	32.91	51.58	84.49

		Tractor				
	Effective Date	602 Driver Rate	Operating Cost	Tractor Only Truck Rental Rate	Plus Trailer Operating Cost	Tractor Trail Rental Rate
Region 1	May 1, 2012	40.75	41.43	82.18	11.46	93.64
Region 2	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 3	May 1, 2012	22.37	41.43	63.80	11.46	75.26
Region 4	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 5	May 1, 2012	21.38	41.43	62.81	11.46	74.27
Region 6	May 1, 2012	37.95	41.43	79.38	11.46	90.84
Region 7	May 1, 2012	25.85	41.43	67.28	11.46	78.74
Region 8	May 1, 2012	34.42	41.43	75.85	11.46	87.31
Region 9	May 1, 2012	41.15	41.43	82.58	11.46	94.04
Region 10	May 1, 2012	33.42	41.43	74.85	11.46	86.31

The operating costs, including the average truck broker fees paid by those survey respondents who reported paying truck broker fees, and the truck rental rates may also be reviewed by accessing DLI's website at www.dli.mn.gov. Questions regarding the operational costs and truck rental rates can be answered by calling (651) 284-5091.

The minimum truck rental rates certified for these four types of trucks in the state's ten highway and heavy construction areas will be effective for all highway and heavy construction projects financed in whole or part with state funds advertised for bid on or after May 1, 2012.



KEN B. PETERSON
COMMISSIONER

**NOTICE TO BIDDERS
SUSPENSIONS/DEBARMENTS**

April 8, 2015
Page 1 of 3

DEPARTMENT OF TRANSPORTATION

NOTICE OF SUSPENSION

NOTICE IS HEREBY GIVEN that MnDOT has ordered that the following vendors be suspended effective July 8, 2014:

- Marlin Dahl, Granada, MN
- Dahl Trucking, Elmore, MN
- Elmore Truck and Trailer, Inc., Elmore, MN

NOTICE OF DEBARMENT

NOTICE IS HEREBY GIVEN that MnDOT has ordered that the following vendors be debarred for a period of three (3) years, effective May 6, 2013 until May 6, 2016:

- Gary Francis Bauerly and his affiliates, Rice, MN
- Gary Bauerly, LLC and its affiliates, Rice, MN
- Watab Hauling Co. and its affiliates, Rice, MN

NOTICE IS HEREBY GIVEN that MnDOT has ordered that the following vendors be debarred for a period of three (3) years, effective September 17, 2014 until September 17, 2017:

- Jeffrey Plzak and his affiliates, Loretto, MN
- Laurie Plzak and her affiliates, Loretto, MN
- Honda Electric Incorporated and its affiliates, Loretto, MN
- Jeffrey and Laurie Plzak doing business as Honda Electric Logistics, and its affiliates, Loretto, MN

Minnesota Statute section 161.315 prohibits the Commissioner, counties, towns, or home rule or statutory cities from awarding or approving the award of a contract for goods or services to a person who is suspended or debarred, including:

- 1) any contract under which a debarred or suspended person will serve as a subcontractor or material supplier,
- 2) any business or affiliate which the debarred or suspended person exercises substantial influence or control, and
- 3) any business or entity, which is sold or transferred by a debarred person to a relative or any other party over whose actions the debarred person exercises substantial influence or control, remains ineligible during the duration of the seller's or transfer's debarment.

**NOTICE TO BIDDERS
SUSPENSIONS/DEBARMENTS**

April 8, 2015
Page 2 of 3

DEPARTMENT OF ADMINISTRATION

As of the date of this notice and in accordance with Minnesota Rules 1230.1150, the Minnesota Department of Administration has debarred and disqualified the following persons and businesses from entering into or receiving a State of Minnesota contract:

NAME	DATE OF SUSPENSION
Bi-Coastal Pharma International, LLC Ralph Massa, Jr. 1161 Broad Street #216 Shrewsbury, NJ 07702	March 11, 2015 through September 11, 2015
Devos, Ltd. d/b/a Guaranteed Returns Dean Volkes, Donna Fallon & Ronald Carlino 100 Colin Drive Holbrook, NY	December 5, 2014 through December 31, 2099
Southwest Paving, Inc. Greg Brakefield Norwood, MN 55368-4546	March 11, 2015 through September 11, 2015
NAME	DATE OF DEBARMENT
Best Used Trucks of Minnesota, Inc. Jason W. Leas 635 Marin Avenue Crookston, MN 56716	Nov. 20, 2012 through Nov. 20, 2015 (eligible for reinstatement on Nov. 20, 2016)
Bull Dog Leasing, Inc. Marlin Louis Danner 7854 Danner Court Inver Grove Heights, MN 55076	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Dahl Trucking Marlin Dahl 305 Highway 169 South Elmore, MN 56027	Aug. 19, 2014 through Aug. 19, 2017 (eligible for reinstatement on Aug. 19, 2018)
Danner Family Ltd. Partnership Marlin Louis Danner 843 Hardman Avenue South St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Danner, Inc. Marlin Louis Danner 843 Hardman Ave. S. S. St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Ell-Z Trucking, Inc. Marlin Louis Danner 843 Hardman Avenue South St. Paul, MN 55075	Aug. 30, 2011 through Aug. 30, 2014 (eligible for reinstatement on Aug. 30, 2015)
Elmore Truck and Trailer Repair, Inc. Marlin Dahl 305 Highway 169 South Elmore, MN 56027	Aug. 19, 2014 through Jan. 12, 2018 (eligible for reinstatement on Jan. 12, 2019)
Franklin Drywall, Inc. Philip Joseph Franklin 43279 Fieldsview Court Leesburg, VA 20176	March 25, 2011 through March 25, 2014 (eligible for reinstatement on March 25, 2015)
Groundscape Maintenance, Inc. Rob Sievers 1160 County Road 83 Maple Plain, MN 55359	February 19, 2015 through February 19, 2016 (eligible for reinstatement February 19, 2017)

NOTICE TO BIDDERS
SUSPENSIONS/DEBARMENTS

April 8, 2015
Page 3 of 3

Honda Electric, Inc. Jeffrey and Laurie Plzak 5075 Nielsen Circle, P.O. Box 236 Loretto, MN 55357	July 24, 2014 through July 23, 2017 (eligible for reinstatement on July 23, 2018)
Master Drywall, Inc. Philip Joseph Franklin 43279 Fieldsview Court	March 25, 2011 through March 25, 2014 (eligible for reinstatement on March 25, 2015)
McCaa, Webster & Associates, Inc. Sammie McCaa 2751 Hennepin Avenue South, #301 Minneapolis, MN 55408-1002	May 1, 2014 through April 30, 2015 (eligible for reinstatement on April 30, 2016)
MG Carlson Construction Company, Inc. Martin Gerald Carlson 701 East First Street Fort Worth, TX 76102-3276	Sept. 5, 2014 through October 5, 2015 (eligible for reinstatement on April 5, 2016)
Ocuture, LLC 11930 Camby Park Drive Houston, TX 77047	Dec. 15, 2014 through Dec. 15, 2015 (eligible for reinstatement Dec. 15, 2016)
Ramco Heating and Air Conditioning Mark and Cheryl Ramquist 605 Ash Street Downing, WI 54734	March 11, 2015 through March 11, 2016 (eligible for reinstatement March 11, 2017)
St. Cloud Lawn & Landscaping, Inc. Pat Murphy 10602 County Road 2 Brainerd, MN 56401	February 20, 2015 through February 20, 2016 (eligible for reinstatement on Feb. 20, 2017)
TAC Construction Solutions, Inc. Christina Woods 31767 Deacons Way Pequot Lakes, MN 56472	August 19, 2014 through August 19, 2016 (eligible for reinstatement on August 19, 2017)
Watab Hauling Co. Gary Francis Bauerly 9695 Deerwood Rd. NE Rice, MN 56367	Jan. 14, 2013 through Jan. 14, 2016 (eligible for reinstatement on Jan. 14, 2017)

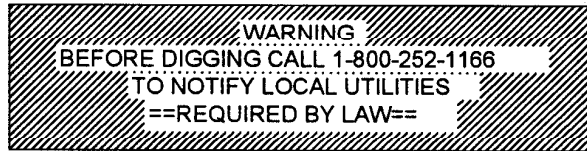
Minnesota Administrative Rule part 1230.1150, subpart 6 requires the Materials Management Division to maintain a master list of all suspensions and debarments. The master list must retain all information concerning suspensions and debarments as a public record for at least three (3) years following the end of a suspension or debarment. Refer to the following website for the master list: <http://www.mmd.admin.state.mn.us/debarredreport.asp>.

If the project is financed in whole or in part with federal funds, refer to the following website for vendors debarred by federal government agencies: <http://sam.gov>.

**INFORMATION TO BE GIVEN TO GOPHER STATE ONE CALL SYSTEM
FOR LOCATIONS OF ALL UTILITIES (1-800-252-1166)**

CALL 48 HOURS (2 WORKING DAYS) IN ADVANCE OF ANY EXCAVATION.
THE ONE CALL OPERATOR WILL REQUIRE THE FOLLOWING INFORMATION:

- | | |
|-------------------------------------|--|
| 1. TYPE OF REQUEST BEING PLACED. | 9. DURATION OF WORK |
| 2. TELEPHONE/CALLER I.D. NUMBER | 10. TYPE OF WORK |
| 3. CALLER NAME AND COMPANY NAME. | 11. WHO THE WORK IS BEING DONE FOR. |
| 4. MAILING ADDRESS | 12. COUNTY AND CITY/PLACE NAME. |
| 5. ALTERNATE CONTACT NAME & PHONE # | 13. STREET ADDRESS OF WORK SITE |
| 6. DATE WORK IS TO BEGIN | 14. MARKING INSTRUCTIONS |
| 7. WHETHER EXPLOSIVES WILL BE USED | 15. REMARKS |
| 8. IS WORK IN RIGHT OF WAY (R.O.W.) | 16. TOWNSHIP, RANGE, SECTION & QUARTER |



**UTILITY LOCATION & COORDINATION COUNCIL
UNIFORM COLOR CODE**

RED	ELECTRIC POWER LINES, CABLES, CONDUIT AND LIGHTING CABLES
YELLOW	GAS, OIL, STEAM, PETROLEUM OR GASEOUS MATERIAL.
ORANGE	COMMUNICATION, ALARM OR SIGNAL LINES, CABLES OR CONDUIT.
BLUE	WATER, IRRIGATION AND SLURRY LINES
GREEN	SEWERS AND DRAIN LINES.
FLUORESCENT PINK	FOR SURVEYING PURPOSES.
WHITE	PROPOSED EXCAVATION.

**GUIDELINES FOR UNIFORM
TEMPORARY MARKING
OF UNDERGROUND FACILITIES**

THIS MARKING GUIDE PROVIDES FOR UNIVERSAL USE AND UNDERSTANDING OF THE TEMPORARY MARKING OF SUBSURFACE FACILITIES TO PREVENT ACCIDENTAL DAMAGE OR SERVICE INTERRUPTION BY CONTRACTORS, UTILITY COMPANIES OR ANY OTHERS WORKING ON OR NEAR THOSE UNDERGROUND FACILITIES.

USE OF MARKINGS

USE COLOR-CODED SURFACE MARKS (PAINT OR SIMILAR COATING) TO INDICATE THE LOCATION, CHANGE IN DIRECTION AND DEADENDS OF BURIED LINES. TO INCREASE VISIBILITY, COLOR-CODED VERTICAL MARKERS (TEMPORARY STAKES OR FLAGS) SHOULD SUPPLEMENT SURFACE MARKS. ALL MARKS AND MARKERS SHOULD INDICATE THE NAME, INITIALS OR LOGO OF THE COMPANY THAT OWNS OR OPERATES THE LINE, AND THE WIDTH OF THE FACILITY IF IT IS GREATER THAN TWO INCHES.

IF THE SURFACE OVER THE BURIED LINE IS TO BE REMOVED, SUPPLEMENTAL OFFSET MARKING MAY BE USED. OFFSET MARKINGS SHOULD BE UNIFORM ALIGNMENT AND MUST CLEARLY INDICATE THAT THE ACTUAL FACILITY IS A SPECIFIC DISTANCE AWAY.

LOCATION TOLERANCE ZONE

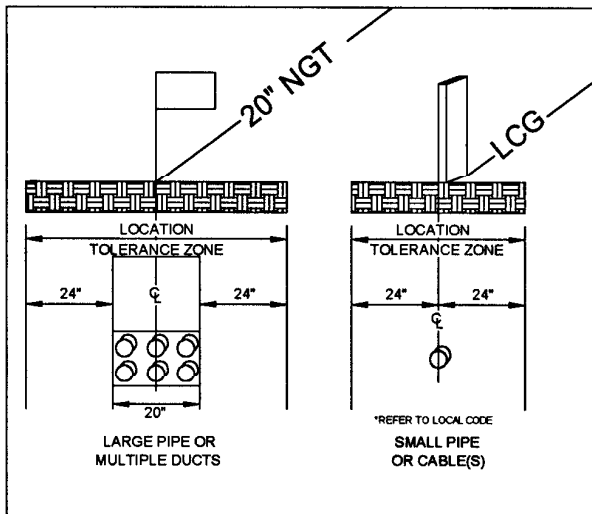
USUALLY, ANY EXCAVATION WITHIN THE LOCATION TOLERANCE ZONE MUST BE PERFORMED WITH HAND TOOLS UNTIL THE MARKED FACILITY IS EXPOSED.

PROPOSED EXCAVATION

THE LOCATION OR THE BOUNDARY OF PROPOSED EXCAVATIONS SHOULD BE INDICATED IN A COLOR (USUALLY WHITE) WHICH DOES NOT CONFLICT WITH THE UNIFORM COLOR CODE.

ONE-CALL DAMAGE PREVENTION SYSTEMS

EXISTING ONE-CALL SYSTEMS MUST BE USED TO MINIMIZE DAMAGE TO BURIED LINES.



SPECIAL INSTRUCTIONS TO BIDDERS REGARDING EEO

Notice of Requirement for Affirmative Action (41 CFR Part 60-2 and Executive Order 11246, as amended)

1. The Offeror's or Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" set forth herein.
2. The goals and timetables for minority and female participation, expressed in percentage terms for the contractor's aggregate work force in each trade on all construction work in the covered area, are as follows:

TIMETABLES

Goals of minority participation in each trade	Goals for female participation in each trade
3.0%	6.9%
(Vol. 45, Fed. Reg., Pg. 65984, 10/03/80)	

These goals are applicable to all the contractor's construction work (whether or not it is Federal or Federally assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and nonfederally involved construction.

The contractor's compliance with the executive order and the regulations in 41 CFR Part 60-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR Part 60-4.3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from contractor to contractor or from project to project, for the sole purpose of meeting the contractor's goals, shall be a violation of the contract, the Executive Order, and the regulations in 41 CFR Part 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The contractor shall provide written notification to the Director, OFCCP, within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address, and telephone number of the subcontractor; employer identification number; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and, the geographical area in which the contract is to be performed.
4. As used in this notice and in the contract resulting from this solicitation, the "covered area" is, **Carlton County, Minnesota.**
5. **AFFIRMATIVE ACTION PLAN**
The Department of Labor is responsible for administering the Executive Order 11246, which contains requirements for an Affirmative Action Plan. This Plan is similar in content and requirements to the affirmative action plan required in 49 CFR Part 152 subpart e. 49 CFR Part 152 applied to grants issued under the Airport Development Aid Program, which was replaced by the Airport Improvement Program.

**Certification Regarding Debarment, Suspension,
Ineligibility and Voluntary Exclusion**

(Reference: 2 CFR part 180 (Subpart C), 2 CFR part 1200, DOT Order 4200.5
DOT Suspension & Debarment Procedures & Ineligibility)

**CERTIFICATE REGARDING DEBARMENT AND SUSPENSION
(BIDDER OR OFFEROR)**

By submitting a bid/proposal under this solicitation, the bidder or offeror certifies that at the time the bidder or offeror submits its proposal that neither it nor its principals are presently debarred or suspended by any Federal department or agency from participation in this transaction.

**CERTIFICATION REGARDING DEBARMENT AND SUSPENSION
(SUCCESSFUL BIDDER REGARDING LOWER TIER PARTICIPANTS)**

The successful bidder, by administering each lower tier subcontract that exceeds \$25,000 as a "covered transaction", must verify each lower tier participant of a "covered transaction" under the project is not presently debarred or otherwise disqualified from participation in this federally assisted project. The successful bidder will accomplish this by:

1. Checking the System for Award Management at website: <http://www.sam.gov>
2. Collecting a certification statement similar to the Certificate Regarding Debarment and Suspension (Bidder or Offeror), above.
3. Inserting a clause or condition in the covered transaction with the lower tier contract

If the FAA later determines that a lower tier participant failed to tell a higher tier that it was excluded or disqualified at the time it entered the covered transaction, the FAA may pursue any available remedy, including suspension and debarment.

Certification Regarding Foreign Trade Restrictions (49 CFR PART 30)

The contractor or subcontractor, by submission of an offer and/or execution of a contract, certifies that it:

a. is not owned or controlled by one or more citizens of a foreign country included in the list of countries that discriminate against U.S. firms published by the Office of the United States Trade Representative (USTR);

b. has not knowingly entered into any contract or subcontract for this project with a person that is a citizen or national of a foreign country on said list, or is owned or controlled directly or indirectly by one or more citizens or nationals of a foreign country on said list.

c. has not procured any product nor subcontracted for the supply of any product for use on the project that is produced in a foreign country on said list.

Unless the restrictions of this clause are waived by the Secretary of Transportation in accordance with 49 CFR 30.17, no contract shall be awarded to a contractor or subcontractor who is unable to certify to the above. If the contractor knowingly procures or subcontracts for the supply of any product or service of a foreign country on said list for use on the project; the Federal Aviation Administration may direct, through the Sponsor, cancellation of the contract at no cost to the Government.

Further, the contractor agrees that, if awarded a contract resulting from this solicitation, it will incorporate this provision for certification without modification in each contract and in all lower tier subcontracts. The contractor may rely upon the certification of a prospective subcontractor unless it has knowledge that the certification is erroneous.

The contractor shall provide immediate written notice to the sponsor if the contractor learns that its certification or that of a subcontractor was erroneous when submitted or has become erroneous by reason of changed circumstances. The subcontractor agrees to provide immediate written notice to the contractor, if at any time it learns that its certification was erroneous by reason of changed circumstances.

This certification is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the contractor or subcontractor knowingly rendered an erroneous certification, the Federal Aviation Administration may direct, through the Sponsor, cancellation of the contract or subcontract for default at no cost to the Government.

Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by this provision. The knowledge and information of a contractor is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

This certification concerns a matter within the jurisdiction of an agency of the United States of America and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

BUY AMERICAN PREFERENCE

(Reference: 49 USC § 50101)

1.1. REQUIREMENTS.

The Buy-American preference requirements established within 49 USC § 50101 require that all steel and manufactured goods used on AIP projects must be produced in the United States. It also gives the FAA the ability to issue a waiver to the sponsor to use other materials on the AIP funded project. The FAA requires that these waivers be requested in advance of use of the materials on the AIP funded project. The sponsor may request that the FAA issue a waiver from the Buy American preference requirements if the FAA finds that:

- 1) applying the provision is not in the public interest;
- 2) the steel or manufactured goods are not available in sufficient quantity or quality in the United States;
- 3) the cost of components and subcomponents produced in the United States is more than 60 percent of the total components of a facility or equipment, and final assembly has taken place in the United States. Items that have an FAA standard specification item number (such as specific airport lighting equipment) is considered the equipment in this case. For construction of a facility, the application of this subsection is determined after bid opening; or
- 4) applying this provision would increase the cost of the overall project by more than 25 percent.

1.2. NATIONAL BUY AMERICAN WAIVERS WEBSITE.

The FAA Office of Airports maintains a list of equipment that has received waivers from the Buy American preference requirements on the http://www.faa.gov/airports/aip/buy_american/ website. Products listed on the Nationwide Buy American Waivers Issued list do not require a project specific Buy American preference requirement waiver from the FAA.

BUY AMERICAN CERTIFICATION

The contractor agrees to comply with 49 USC § 50101, which provides that Federal funds may not be obligated unless all steel and manufactured goods used in AIP-funded projects are produced in the United States, unless the FAA has issued a waiver for the product; the product is listed as an Excepted Article, Material Or Supply in Federal Acquisition Regulation subpart 25.108; or is included in the FAA Nationwide Buy American Waivers Issued list.

A bidder or offeror must submit the appropriate Buy America certification (below) with all bids or offers on AIP funded projects. Bids or offers that are not accompanied by a completed Buy America certification must be rejected as nonresponsive.

Certificate of Buy American Compliance for Total Facility
(Buildings such as Terminal, SRE, ARFF, etc.)

As a matter of bid responsiveness, the bidder or offeror must complete, sign, date, and submit this certification statement with their proposal. The bidder or offeror must indicate how they intend to comply with 49 USC § 50101 by selecting one of the following certification statements. These statements are mutually exclusive. Bidder must select one or the other (i.e. not both) by inserting a checkmark (✓) or the letter "X".

- Bidder or offeror hereby certifies that it will comply with 49 USC. 50101 by:
- a) Only installing steel and manufactured products produced in the United States; or
 - b) Installing manufactured products for which the FAA has issued a waiver as indicated by inclusion on the current FAA Nationwide Buy American Waivers Issued listing; or
 - c) Installing products listed as an Excepted Article, Material or Supply in Federal Acquisition Regulation Subpart 25.108.

By selecting this certification statement, the bidder or offeror agrees:

1. To provide to the Owner evidence that documents the source and origin of the steel and manufactured product.
2. To faithfully comply with providing US domestic products
3. To refrain from seeking a waiver request after establishment of the contract, unless extenuating circumstances emerge that the FAA determines justified.

- The bidder or offeror hereby certifies it cannot comply with the 100% Buy American Preferences of 49 USC § 50101(a) but may qualify for either a Type 3 or Type 4 waiver under 49 USC § 50101(b). By selecting this certification statement, the apparent bidder or offeror with the apparent low bid agrees:

1. To submit to the Owner within 15 calendar days of the bid opening, a formal waiver request and required documentation that support the type of waiver being requested.
2. That failure to submit the required documentation within the specified timeframe is cause for a non-responsive determination may result in rejection of the proposal.
3. To faithfully comply with providing US domestic products at or above the approved US domestic content percentage as approved by the FAA.
4. To furnish US domestic product for any waiver request that the FAA rejects.
5. To refrain from seeking a waiver request after establishment of the contract, unless extenuating circumstances emerge that the FAA determines justified.

Required Documentation

Type 3 Waiver - The cost of components and subcomponents produced in the United States is more than 60% of the cost of all components and subcomponents of the "facility". The required documentation for a type 3 waiver is:

- a) Listing of all manufactured products that are not comprised of 100% US domestic content (Excludes products listed on the FAA Nationwide Buy American Waivers Issued listing and products excluded by Federal Acquisition Regulation Subpart 25.108; products of unknown origin must be considered as non-domestic products in their entirety)
- b) Cost of non-domestic components and subcomponents, excluding labor costs associated with final assembly and installation at project location.
- c) Percentage of non-domestic component and subcomponent cost as compared to total "facility" component and subcomponent costs, excluding labor costs associated with final assembly and installation at project location.

Type 4 Waiver – Total cost of project using US domestic source product exceeds the total project cost using non-domestic product by 25%. The required documentation for a type 4 of waiver is:

- a) Detailed cost information for total project using US domestic product
- b) Detailed cost information for total project using non-domestic product

False Statements: Per 49 USC § 47126, this certification concerns a matter within the jurisdiction of the Federal Aviation Administration and the making of a false, fictitious or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code.

Date

Signature

Company Name

Title

Certificate of Buy American Compliance for Manufactured Products
(Non-building construction projects, equipment acquisition projects)

As a matter of bid responsiveness, the bidder or offeror must complete, sign, date, and submit this certification statement with their proposal. The bidder or offeror must indicate how they intend to comply with 49 USC § 50101 by selecting one on the following certification statements. These statements are mutually exclusive. Bidder must select one or the other (not both) by inserting a checkmark (✓) or the letter "X".

- Bidder or offeror hereby certifies that it will comply with 49 USC § 50101 by:
- a) Only installing steel and manufactured products produced in the United States, or;
 - b) Installing manufactured products for which the FAA has issued a waiver as indicated by inclusion on the current FAA Nationwide Buy American Waivers Issued listing, or;
 - c) Installing products listed as an Excepted Article, Material or Supply in Federal Acquisition Regulation Subpart 25.108.

By selecting this certification statement, the bidder or offeror agrees:

1. To provide to the Owner evidence that documents the source and origin of the steel and manufactured product.
2. To faithfully comply with providing US domestic product
3. To furnish US domestic product for any waiver request that the FAA rejects
4. To refrain from seeking a waiver request after establishment of the contract, unless extenuating circumstances emerge that the FAA determines justified.

- The bidder or offeror hereby certifies it cannot comply with the 100% Buy American Preferences of 49 USC § 50101(a) but may qualify for either a Type 3 or Type 4 waiver under 49 USC § 50101(b). By selecting this certification statement, the apparent bidder or offeror with the apparent low bid agrees:

1. To submit to the Owner within 15 calendar days of the bid opening, a formal waiver request and required documentation that support the type of waiver being requested.
2. That failure to submit the required documentation within the specified timeframe is cause for a non-responsive determination may result in rejection of the proposal.
3. To faithfully comply with providing US domestic products at or above the approved US domestic content percentage as approved by the FAA.
4. To refrain from seeking a waiver request after establishment of the contract, unless extenuating circumstances emerge that the FAA determines justified.

Required Documentation

Type 3 Waiver - The cost of the item components and subcomponents produced in the United States is more than 60% of the cost of all components and subcomponents of the "item". The required documentation for a type 3 waiver is:

- a) Listing of all product components and subcomponents that are not comprised of 100% US domestic content (Excludes products listed on the FAA Nationwide Buy American Waivers Issued listing and products excluded by Federal Acquisition Regulation Subpart 25.108; products of unknown origin must be considered as non-domestic products in their entirety)
- b) Cost of non-domestic components and subcomponents, excluding labor costs associated with final assembly at place of manufacture.

- c) Percentage of non-domestic component and subcomponent cost as compared to total "item" component and subcomponent costs, excluding labor costs associated with final assembly at place of manufacture.

Type 4 Waiver – Total cost of project using US domestic source product exceeds the total project cost using non-domestic product by 25%. The required documentation for a type 4 of waiver is:

- a) Detailed cost information for total project using US domestic product
- b) Detailed cost information for total project using non-domestic product

False Statements: Per 49 USC § 47126, this certification concerns a matter within the jurisdiction of the Federal Aviation Administration and the making of a false, fictitious or fraudulent certification may render the maker subject to prosecution under Title 18, United States Code.

Date

Signature

Company Name

Title

Buy American Certification
(Aviation Safety and Capacity Expansion Act of 1990)

By submitting a bid/proposal under this solicitation, except for those items listed by the offeror below or on a separate and clearly identified attachment to this bid/proposal, the offeror certifies that steel and each manufactured product, is produced in the United States, as defined in the clause Buy American - Steel and Manufactured Products for Construction Contracts, and that components of unknown origin are considered to have been produced or manufactured outside the United States.

Offerors may obtain from Duluth Airport Authority – Sky Harbor Airport a listing of articles, materials, and supplies excepted from this provision.

PRODUCT	COUNTRY OF ORIGIN
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

APPENDIX D

List of Supplies/Materials that the U.S. Government has determined are not produced in the United States in sufficient and reasonably available quantities and of sufficient quality. (January 1991)

- Acetylene, black
- Agar, bulk
- Anise
- Antimony, as metal or oxide
- Asbestos, amosite, chrysolite and crocidolite
- Bananas
- Bauxite
- Beef, corned, canned
- Beef extract
- Bephenium Hydroxynapthoate
- Bismuth
- Books, trade, text, technical, or scientific; newspapers; pamphlets; magazines; periodicals; printed briefs and films; not printed in the United States and for which domestics editions are not available
- Brazil nuts, unroasted
- Cadmium, ores and flue dust
- Calcium cyanamide
- Capers
- Cashew nuts
- Castor beans and castor oil
- Chalk, English
- Chestnuts
- Chicle
- Chrome ore or chromite
- Cinchona bark
- Cobalt, in cathodes, rondelles, or other primary ore and metal forms
- Cocoa beans
- Coconut and coconut meat, unsweetened, in shredded, desiccated or similarly prepared form
- Coffee, raw or green bean
- Colchicine alkaloid, raw
- Copra
- Cork, wood or bark and waste
- Cover glass, microscope slide
- Cryolite, natural
- Dammar gum
- Diamonds, industrial, stones and abrasives
- Emetine, bulk
- Ergot, crude
- Erthrityl tetranitrate
- Fair linen, altar
- Fibers of the following type: abaca, abace, agave, coir, flax, jute, jute burlaps, palmyra and sisal
- Goat and kidskins
- Graphite, natural, chrystalline, crucible grade
- Handsewing needles
- Hemp yarn
- Hog bristles for brushes
- Hyoscine, bulk
- Ipecac, root
- Iodine, crude
- Kaurigum
- Lac
- Leather, sheepskin, hair type
- Lavender oil
- Manganese
- Menthol, natural bulk
- Mica
- Microprocessor chips (brought onto a construction site as separate units for incorporation into building systems during construction or repair and alteration of real property)
- Nickel, primary, in ingots, pigs, shots, cathodes, or similar forms; nickel oxide and nickel salts
- Nitroguanidine (also known as picrite)
- Nux vomica, crude
- Oiticica oil
- Olive oil
- Olives (green), pitted or unpitted, or stuffed, in bulk
- Opium, crude
- Oranges, mandarin, canned
- Petroleum, crude oil, unfinished oils, and finished products (see definitions below)
- Pine needle oil
- Platinum and related group metals, refined, as sponge, powder, ingots, or cast bars
- Pyrethrum flowers
- Quartz crystals

APPENDIX D

List of Supplies/Materials that the U.S. Government has determined are not produced in the United States in sufficient and reasonably available quantities and of sufficient quality. (January 1991) (CONTINUED)

- Quebracho
- Quinidine
- Quinine
- Rabbit fur felt
- Radium salts, source and special nuclear materials
- Rosettes
- Rubber, crude and latex
- Rutile
- Santonin, crude
- Secretin
- Shellac
- Silk, raw and unmanufactured
- Spare and replacement parts for equipment of foreign manufacture, and for which domestic parts are not available
- Spices and herbs, in bulk
- Sugars, raw
- Swords and scabbards
- Talc, block, steatite
- Tantalum
- Tapioca flour and cassava
- Tartar, crude; tartaric acid and cream or tartar in bulk
- Tea in bulk
- Thread, metallic (gold)
- Thyme oil
- Tin in bars, blocks, and pigs
- Triprolidine hydrochloride
- Tungsten
- Vanilla beans
- Venom, cobra
- Wax, canauba
- Woods; logs, veneer, and lumber of the following species: Alaskan yellow cedar, angelique, balsa, ekki, greenhart, lignum vitae, mahogany, and teak
- Yarn, 50 Denier rayon

APPENDIX D

List of Supplies/Materials that the U.S. Government has determined are not produced in the United States in sufficient and reasonably available quantities and of sufficient quality. (January 1991) (CONTINUED)

Petroleum terms are used as follows:

“Crude oil” means crude petroleum, as it is produced at the well head, and liquids (under atmospheric conditions) that have been recovered from mixtures of hydrocarbons that existed in a vaporous phase in a reservoir and that are not natural gas products.

“Finished products” means any one or more of the following petroleum oils, or a mixture or combination of these oils, to be used without further process except blending by mechanical means:

- (A) “Asphalt” – a solid or semi-solid cementitious material that (1) gradually liquefies when heated, (2) has bitumens as its predominating constituents, and (3) is obtained in refining crude oil.
- (B) “Fuel oil” – a liquid or liquefiable petroleum product burned for lighting or for the generation of heat or power and derived directly or indirectly from crude oil, such as kerosene, range oil, distillate fuel oils, gas oil, diesel fuel, topped crude oil, or residues.
- (C) “Gasoline” – a refined petroleum distillate that, by its consumption, is suitable for use as a carburant in internal combustion engines.
- (D) “Jet fuel” – a refined petroleum distillate used to fuel jet propulsion engines.
- (E) “Liquefied gases” – hydrocarbon gases recovered from natural gas or produced from petroleum refining and kept under pressure to maintain a liquid state at ambient temperatures.
- (F) “Lubricating oil” – a refined petroleum distillate or specially treated petroleum residue used to lessen friction between surfaces.
- (G) “Naphtha” – a refined petroleum distillate falling within a distillation range overlapping the higher gasoline and the lower kerosenes.
- (H) “Natural gas products” – liquids (under atmospheric conditions; including natural gasoline, that -
 - (1) are recovered by a process of absorption, compression, refrigeration, cycling, or a combination of these processes, from mixtures of hydrocarbons that existed in a vaporous phase in a reservoir, and
 - (2) when recovered and without processing in a refinery, definitions of products contained in subdivision (B), (C), and (G) above.
- (I) “Residual fuel oil” – a topped crude oil or viscous residuum that, as obtained in refining or after blending with other fuel oil, meets or is the equivalent of MILSPEC Mil-F-859 for Navy Special Fuel Oil and any more viscous fuel oil, such as No. 5 or Bunker C.
- (J) “Unfinished oils” means one or more the petroleum oils listed under “Finished products” above, or a mixture or combination of these oils, that are to be further processed other than by blending by mechanical means.

**CERTIFICATION OF BIDDER REGARDING
EQUAL EMPLOYMENT OPPORTUNITY**

GENERAL

BIDDER'S NAME _____
ADDRESS _____

INTERNAL REVENUE SERVICE EMPLOYER IDENTIFICATION NO. _____

NONSEGREGATED FACILITIES

**NOTICE TO PROSPECTIVE FEDERALLY ASSISTED
CONSTRUCTION CONTRACTORS**
(41 CFR Part 60-1.8)

1 A Certification of Nonsegregated Facilities must be submitted prior to the award of a federally assisted construction contract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause.

2 Contractors receiving federally assisted construction contract awards exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause will be required to provide for the forwarding of the following notice to prospective subcontractors for supplies and construction contracts where the subcontracts exceed \$10,000 and are not exempt from the provisions of the Equal Opportunity Clause.

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

**NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENTS FOR
CERTIFICATION OF NONSEGREGATED FACILITIES**

1 A Certification of Nonsegregated Facilities must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause.

2 Contractors receiving subcontract awards exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause will be required to provide for the forwarding of this notice to prospective subcontractors for supplies and construction contracts where the subcontracts exceed \$10,000 and are not exempt from the provisions of the Equal Opportunity Clause.

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

CERTIFICATION OF NONSEGREGATED FACILITIES

The federally assisted construction contractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that she or he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor certifies that she or he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in this contract.

As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directives or are, in fact,

segregated on the basis of race, color, religion, sex, or national origin, because of habit, local custom, or any other reason. The federally assisted construction contractor agrees that (except where she or he has obtained identical certifications from proposed subcontractors for specific time periods) she or he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause, and that she or he will retain such certifications in his files.

**NOTICE TO PROSPECTIVE CONTRACTORS OF REQUIREMENT FOR
CERTIFICATION OF NONSEGREGATED FACILITIES**

A Certification of Nonsegregated Facilities must be submitted prior to the award of a contract or subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause.

Certification - The information above is true and complete to the best of my knowledge and belief.

Name and Title of Signer (Please Type)

Signature

Date

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

SECTION A

WAGE, LABOR, EEO, SAFETY AND GENERAL REQUIREMENTS (Federal Aviation Administration (FAA) Requirements)

A-1 Airport and Airway Improvement Program Project.

The work in this contract is included in **AIP: 3-27-0025-10-15** which is being undertaken and accomplished by The Duluth Airport Authority (Sponsor) in accordance with the terms and conditions of a grant agreement between the Sponsor and the United States, under the Airport and Airway Improvement Act of 1982 (P.L. 97-248) as amended by the Airport and Airway Safety and Capacity Expansion Act of 1987 (P.L. 100-223) and Part 152 of the Federal Aviation Regulations (14 CFR Part 152), pursuant to which the United States has agreed to pay a certain percentage of the costs under those Acts. The United States is not a party to this contract and no reference in this contract to the FAA or any representative thereof, or the United States, by the contract, makes the United States a party to this contract.

A-2 Consent to Assignment.

The contractor shall obtain the prior written consent of the Sponsor to any proposed assignment of any interest in or part of this contract.

A-3 Convict Labor.

No convict labor may be employed under this contract.

A-4 Veterans Preference.

In the employment of labor (except in executive, administrative, and supervisory positions), preference shall be given to veterans of the Vietnam era and disabled veterans as defined in Section 515(c)(1) and (2) of the Airport and Airway Improvement Act of 1982. However, this preference shall apply only where the individuals are available and qualified to perform the work to which the employment relates.

A-5 Withholding: Sponsor from Contractor.

Whether or not payments or advances to The Duluth Airport Authority (**Sponsor**) are withheld or suspended by the FAA, the Sponsor may withhold or cause to be withheld from the contractor so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics employed by the contractor or any subcontractor on the work, the full amount of wages required by this contract.

A-6 Nonpayment of Wages.

If the contractor or subcontractor fails to pay any laborer or mechanic employed or working on the site of the work any of the wages required by this contract, The Duluth Airport Authority (Sponsor) may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment or advance of funds until the violations cease.

A-7 FAA inspection and review.

The contractor shall allow any authorized representative of the FAA to inspect and review any work or materials used in the performance of this contract.

A-8 Subcontracts.

The contractor shall insert in each of his subcontracts the provisions contained in paragraphs A-1, A-3, A-4, A-5, A-6, and A-7 requiring the subcontractors to include these provisions in any lower tier subcontracts which they may enter into, together with a clause requiring this insertion in any further subcontracts that may in turn be made.

A-9 Contract termination.

Any violation or breach of the terms of this contract on the part of the contractor or their subcontractors may result in the suspension or termination of this contract or such other action that may be necessary to enforce the rights of the parties of this agreement. He duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law. (49 CFR Part 18).

A-10 Inspection of Records.

The contractor shall maintain an acceptable cost accounting system. The Contractor agrees to provide the Sponsor, the Federal Aviation Administration and the Comptroller General of the United States or any of their duly authorized representatives access to any books, documents, papers, and records of the contractor which are directly pertinent to the specific contract for the purposes of making audit, examination, excerpts and transcriptions. The Contractor agrees to maintain all books, records and reports required under this contract for a period of not less than three years after final payment is made and all other pending matters are closed. (49 CFR Part 18.36(i)).

A-11 Rights to Inventions.

All rights to inventions and materials generated under this contract are subject to regulations issued by the FAA and the Sponsor of the Federal grant under which this contract is executed. Information regarding these rights is available from the FAA and the Sponsor. (49 CFR Part 18.36(i)(8)).

A-12 General Civil Rights Provisions.

The contractor assures that it will comply with pertinent statutes, Executive orders and such rules as are promulgated to assure that no person shall, on the grounds of race, creed, color, national origin, sex, age, or handicap be excluded from participating in any activity conducted with or benefiting from Federal assistance. This provision obligates the tenant/concessionaire/lessee or its transferee for the period during which Federal assistance is extended to the airport a program, except where Federal assistance is to provide, or is in the form of personal property or real property or interest therein or structures or improvements thereon. In these cases the provision obligates the party or any transferee for the longer of the following periods: (a) the period during which the property is used by the airport sponsor or any transferee for a purpose for which Federal assistance is extended, or for another purpose involving the provision of similar services or benefits or (b) the period during which the airport sponsor or any transferee retains ownership or possession of the property. In the case of contractors, this provision binds the contractors from the bid solicitation period through the completion of the contract. This provision is in addition to that required of Title VI of the Civil Rights Act of 1964.

SECTION B

DAVIS-BACON ACT REQUIREMENTS (29 CFR PART 5)

B-1 Minimum Wages.

(i) All laborers and mechanics employed or working upon the site of the work will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by the Secretary of Labor under the Copeland Act (29 CFR Part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalent thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: *Provided*, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under (1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can easily be seen by the workers.

(ii)(A) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

- (1) The work to be performed by the classification requested is not performed by a classification in the wage determinations; and
- (2) The classification is utilized in the area by the construction industry; and
- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, D.C. 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 90 days of receipt and so advise the contracting officer or will notify the contracting officer within the 90-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to subparagraphs (1)(ii)(B) or (C) of this paragraph, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140).

B-2 Withholding.

The Federal Aviation Administration or the Sponsor shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of work, all or part of the wages required by the contract, the Federal Aviation Administration may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

B-3 Payrolls and basic records.

(i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual costs incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the

registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly, for each week in which any contract work is performed, a copy of all payrolls to the applicant, sponsor, or owner, as the case may be, for transmission to the Federal Aviation Administration. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under paragraph 5.5(a)(3)(i) above. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal Stock Number 029-005-00014-1), U.S. Government Printing Office, Washington, D.C. 20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be maintained under paragraph (3)(i) above and that such information is correct and complete;

(2) That each laborer and mechanic (including each helper, apprentice and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations 29 CFR Part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (3)(i) of this section available for inspection, copying or transcription by authorized representatives of the Sponsor, the Federal Aviation Administration or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency may, after written notice to the contractor, sponsor, applicant or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

B-4 Apprentices and Trainees.

(i) Apprentices. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job

site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable programs approved.

(iii) Equal Employment Opportunity (EEO). The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.

B-5 Compliance With Copeland Act Requirements.

The contractor shall comply with the requirements of 29 CFR Part 3, which are incorporated by reference in this contract.

B-6 Subcontracts.

The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR Part 5.5(a)(1) through (10) and such other clauses as the Federal Aviation Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier

subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR Part 5.5.

B-7 Contract Termination: Debarment.

A breach of the contract clauses in paragraph 1 through 10 of this section may be grounds for termination of the contract, and for the debarment as a contractor and a subcontractor as provided in 29 CFR 5.12

B-8 Compliance With Davis-Bacon and Related Act Requirements.

All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR Parts 1, 3, and 5 are herein incorporated by reference in this contract.

B-9 Disputes Concerning Labor Standards.

Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR Parts 5, 6 and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

B-10 Certification of Eligibility.

(i) By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

SECTION C

COPELAND “ANTI-KICKBACK” ACT REQUIREMENTS

(Reference: 49 CFR § 18.36(i)(4), 29 CFR parts 3 & 5)

The United States Department of Labor Wage and Hours Division oversees the Copeland “Anti-Kickback” Act requirements. All contracts and subcontracts must meet comply with the Occupational Safety and Health Act of 1970.

United States Department of Labor Wage and Hours Division can provide information regarding any specific clauses or assurances pertaining to the Copeland “Anti-Kickback” Act requirements required to be inserted in solicitations, contracts or subcontracts.

SECTION D

CONTRACT WORKHOURS AND SAFETY STANDARDS ACT REQUIREMENTS (29 CFR PART 5)

D-1 Overtime Requirements.

No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic, including watchmen and guards, in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

D-2 Violation; Liability for Unpaid Wages; Liquidated Damages.

In the event of any violation of the clause set forth in paragraph C-1 above, the contractor or any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph C-1 above, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph C-1 above.

D-3 Withholding for Unpaid Wages and Liquidated Damages.

The Federal Aviation Administration or the Sponsor shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any monies payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph C-2 above.

D-4 Subcontractors.

The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs C-1 through C-4 and also a clause requiring the subcontractor to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs C-1 through C-4 of this section.

D-5 Working Conditions.

No contractor or subcontractor may require any laborer or mechanic employed in the performance of any contract to work in surroundings or under working conditions that are unsanitary, hazardous or dangerous to his health or safety as determined under construction safety and health standards (29 CFR Part 1926) issued by the Department of Labor.

SECTION E

CLEAN AIR AND WATER POLLUTION CONTROL REQUIREMENTS

((Reference: 49 CFR § 18.36(i)(12))

E-1 Any other provision herein to the contrary notwithstanding, the contractor in carrying out work under this contract, shall at all times comply with all applicable state and federal air and water quality standards; with all pollution control laws; and with such rules, regulations, and directives as may be lawfully issued by a local, state, or federal agency having within its jurisdiction the protection of the environment in the area surrounding where work under this contract will be performed. In addition, the contractor shall comply with directives given by the Project Engineer in implementation of the letter and intent of FAA Advisory Circular 150/5370-10, Item P-156, Temporary Air and Water Pollution, Soil Erosion and Siltation Control. Copies of this Advisory Circular can be obtained from Department of Transportation, Distribution Unit, TAD-484.3, Washington, D.C. 20590.

E-2 Contractors and subcontractors agree:

a. That any facility to be used in the performance of the contract or subcontract or to benefit from the contract is not listed on the Environmental Protection Agency (EPA) List of Violating Facilities;

b. To comply with all the requirements of Section 114 of the Clean Air Act, as amended, 42 U.S.C. 1857 et seq. and Section 308 of the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. relating to inspection, monitoring, entry, reports, and information, as well as all other requirements specified in Section 114 and Section 308 of the Acts, respectively, and all other regulations and guidelines issued thereunder;

c. That, as a condition for the award of this contract, the contractor or subcontractor will notify the awarding official of the receipt of any communication from the EPA indicating that a facility to be used for the performance of or benefit from the contract is under consideration to be listed on the EPA List of Violating Facilities;

d. To include or cause to be included in any construction contract or subcontract which exceeds \$100,000 the aforementioned criteria and requirements.

SECTION F

CONTRACTOR CONTRACTUAL REQUIREMENTS PURSUANT TO CIVIL RIGHTS ACT OF 1964, TITLE VI (49 CFR PART 21)

Title VI Solicitation Notice

The Duluth Airport Authority, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

Title VI Clauses for Compliance with Nondiscrimination Requirements

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

F-1 Compliance with Regulations. The contractor shall comply with the Regulations relative to nondiscrimination in federally assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

F-2 Nondiscrimination. The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

F-3 Solicitations for Subcontracts, Including Procurements of Materials and Equipment. In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

F-4 Information and Reports. The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Sponsor or the Federal Aviation Administration (FAA) to be pertinent to ascertain compliance with such Regulations, orders, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information, the contractor shall so certify to the sponsor or the FAA, as appropriate, and shall set forth what efforts it has made to obtain the information.

F-5 Sanctions for Noncompliance. In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the sponsor shall impose such contract sanctions as it or the FAA may determine to be appropriate, including, but not limited to:

- a. Withholding of payments to the contractor under the contract until the contractor complies, and/or
- b. Cancellation, termination, or suspension of the contract, in whole or in part.

F-6 Incorporation of Provisions. The contractor shall include the provisions of paragraphs 1 through 5 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement as the sponsor or the FAA may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the Sponsor to enter into such litigation to protect the interests of the sponsor and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

Title VI List of Pertinent Nondiscrimination Authorities

(Source: Appendix E of Appendix 4 of FAA Order 1400.11, Nondiscrimination in Federally-Assisted Programs at the Federal Aviation Administration)

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the “contractor”) agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin);
- 49 CFR part 21 (Non-discrimination In Federally-Assisted Programs of The Department of Transportation—Effectuation of Title VI of The Civil Rights Act of 1964);
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act of 1990, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131 – 12189) as implemented by Department of Transportation regulations at 49 CFR parts 37 and 38;
- The Federal Aviation Administration’s Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures non-discrimination against minority populations by

discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;

- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq).

SECTION G
TERMINATION OF CONTRACT
(49 CFR PART 18)

G-1 The Sponsor may, by written notice, terminate this contract in whole or in part at any time, either for the Sponsor's convenience or because of failure to fulfill the contract obligations. Upon receipt of such notice services shall be immediately discontinued (unless the notice directs otherwise) and all materials as may have been accumulated in performing this contract, whether completed or in progress, delivered to the Sponsor.

G-2 If the termination is for the convenience of the Sponsor, an equitable adjustment in the contract price shall be made, but no amount shall be allowed for anticipated profit on unperformed services.

G-3 If the termination is due to failure to fulfill the contractor's obligations, the Sponsor may take over the work and prosecute the same to completion by contract or otherwise. In such case, the contractor shall be liable to the Sponsor for any additional cost occasioned to the Sponsor thereby.

G-4 If, after notice of termination for failure to fulfill contract obligations, it is determined that the contractor had not so failed, the termination shall be deemed to have been effected for the convenience of the Sponsor. In such event, adjustment in the contract price shall be made as provided in paragraph 2 of this clause.

G-5 The rights and remedies of the sponsor provided in this clause are in addition to any other rights and remedies provided by law or under this contract.

SECTION H

BUY AMERICAN - STEEL AND MANUFACTURED PRODUCTS FOR CONSTRUCTION CONTRACTS

(Aviation Safety and Capacity Expansion Act of 1990)

(a) The Aviation Safety and Capacity Expansion Act of 1990 provides that preference be given to steel and manufactured products produced in the United States when funds are expended pursuant to a grant issued under the Airport Improvement Program. The following terms apply:

1. Steel and manufactured products. As used in this clause, steel and manufactured products include (1) those produced in the United States or (2) a manufactured product produced in the United States, if the cost of its components mined, produced or manufactured in the United States exceeds 60 percent of the cost of all its components and final assembly has taken place in the United States. Components of foreign origin of the same class or kind as the products referred to in subparagraphs b. (1) or (2) shall be treated as domestic.

2. Components. As used in this clause, components means those articles, materials, and supplies incorporated directly into steel and manufactured products.

3. Cost of Components. This means the cost for production of the components, exclusive of final assembly labor costs.

(b) The successful bidder will be required to assure that only domestic steel and manufactured products will be used by the Contractor, subcontractors, materialmen, and suppliers in the performance of this contract, except those:

1. that the U.S. Department of Transportation has determined, under the Aviation Safety and Capacity Expansion Act of 1990, are not produced in the United States in sufficient and reasonably available quantities and of a satisfactory quality;

2. that the U.S. Department of Transportation has determined, under the Aviation Safety and Capacity Expansion Act of 1990, that domestic preference would be inconsistent with the public interest; or

3. that inclusion of domestic material will increase the cost of the overall project contract by more than 25 percent.

SECTION I

EQUAL EMPLOYMENT OPPORTUNITY (41 CFR PART 60-1.4(b))

During the performance of this contract, the contractor agrees as follows:

I-1 The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following:

Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

I-2 The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive considerations for employment without regard to race, color, religion, sex, or national origin.

I-3 The contractor will send to each labor union or representative of workers with which s/he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

I-4 The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, as amended, and of the rules, regulations, and relevant orders of the Secretary of Labor.

I-5 The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

I-6 In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be canceled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedure authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

I-7 The contractor will include the portion of the sentence immediately preceding paragraph D-1 and the provisions of paragraphs D-1 through D-7 in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provision, including sanctions for noncompliance: *Provided, however*, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency the contractor may request the United States to enter into such litigation to protect the interests of the United States.

SECTION J

STANDARD FEDERAL EQUAL EMPLOYMENT OPPORTUNITY CONSTRUCTION CONTRACT SPECIFICATIONS (41 CFR 60-4.3)

J-1 As used in these specifications:

a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;

b. "Director" means Director, Office of Federal Contract Compliance Programs (OFCCP), U.S. Department of Labor, or any person to whom the Director delegates authority;

c. "Employer identification number" means the Federal social security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941;

d. "Minority" includes:

(1) Black (all) persons having origins in any of the Black African racial groups not of Hispanic origin);

(2) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin regardless of race);

(3) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and

(4) American Indian or Alaskan native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).

J-2 Whenever the contractor, or any subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.

J-3 If the contractor is participating (pursuant to 41 CFR 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors shall be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each contractor or subcontractor participating in an approved plan is individually required to comply with its obligations under the EEO clause and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other contractors or subcontractors toward a goal in an approved Plan does not excuse any covered contractor's or subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.

J-4 The contractor shall implement the specific affirmative action standards provided in paragraphs 7a through 7p of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority and female utilization the contractor should reasonably be able to achieve in each construction trade in which it has employees in the covered area. Covered construction contractors performing construction work in a geographical area where they do not have a Federal or federally assisted construction contract shall apply

the minority and female goals established for the geographical area where the work is being performed. Goals are published periodically in the Federal Register in notice form, and such notices may be obtained from any Office of Federal Contract Compliance Programs office or from Federal procurement contracting officers. The contractor is expected to make substantially uniform progress in meeting its goals in each craft during the period specified.

J-5 Neither the provisions of any collective bargaining agreement nor the failure by a union with whom the contractor has a collective bargaining agreement to refer either minorities or women shall excuse the contractor's obligations under these specifications, Executive Order 11246 or the regulations promulgated pursuant thereto.

J-6 In order for the non-working training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees shall be employed by the contractor during the training period and the contractor shall have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees shall be trained pursuant to training programs approved by the U.S. Department of Labor.

J-7 The contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The contractor shall document these efforts fully and shall implement affirmative action steps at least as extensive as the following:

a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the contractor's employees are assigned to work. The contractor, where possible, will assign two or more women to each construction project. The contractor shall specifically ensure that all foremen, superintendents, and other onsite supervisory personnel are aware of and carry out the contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.

b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.

c. Maintain a current file of the names, addresses, and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source, or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the contractor by the union or, if referred, not employed by the contractor, this shall be documented in the file with the reason therefore along with whatever additional actions the contractor may have taken.

d. Provide immediate written notification to the Director when the union or unions with which the contractor has a collective bargaining agreement has not referred to the contractor a minority person or female sent by the contractor, or when the contractor has other information that the union referral process has impeded the contractor's efforts to meet its obligations.

e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the contractor's employment needs, especially those programs funded or approved by the Department of Labor. The contractor shall provide notice of these programs to the sources compiled under 7b above.

f. Disseminate the contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the contractor in meeting its EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company

newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.

g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions including specific review of these items with onsite supervisory personnel such as superintendents, general foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.

h. Disseminate the contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the contractor's EEO policy with other contractors and subcontractors with whom the contractor does or anticipates doing business.

i. Direct its recruitment efforts, both oral and written, to minority, female, and community organizations, to schools with minority and female students; and to minority and female recruitment and training organizations serving the contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the contractor shall send written notification to organizations, such as the above, describing the openings, screening procedures, and tests to be used in the selection process.

j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable provide after school, summer, and vacation employment to minority and female youth both on the site and in other areas of a contractor's workforce.

k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.

l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel, for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.

m. Ensure that seniority practices, job classifications, work assignments, and other personnel practices do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the contractor's obligations under these specifications are being carried out.

n. Ensure that all facilities and company activities are nonsegregated except that separate or single user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.

o. Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.

p. Conduct a review, at least annually, of all supervisor's adherence to and performance under the contractor's EEO policies and affirmative action obligations.

J-8 Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7a through 7p). The efforts of a contractor association, joint contractor union, contractor community, or other similar groups of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7a through 7p of these specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures

that the concrete benefits of the program are reflected in the contractor's minority and female workforce participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the contractor. The obligation to comply, however, is the contractor's and failure of such a group to fulfill an obligation shall not be a defense for the contractor's noncompliance.

J-9 A single goal for minorities and a separate single goal for women have been established. The contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non minority. Consequently, if the particular group is employed in a substantially disparate manner (for example, even though the contractor has achieved its goals for women generally,) the contractor may be in violation of the Executive Order if a specific minority group of women is underutilized.

J-10 The contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.

J-11 The contractor shall not enter into any subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.

J-12 The contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination, and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.

J-13 The contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these specifications, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the contractor fails to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.

J-14 The contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government, and to keep records. Records shall at least include for each employee, the name, address, telephone number, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

J-15 Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

SECTION K

FEDERAL FAIR LABOR STANDARDS ACT (FEDERAL MINIMUM WAGE)

(Reference: 29 USC § 201, et seq.)

All contracts and subcontracts that result from this solicitation incorporate the following provisions by reference, with the same force and effect as if given in full text. The contractor has full responsibility to monitor compliance to the referenced statute or regulation. The contractor must address any claims or disputes that pertain to a referenced requirement directly with the Federal Agency with enforcement responsibilities.

Requirement	Federal Agency with Enforcement Responsibilities
Federal Fair Labor Standards Act (29 USC 201)	U.S. Department of Labor – Wage and Hour Division

SECTION L

OCCUPATIONAL SAFETY AND HEALTH ACT OF 1970

(Reference 20 CFR part 1910)

All contracts and subcontracts that result from this solicitation incorporate the following provisions by reference, with the same force and effect as if given in full text. The contractor has full responsibility to monitor compliance to the referenced statute or regulation. The contractor must address any claims or disputes that pertain to a referenced requirement directly with the Federal Agency with enforcement responsibilities.

Requirement	Federal Agency with Enforcement Responsibilities
Occupational Safety and Health Act of 1970 (20 CFR Part 1910)	U.S. Department of Labor – Occupational Safety and Health Administration

SECTION M

DISADVANTAGED BUSINESS ENTERPRISE CONTRACT PROVISIONS (49 CFR PART 26)

PART A

Policy. The requirements of 49 CFR Part 26, Regulations of the U.S. Department of Transportation, apply to this contract. It is the policy of The Duluth Airport Authority, to practice nondiscrimination based on race, color, sex, or national origin in the award or performance of this contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this contract will be conditioned upon satisfying the requirements of this bid specification. These requirements apply to all bidders/offerors, including those who qualify as a DBE. A DBE contract goal of **3.2** percent has been established for this contract. The bidder/offeror shall make good faith efforts, as defined in Appendix A, 49 CFR Part 26 (Attachment 1), to meet the contract goal for DBE participation in the performance of this contract.

Contract Assurance (§26.13). The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy, as the recipient deems appropriate.

Prompt Payment (§26.29). The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 7 days from the receipt of each payment the prime contractor receives from the The Duluth Airport Authority. The prime contractor agrees further to return retainage payments to each subcontractor within 7 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the Duluth Airport Authority. This clause applies to both DBE and non-DBE subcontractors.

DBE Participation. DBE Participation in this contract may be in form of a prime contract, subcontract, joint venture, or another arrangement that qualifies under 49 CFR Sections 26.55, "How is DBE participation counted toward goals?" or 26.53(g), both of which are included as Attachment 1.

Subcontract Clauses. All bidders and potential contractors hereby assure that they will include the above clauses in all subcontracts which offers further subcontracting opportunities.

PART B

It is further understood and agreed:

The award procedure for this solicitation will include the selection criteria of 49 CFR Part 26 to ensure that prime contracts are awarded to competitors that meet Disadvantaged Business Enterprise (DBE) goals.

Notification is hereby given that DBE goals are established for this prime contract. The goal for firms owned and controlled by socially and economically disadvantaged individuals is **3.2** percent of the dollar value of this contract.

The bidder/offeror will be required to submit the following information: (1) the names and addresses of DBE firms that will participate in the contract; (2) a description of the work that each DBE firm will perform; (3) the dollar amount of the participation of each DBE firm participating; (4) written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet the contract

goal; (5) written confirmation from the DBE that it is participating in the contract as provided in the commitment made under (4); and (6) if the contract goal is not met, evidence of good faith efforts.

Agreements between bidder/proposer and a DBE in which the DBE promises not to provide sub-contracting quotations to other bidders/proposers are prohibited. All bidders and proposers shall make a good faith effort to replace a DBE subcontractor that is unable to perform successfully with another DBE subcontractor.

The bidder shall establish and maintain records and submit regular reports, as required, which will identify and assess progress in achieving DBE subcontract goals and other DBE affirmative action efforts.

SECTION N

ENERGY CONSERVATION REQUIREMENTS

(49 CFR PART 18.36(i)(13))

The contractor agrees to comply with mandatory standards and policies relating to energy efficiency that are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Public Law 94-163).

SECTION O

LOBBYING AND INFLUENCING FEDERAL EMPLOYEES (49 CFR PART 20, APPENDIX A)

The bidder or offeror certifies by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that :

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the bidder or offeror, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

SECTION P

TEXTING WHEN DRIVING

(References: Executive Order 13513, and DOT Order 3902.10)

In accordance with Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving" (10/1/2009) and DOT Order 3902.10 "Text Messaging While Driving" (12/30/2009), FAA encourages recipients of Federal grant funds to adopt and enforce safety policies that decrease crashes by distracted drivers, including policies to ban text messaging while driving when performing work related to a grant or sub-grant.

The Contractor must promote policies and initiatives for employees and other work personnel that decrease crashes by distracted drivers, including policies to ban text messaging while driving. The Contractor must include these policies in each third party subcontract involved on this project.

GENERAL PROVISIONS

SECTION 10

DEFINITION OF TERMS

Where portions of text have been lined through (~~example~~) this text has been deleted and does not apply to this project. Where portions of text have been added with shading (example), this text has been added and is binding to this project. This process is utilized throughout the specifications and contract documents (excluding the plans).

Whenever the following terms are used in these specifications, in the contract, or in any documents or other instruments pertaining to construction where these specifications govern, the intent and meaning shall be interpreted as follows:

10-01 AASHTO. The American Association of State Highway and Transportation Officials, the successor association to AASHO.

10-02 ACCESS ROAD. The right-of-way, the roadway and all improvements constructed thereon connecting the airport to a public highway.

10-03 ADVERTISEMENT. A public announcement, as required by local law, inviting bids for work to be performed and materials to be furnished.

10-04 AIRPORT IMPROVEMENT PROGRAM (AIP). A grant-in-aid program, administered by the Federal Aviation Administration (FAA).

10-05 AIR OPERATIONS AREA (AOA). For the purpose of these specifications, the term air operations area (AOA) shall mean any area of the airport used or intended to be used for the landing, takeoff, or surface maneuvering of aircraft. An air operation area shall include such paved or unpaved areas that are used or intended to be used for the unobstructed movement of aircraft in addition to its associated runway, taxiway, or apron.

10-06 AIRPORT. Airport means an area of land or water which is used or intended to be used for the landing and takeoff of aircraft; an appurtenant area used or intended to be used for airport buildings or other airport facilities or rights of way; and airport buildings and facilities located in any of these areas, and includes a heliport.

10-07 ASTM INTERNATIONAL (ASTM). Formerly known as the American Society for Testing and Materials (ASTM).

10-08 AWARD. The Owner's notice to the successful bidder of the acceptance of the submitted bid.

10-09 BIDDER. Any individual, partnership, firm, or corporation, acting directly or through a duly authorized representative, who submits a proposal for the work contemplated.

10-10 BUILDING AREA. An area on the airport to be used, considered, or intended to be used for airport buildings or other airport facilities or rights-of-way together with all airport buildings and facilities located thereon.

10-11 CALENDAR DAY. Every day shown on the calendar.

10-12 CHANGE ORDER. A written order to the Contractor covering changes in the plans, specifications, or proposal quantities and establishing the basis of payment and contract time adjustment, if any, for the work affected by such changes. The work, covered by a change order, must be within the scope of the contract.

10-13 CONTRACT. The written agreement covering the work to be performed. The awarded contract shall include, but is not limited to: Advertisement, Contract Form, Proposal, Performance Bond, Payment Bond, any required insurance certificates, Specifications, Plans, and any addenda issued to bidders.

10-14 CONTRACT ITEM (PAY ITEM). A specific unit of work for which a price is provided in the contract.

10-15 CONTRACT TIME. The number of calendar days ~~or working days~~, stated in the proposal, allowed for completion of the contract, including authorized time extensions. ~~If a calendar date of completion is stated in the proposal, in lieu of a number of calendar or working days, the contract shall be completed by that date.~~

10-16 CONTRACTOR. The individual, partnership, firm, or corporation primarily liable for the acceptable performance of the work contracted and for the payment of all legal debts pertaining to the work who acts directly or through lawful agents or employees to complete the contract work.

10-17 CONTRACTOR'S LABORATORY. The Contractor's quality control organization in accordance with the Contractor Quality Control Program.

10-18 CONSTRUCTION SAFETY AND PHASING PLAN (CSPP). The overall plan for safety and phasing of a construction project developed by the airport operator, or developed by the airport operator's consultant and approved by the airport operator. It is included in the invitation for bids and becomes part of the project specifications.

10-19 DRAINAGE SYSTEM. The system of pipes, ditches, and structures by which surface or subsurface waters are collected and conducted from the airport area.

10-20 ENGINEER. The individual, partnership, firm, or corporation duly authorized by the Owner to be responsible for engineering inspection of the contract work and acting directly or through an authorized representative. The Engineer shall be understood to be the Engineer of the Owner or the Owner's duly authorized representative.

10-21 EQUIPMENT. All machinery, together with the necessary supplies for upkeep and maintenance, and also all tools and apparatus necessary for the proper construction and acceptable completion of the work.

10-22 EXTRA WORK. An item of work not provided for in the awarded contract as previously modified by change order or supplemental agreement, but which is found by the Engineer to be necessary to complete the work within the intended scope of the contract as previously modified.

10-23 FAA. The Federal Aviation Administration of the U.S. Department of Transportation. When used to designate a person, FAA shall mean the Administrator or his or her duly authorized representative.

10-24 FEDERAL SPECIFICATIONS. The Federal Specifications and Standards, Commercial Item Descriptions, and supplements, amendments, and indices thereto are prepared and issued by the General Services Administration of the Federal Government.

10-25 FORCE ACCOUNT. Force account work is planning, engineering, or construction work done by the Sponsor's employees.

10-26 INSPECTOR. An authorized representative of the Engineer assigned to make all necessary inspections and/or observation of tests of the work performed or being performed, or of the materials furnished or being furnished by the Contractor.

10-27 INTENTION OF TERMS. Whenever, in these specifications or on the plans, the words "directed," "required," "permitted," "ordered," "designated," "prescribed," or words of like import are used, it shall be understood that the direction, requirement, permission, order, designation, or prescription of the Engineer is intended; and similarly, the words "approved," "acceptable," "satisfactory," or words of like import, shall mean approved by, or acceptable to, or satisfactory to the Engineer, subject in each case to the final determination of the Owner.

Any reference to a specific requirement of a numbered paragraph of the contract specifications or a cited standard shall be interpreted to include all general requirements of the entire section, specification item, or cited standard that may be pertinent to such specific reference.

10-28 LABORATORY. The official testing laboratories of the Owner or such other laboratories as may be designated by the Engineer. Also referred to as "Engineer's Laboratory" or "quality assurance laboratory."

10-29 LIGHTING. A system of fixtures providing or controlling the light sources used on or near the airport or within the airport buildings. The field lighting includes all luminous signals, markers, floodlights, and illuminating devices used on or near the airport or to aid in the operation of aircraft landing at, taking off from, or taxiing on the airport surface.

10-30 MAJOR AND MINOR CONTRACT ITEMS. A major contract item shall be any item that is listed in the proposal, the total cost of which is equal to or greater than 20% of the total amount of the award contract. All other items shall be considered minor contract items.

10-31 MATERIALS. Any substance specified for use in the construction of the contract work.

10-32 NOTICE TO PROCEED (NTP). A written notice to the Contractor to begin the actual contract work on a previously agreed to date. If applicable, the Notice to Proceed shall state the date on which the contract time begins.

10-33 OWNER. The term "Owner" shall mean the party of the first part or the contracting agency signatory to the contract. Where the term "Owner" is capitalized in this document, it shall mean airport Sponsor only.

10-34 PASSENGER FACILITY CHARGE (PFC). Per 14 CFR Part 158 and 49 USC § 40117, a PFC is a charge imposed by a public agency on passengers enplaned at a commercial service airport it controls.

10-35 PAVEMENT. The combined surface course, base course, and subbase course, if any, considered as a single unit.

10-36 PAYMENT BOND. The approved form of security furnished by the Contractor and his or her surety as a guaranty that the Contractor will pay in full all bills and accounts for materials and labor used in the construction of the work.

10-37 PERFORMANCE BOND. The approved form of security furnished by the Contractor and his or her surety as a guaranty that the Contractor will complete the work in accordance with the terms of the contract.

10-38 PLANS. The official drawings or exact reproductions which show the location, character, dimensions and details of the airport and the work to be done and which are to be considered as a part of the contract, supplementary to the specifications.

10-39 PROJECT. The agreed scope of work for accomplishing specific airport development with respect to a particular airport.

10-40 PROPOSAL. The written offer of the bidder (when submitted on the approved proposal form) to perform the contemplated work and furnish the necessary materials in accordance with the provisions of the plans and specifications.

10-41 PROPOSAL GUARANTY. The security furnished with a proposal to guarantee that the bidder will enter into a contract if his or her proposal is accepted by the Owner.

10-41A RESIDENT PROJECT REPRESENTATIVE. An authorized representative of the Engineer or Owner assigned to make all necessary inspections and/or tests of the work performed or being performed, or of the materials furnished or being furnished by the Contractor.

10-42 RUNWAY. The area on the airport prepared for the landing and takeoff of aircraft.

10-43 SPECIFICATIONS. A part of the contract containing the written directions and requirements for completing the contract work. Standards for specifying materials or testing which are cited in the contract specifications by reference shall have the same force and effect as if included in the contract physically.

10-44 SPONSOR. A Sponsor is defined in 49 USC § 47102(24) as a public agency that submits to the FAA for an AIP grant; or a private Owner of a public-use airport that submits to the FAA an application for an AIP grant for the airport.

10-45 STRUCTURES. Airport facilities such as bridges; culverts; catch basins, inlets, retaining walls, cribbing; storm and sanitary sewer lines; water lines; underdrains; electrical ducts, manholes, handholes, lighting fixtures and bases; transformers; flexible and rigid pavements; navigational aids; buildings; vaults;

and, other manmade features of the airport that may be encountered in the work and not otherwise classified herein.

10-46 SUBGRADE. The soil that forms the pavement foundation.

10-47 SUPERINTENDENT. The Contractor's executive representative who is present on the work during progress, authorized to receive and fulfill instructions from the Engineer, and who shall supervise and direct the construction.

10-48 SUPPLEMENTAL AGREEMENT. A written agreement between the Contractor and the Owner covering (1) work that would increase or decrease the total amount of the awarded contract, or any major contract item, by more than 25%, such increased or decreased work being within the scope of the originally awarded contract; or (2) work that is not within the scope of the originally awarded contract.

10-49 SURETY. The corporation, partnership, or individual, other than the Contractor, executing payment or performance bonds that are furnished to the Owner by the Contractor.

10-50 TAXIWAY. For the purpose of this document, the term taxiway means the portion of the air operations area of an airport that has been designated by competent airport authority for movement of aircraft to and from the airport's runways, aircraft parking areas, and terminal areas.

10-51 WORK. The furnishing of all labor, materials, tools, equipment, and incidentals necessary or convenient to the Contractor's performance of all duties and obligations imposed by the contract, plans, and specifications.

~~**10-52 WORKING DAY.** A working day shall be any day other than a legal holiday, Saturday, or Sunday on which the normal working forces of the Contractor may proceed with regular work for at least six (6) hours toward completion of the contract. When work is suspended for causes beyond the Contractor's control, it will not be counted as a working day. Saturdays, Sundays and holidays on which the Contractor's forces engage in regular work will be considered as working days.~~

END OF SECTION 10

SECTION 20

PROPOSAL REQUIREMENTS AND CONDITIONS

20-01 ADVERTISEMENT (Notice to Bidders). This project has been advertised on Brazos Valley Contractor's Association Plan Room 4346 Carter Creek Parkway, Bryan, TX 77802. P: 1-979-260-5902

20-02 QUALIFICATION OF BIDDERS. Each bidder shall furnish the Owner satisfactory evidence of his or her competency to perform the proposed work. Such evidence of competency, unless otherwise specified, shall consist of statements covering the bidder's past experience on similar work, a list of equipment that would be available for the work, and a list of key personnel that would be available. In addition, each bidder shall furnish the Owner satisfactory evidence of his or her financial responsibility. Such evidence of financial responsibility, unless otherwise specified, shall consist of a confidential statement or report of the bidder's financial resources and liabilities as of the last calendar year or the bidder's last fiscal year. Such statements or reports shall be certified by a public accountant. At the time of submitting such financial statements or reports, the bidder shall further certify whether his or her financial responsibility is approximately the same as stated or reported by the public accountant. If the bidder's financial responsibility has changed, the bidder shall qualify the public accountant's statement or report to reflect the bidder's true financial condition at the time such qualified statement or report is submitted to the Owner.

The City intends to award a contract to the lowest responsive and responsible bidder, who meets all the minimum qualifications listed below. Prime Contractors must submit proof with their bids, documenting that they meet all minimum qualifications, in a separate sealed envelope marked "Qualifications". If a Prime Contractor fails to supply all the necessary proof, their bid may be deemed as non-responsive, and the City will go to the next lowest responsive, responsible bidder.

Bidder Qualifications: At the time of bid, the Bidder shall:

Have completed at least three other projects of similar size, complexity and general operation as the work described in these specifications within the past 5 years at a fully operational airport. **Provide written proof of compliance with this paragraph with bid.**

Indicate complete and total compliance with the provisions of these specifications by letter or by submittal of bid response forms, signed by an officer of the corporation, or a principal if other ownership currently exists. Include a complete listing of exceptions, if any.

Unless otherwise specified, a bidder may submit evidence that he or she is prequalified with the State Highway Division and is on the current "bidder's list" of the state in which the proposed work is located. Such evidence of State Highway Division prequalification may be submitted as evidence of financial responsibility in lieu of the certified statements or reports specified above, provided the construction value of projects submitted as evidence of prequalification is equal to or greater than the estimated costs of the project for which the bidder is submitting a bid.

Each bidder shall submit "evidence of competency" and "evidence of financial responsibility" to the Owner at the time of bid opening.

20-03 CONTENTS OF PROPOSAL FORMS. The Owner shall furnish bidders with proposal forms. All papers bound with or attached to the proposal forms are necessary parts and must not be detached.

The plans, specifications, and other documents designated in the proposal form shall be considered a part of the proposal whether attached or not.

20-04 ISSUANCE OF PROPOSAL FORMS. The Owner reserves the right to refuse to issue a proposal form to a prospective bidder should such bidder be in default for any of the following, but not limited to, reasons:

- a. Failure to comply with any prequalification regulations of the Owner, if such regulations are cited, or otherwise included, in the proposal as a requirement for bidding.
- b. Failure to pay, or satisfactorily settle, all bills due for labor and materials on former contracts in force with the Owner at the time the Owner issues the proposal to a prospective bidder.
- c. Documented record of Contractor default under previous contracts with the Owner.
- d. Documented record of unsatisfactory work on previous contracts with the Owner.
- e. Contractor has an interest in any litigation or arbitration or other type claim against the Owner or Engineer.

20-05 INTERPRETATION OF ESTIMATED PROPOSAL QUANTITIES. An estimate of quantities of work to be done and materials to be furnished under these specifications is given in the proposal. It is the result of careful calculations and is believed to be correct. It is given only as a basis for comparison of proposals and the award of the contract. The Owner does not expressly, or by implication, agree that the actual quantities involved will correspond exactly therewith; nor shall the bidder plead misunderstanding or deception because of such estimates of quantities, or of the character, location, or other conditions pertaining to the work. Payment to the Contractor will be made only for the actual quantities of work performed or materials furnished in accordance with the plans and specifications. It is understood that the quantities may be increased or decreased as hereinafter provided in the subsection 40-02 titled ALTERATION OF WORK AND QUANTITIES of Section 40 without in any way invalidating the unit bid prices.

20-06 EXAMINATION OF PLANS, SPECIFICATIONS, AND SITE. The bidder is expected to carefully examine the site of the proposed work, the proposal, plans, specifications, and contract forms. Bidders shall satisfy themselves as to the character, quality, and quantities of work to be performed, materials to be furnished, and as to the requirements of the proposed contract. The submission of a proposal shall be prima facie evidence that the bidder has made such examination and is satisfied as to the conditions to be encountered in performing the work and as to the requirements of the proposed contract, plans, and specifications.

Boring logs and other records of subsurface investigations and tests are available for inspection of bidders. It is understood and agreed that such subsurface information, whether included in the plans, specifications, or otherwise made available to the bidder, was obtained and is intended for the Owner's design and estimating purposes only. Such information has been made available for the convenience of all bidders. It is further understood and agreed that each bidder is solely responsible for all assumptions, deductions, or conclusions which the bidder may make or obtain from his or her examination of the boring logs and other records of subsurface investigations and tests that are furnished by the Owner.

20-07 PREPARATION OF PROPOSAL. The bidder shall submit his or her proposal on the forms furnished by the Owner. All blank spaces in the proposal forms must be correctly filled in where indicated for each and every item for which a quantity is given. The bidder shall state the price (written in ink or typed) both in words and numerals for which they propose to do for each pay item furnished in the proposal. In case of conflict between words and numerals, the words, unless obviously incorrect, shall govern.

The bidder shall sign the proposal correctly and in ink. If the proposal is made by an individual, his or her name and post office address must be shown. If made by a partnership, the name and post office address of each member of the partnership must be shown. If made by a corporation, the person signing the proposal shall give the name of the state under the laws of which the corporation was chartered and the name, titles, and business address of the president, secretary, and the treasurer. Anyone signing a proposal as an agent shall file evidence of his or her authority to do so and that the signature is binding upon the firm or corporation.

20-08 RESPONSIVE AND RESPONSIBLE BIDDER. A responsive bid conforms to all significant terms and conditions contained in the Sponsor's invitation for bid. It is the Sponsor's responsibility to decide if

the exceptions taken by a bidder to the solicitation are material or not and the extent of deviation it is willing to accept.

A responsible bidder has the ability to perform successfully under the terms and conditions of a proposed procurement, as defined in 49 CFR § 18.36(b)(8). This includes such matters as Contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.

20-09 IRREGULAR PROPOSALS. Proposals shall be considered irregular for the following, but not limited to, reasons:

- a. If the proposal is on a form other than that furnished by the Owner, or if the Owner's form is altered, or if any part of the proposal form is detached.
- b. If there are unauthorized additions, conditional or alternate pay items, or irregularities of any kind that make the proposal incomplete, indefinite, or otherwise ambiguous.
- c. If the proposal does not contain a unit price for each pay item listed in the proposal, except in the case of authorized alternate pay items, for which the bidder is not required to furnish a unit price.
- d. If the proposal contains unit prices that are obviously unbalanced, as interpreted by the Owner and Engineer.
- e. If the proposal is not accompanied by the proposal guaranty specified by the Owner.

The Owner reserves the right to reject any irregular proposal and the right to waive technicalities if such waiver is in the best interest of the Owner and conforms to local laws and ordinances pertaining to the letting of construction contracts.

20-10 BID GUARANTEE. Each separate proposal shall be accompanied by a certified check, or other specified acceptable collateral, in the amount specified in the proposal form. Such check, or collateral, shall be made payable to the Owner.

20-11 DELIVERY OF PROPOSAL. Each proposal submitted shall be placed in a sealed envelope plainly marked with the project number, location of airport, and name and business address of the bidder on the outside. When sent by mail, preferably registered, the sealed proposal, marked as indicated above, should be enclosed in an additional envelope. No proposal will be considered unless received at the place specified in the advertisement or as modified by Addendum before the time specified for opening all bids. Proposals received after the bid opening time shall be returned to the bidder unopened.

20-12 WITHDRAWAL OR REVISION OF PROPOSALS. A bidder may withdraw or revise (by withdrawal of one proposal and submission of another) a proposal provided that the bidder's request for withdrawal is received by the Owner in writing or by confirmed email before the time specified for opening bids. Revised proposals must be received at the place specified in the advertisement before the time specified for opening all bids.

20-13 PUBLIC OPENING OF PROPOSALS. Proposals shall be opened, and read, publicly at the time and place specified in the advertisement. Bidders, their authorized agents, and other interested persons are invited to attend. Proposals that have been withdrawn (by written or telegraphic request) or received after the time specified for opening bids shall be returned to the bidder unopened.

20-14 DISQUALIFICATION OF BIDDERS. A bidder shall be considered disqualified for any of the following, but not limited to, reasons:

- a. Submitting more than one proposal from the same partnership, firm, or corporation under the same or different name.
- b. Evidence of collusion among bidders. Bidders participating in such collusion shall be disqualified as bidders for any future work of the Owner until any such participating bidder has been reinstated by the Owner as a qualified bidder.
- c. If the bidder is considered to be in "default" for any reason specified in the subsection 20-04 titled ISSUANCE OF PROPOSAL FORMS of this section.

d. Where the Bidder has an interest in any litigation or arbitration or other type claim against the Owner or Engineer.

e. Lack of competency as revealed by the Statement of Bidder's Qualifications.

f. Uncompleted work which, in the judgment of the Owner, will hinder or prevent the prompt completion of additional work, if awarded.

g. Previous projects where, in the judgment of the Owner, the Bidder performed unsatisfactorily and did not complete and close out the project in a timely manner resulting in the Owner not being able to close out the project with various funding agencies and resulting in the Owner potentially or actually losing planned funding for other projects.

END OF SECTION 20

SECTION 30

AWARD AND EXECUTION OF CONTRACT

30-01 CONSIDERATION OF PROPOSALS. After the proposals are publicly opened and read, they will be compared on the basis of the summation of the products obtained by multiplying the estimated quantities shown in the proposal by the unit bid prices. If a bidder's proposal contains a discrepancy between unit bid prices written in words and unit bid prices written in numbers, the unit price written in words shall govern.

Until the award of a contract is made, the Owner reserves the right to reject a bidder's proposal for any of the following reasons:

- a. If the proposal is irregular as specified in the subsection 20-09 titled IRREGULAR PROPOSALS of Section 20.
- b. If the bidder is disqualified for any of the reasons specified in the subsection 20-14 titled DISQUALIFICATION OF BIDDERS of Section 20.

In addition, until the award of a contract is made, the Owner reserves the right to reject any or all proposals, waive technicalities, if such waiver is in the best interest of the Owner and is in conformance with applicable state and local laws or regulations pertaining to the letting of construction contracts; advertise for new proposals; or proceed with the work otherwise. All such actions shall promote the Owner's best interests.

30-02 AWARD OF CONTRACT. The award of a contract, if it is to be awarded, shall be made within 90 calendar days of the date specified for publicly opening proposals, unless otherwise specified herein.

Award of the contract shall be made by the Owner to the lowest, qualified bidder whose proposal conforms to the cited requirements of the Owner.

30-03 CANCELLATION OF AWARD. The Owner reserves the right to cancel the award without liability to the bidder, except return of proposal guaranty, at any time before a contract has been fully executed by all parties and is approved by the Owner in accordance with the subsection 30-07 titled APPROVAL OF CONTRACT of this section.

30-04 RETURN OF PROPOSAL GUARANTY. All proposal guaranties, except those of the two lowest bidders, will be returned immediately after the Owner has made a comparison of bids as specified in the subsection 30-01 titled CONSIDERATION OF PROPOSALS of this section. Proposal guaranties of the two lowest bidders will be retained by the Owner until such time as an award is made, at which time, the unsuccessful bidder's proposal guaranty will be returned. The successful bidder's proposal guaranty will be returned as soon as the Owner receives the contract bonds as specified in the subsection 30-05 titled REQUIREMENTS OF CONTRACT BONDS of this section.

30-05 REQUIREMENTS OF CONTRACT BONDS. At the time of the execution of the contract, the successful bidder shall furnish the Owner a surety bond or bonds that have been fully executed by the bidder and the surety guaranteeing the performance of the work and the payment of all legal debts that may be incurred by reason of the Contractor's performance of the work. The surety and the form of the bond or bonds shall be acceptable to the Owner. Unless otherwise specified in this subsection, the surety bond or bonds shall be in a sum equal to the full amount of the contract.

30-06 EXECUTION OF CONTRACT. The successful bidder shall sign (execute) the necessary agreements for entering into the contract and return the signed contract to the Owner, along with the fully executed surety bond or bonds specified in the subsection 30-05 titled REQUIREMENTS OF CONTRACT BONDS of this section, within 45 10 calendar days from the date mailed or otherwise delivered to the successful bidder.

The contract executed by the successful bidder shall have within the body of the contract the following language that documents the following assurances:

“The contractor, sub-recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.”

30-07 APPROVAL OF CONTRACT. Upon receipt of the contract and contract bond or bonds that have been executed by the successful bidder, the Owner shall complete the execution of the contract in accordance with local laws or ordinances, and return the fully executed contract to the Contractor. Delivery of the fully executed contract to the Contractor shall constitute the Owner’s approval to be bound by the successful bidder’s proposal and the terms of the contract.

30-08 FAILURE TO EXECUTE CONTRACT. Failure of the successful bidder to execute the contract and furnish an acceptable surety bond or bonds within the ~~45~~ 10 calendar day period specified in the subsection 30-06 titled EXECUTION OF CONTRACT of this section shall be just cause for cancellation of the award and forfeiture of the proposal guaranty, not as a penalty, but as liquidation of damages to the Owner.

END OF SECTION 30

SECTION 40

SCOPE OF WORK

40-01 INTENT OF CONTRACT. The intent of the contract is to provide for construction and completion, in every detail, of the work described. It is further intended that the Contractor shall furnish all labor, materials, equipment, tools, transportation, and supplies and incidentals required to complete the work in accordance with the plans, specifications, and terms of the contract.

40-02 ALTERATION OF WORK AND QUANTITIES. The Owner reserves and shall have the right to make such alterations in the work as may be necessary or desirable to complete the work originally intended in an acceptable manner. Unless otherwise specified herein, the Engineer shall be and is hereby authorized to make such alterations in the work as may increase or decrease the originally awarded contract quantities, provided that the aggregate of such alterations does not change the total contract cost or the total cost of any major contract item by more than 25% (total cost being based on the unit prices and estimated quantities in the awarded contract). Alterations that do not exceed the 25% limitation shall not invalidate the contract nor release the surety, and the Contractor agrees to accept payment for such alterations as if the altered work had been a part of the original contract. These alterations that are for work within the general scope of the contract shall be covered by “Change Orders” issued by the Engineer. Change orders for altered work shall include extensions of contract time where, in the Engineer’s opinion, such extensions are commensurate with the amount and difficulty of added work.

Should the aggregate amount of altered work exceed the 25% limitation hereinbefore specified, such excess altered work shall be covered by supplemental agreement. If the Owner and the Contractor are unable to agree on a unit adjustment for any contract item that requires a supplemental agreement, the Owner reserves the right to terminate the contract with respect to the item and make other arrangements for its completion.

Supplemental agreements shall be approved by the FAA and shall include all applicable Federal contract provisions for procurement and contracting required under AIP. Supplemental agreements shall also require consent of the Contractor’s surety and separate performance and payment bonds.

40-03 OMITTED ITEMS. The Engineer may, in the Owner’s best interest, omit from the work any contract item, except major contract items. Major contract items may be omitted by a supplemental agreement. Such omission of contract items shall not invalidate any other contract provision or requirement.

Should a contract item be omitted or otherwise ordered to be non-performed, the Contractor shall be paid for all work performed toward completion of such item prior to the date of the order to omit such item. Payment for work performed shall be in accordance with the subsection 90-04 titled PAYMENT FOR OMITTED ITEMS of Section 90.

40-04 EXTRA WORK. Should acceptable completion of the contract require the Contractor to perform an item of work for which no basis of payment has been provided in the original contract or previously issued change orders or supplemental agreements, the same shall be called “Extra Work.” Extra Work that is within the general scope of the contract shall be covered by written change order. Change orders for such Extra Work shall contain agreed unit prices for performing the change order work in accordance with the requirements specified in the order, and shall contain any adjustment to the contract time that, in the Engineer’s opinion, is necessary for completion of such Extra Work.

When determined by the Engineer to be in the Owner’s best interest, the Engineer may order the Contractor to proceed with Extra Work as provided in the subsection 90-05 titled PAYMENT FOR EXTRA WORK of Section 90. Extra Work that is necessary for acceptable completion of the project, but is not within the general scope of the work covered by the original contract shall be covered by a Supplemental Agreement as defined in the subsection 10-48 titled SUPPLEMENTAL AGREEMENT of Section 10.

Any claim for payment of Extra Work that is not covered by written agreement (change order or supplemental agreement) shall be rejected by the Owner.

40-05 MAINTENANCE OF TRAFFIC. It is the explicit intention of the contract that the safety of aircraft, as well as the Contractor's equipment and personnel, is the most important consideration.

a. It is understood and agreed that the Contractor shall provide for the free and unobstructed movement of aircraft in the air operations areas (AOAs) of the airport with respect to his or her own operations and the operations of all subcontractors as specified in the subsection 80-04 titled LIMITATION OF OPERATIONS of Section 80. It is further understood and agreed that the Contractor shall provide for the uninterrupted operation of visual and electronic signals (including power supplies thereto) used in the guidance of aircraft while operating to, from, and upon the airport as specified in the subsection 70-15 titled CONTRACTOR'S RESPONSIBILITY FOR UTILITY SERVICE AND FACILITIES OF OTHERS in Section 70.

b. With respect to his or her own operations and the operations of all subcontractors, the Contractor shall provide marking, lighting, and other acceptable means of identifying personnel, equipment, vehicles, storage areas, and any work area or condition that may be hazardous to the operation of aircraft, fire-rescue equipment, or maintenance vehicles at the airport.

c. When the contract requires the maintenance of vehicular traffic on an existing road, street, or highway during the Contractor's performance of work that is otherwise provided for in the contract, plans, and specifications, the Contractor shall keep such road, street, or highway open to all traffic and shall provide such maintenance as may be required to accommodate traffic. The Contractor shall be responsible for the repair of any damage caused by the Contractor's equipment and personnel. The Contractor shall furnish, erect, and maintain barricades, warning signs, flag person, and other traffic control devices in reasonable conformity with the Manual on Uniform Traffic Control Devices (MUTCD) (<http://mutcd.fhwa.dot.gov/>), unless otherwise specified. The Contractor shall also construct and maintain in a safe condition any temporary connections necessary for ingress to and egress from abutting property or intersecting roads, streets or highways.

40-06 REMOVAL OF EXISTING STRUCTURES. All existing structures encountered within the established lines, grades, or grading sections shall be removed by the Contractor, unless such existing structures are otherwise specified to be relocated, adjusted up or down, salvaged, abandoned in place, reused in the work or to remain in place. The cost of removing such existing structures shall not be measured or paid for directly, but shall be included in the various contract items.

Should the Contractor encounter an existing structure (above or below ground) in the work for which the disposition is not indicated on the plans, the Engineer shall be notified prior to disturbing such structure. The disposition of existing structures so encountered shall be immediately determined by the Engineer in accordance with the provisions of the contract.

Except as provided in the subsection 40-07 titled RIGHTS IN AND USE OF MATERIALS FOUND IN THE WORK of this section, it is intended that all existing materials or structures that may be encountered (within the lines, grades, or grading sections established for completion of the work) shall be used in the work as otherwise provided for in the contract and shall remain the property of the Owner when so used in the work.

40-07 RIGHTS IN AND USE OF MATERIALS FOUND IN THE WORK. Should the Contractor encounter any material such as (but not restricted to) sand, stone, gravel, slag, or concrete slabs within the established lines, grades, or grading sections, the use of which is intended by the terms of the contract to be either embankment or waste, the Contractor may at his or her option either:

- a. Use such material in another contract item, providing such use is approved by the Engineer and is in conformance with the contract specifications applicable to such use; or,
- b. Remove such material from the site, upon written approval of the Engineer; or
- c. Use such material for the Contractor's own temporary construction on site; or,
- d. Use such material as intended by the terms of the contract.

Should the Contractor wish to exercise option a., b., or c., the Contractor shall request the Engineer's approval in advance of such use.

Should the Engineer approve the Contractor's request to exercise option a., b., or c., the Contractor shall be paid for the excavation or removal of such material at the applicable contract price. The Contractor shall replace, at his or her own expense, such removed or excavated material with an agreed equal volume of material that is acceptable for use in constructing embankment, backfills, or otherwise to the extent that such replacement material is needed to complete the contract work. The Contractor shall not be charged for use of such material used in the work or removed from the site.

Should the Engineer approve the Contractor's exercise of option a., the Contractor shall be paid, at the applicable contract price, for furnishing and installing such material in accordance with requirements of the contract item in which the material is used.

It is understood and agreed that the Contractor shall make no claim for delays by reason of his or her exercise of option a., b., or c.

The Contractor shall not excavate, remove, or otherwise disturb any material, structure, or part of a structure which is located outside the lines, grades, or grading sections established for the work, except where such excavation or removal is provided for in the contract, plans, or specifications.

40-08 FINAL CLEANUP. Upon completion of the work and before acceptance and final payment will be made, the Contractor shall remove from the site all machinery, equipment, surplus and discarded materials, rubbish, temporary structures, and stumps or portions of trees. The Contractor shall cut all brush and woods within the limits indicated and shall leave the site in a neat and presentable condition. Material cleared from the site and deposited on adjacent property will not be considered as having been disposed of satisfactorily, unless the Contractor has obtained the written permission of such property Owner.

END OF SECTION 40

SECTION 50 CONTROL OF WORK

50-01 AUTHORITY OF THE ENGINEER. The Engineer shall decide any and all questions which may arise as to the quality and acceptability of materials furnished, work performed, and as to the manner of performance and rate of progress of the work. The Engineer shall decide all questions that may arise as to the interpretation of the specifications or plans relating to the work. The Engineer shall determine the amount and quality of the several kinds of work performed and materials furnished which are to be paid for the under contract.

The Engineer does not have the authority to accept pavements that do not conform to FAA specification requirements.

50-02 CONFORMITY WITH PLANS AND SPECIFICATIONS. All work and all materials furnished shall be in reasonably close conformity with the lines, grades, grading sections, cross-sections, dimensions, material requirements, and testing requirements that are specified (including specified tolerances) in the contract, plans or specifications.

If the Engineer finds the materials furnished, work performed, or the finished product not within reasonably close conformity with the plans and specifications but that the portion of the work affected will, in his or her opinion, result in a finished product having a level of safety, economy, durability, and workmanship acceptable to the Owner, the Engineer will advise the Owner of his or her determination that the affected work be accepted and remain in place. In this event, the Engineer will document the determination and recommend to the Owner a basis of acceptance that will provide for an adjustment in the contract price for the affected portion of the work. The Engineer's determination and recommended contract price adjustments will be based on sound engineering judgment and such tests or retests of the affected work as are, in the Engineer's opinion, needed. Changes in the contract price shall be covered by contract change order or supplemental agreement as applicable.

If the Engineer finds the materials furnished, work performed, or the finished product are not in reasonably close conformity with the plans and specifications and have resulted in an unacceptable finished product, the affected work or materials shall be removed and replaced or otherwise corrected by and at the expense of the Contractor in accordance with the Engineer's written orders.

For the purpose of this subsection, the term "reasonably close conformity" shall not be construed as waiving the Contractor's responsibility to complete the work in accordance with the contract, plans, and specifications. The term shall not be construed as waiving the Engineer's responsibility to insist on strict compliance with the requirements of the contract, plans, and specifications during the Contractor's execution of the work, when, in the Engineer's opinion, such compliance is essential to provide an acceptable finished portion of the work.

For the purpose of this subsection, the term "reasonably close conformity" is also intended to provide the Engineer with the authority, after consultation with the FAA, to use sound engineering judgment in his or her determinations as to acceptance of work that is not in strict conformity, but will provide a finished product equal to or better than that intended by the requirements of the contract, plans and specifications.

All defined tolerances shall apply before, during and after incorporation of the materials into the work. It is the intent of the specifications that all materials meet all of the requirements of the specifications after all material has been set in place in its final form.

The Engineer will not be responsible for the Contractor's means, methods, techniques, sequences, or procedures of construction or the safety precautions incident thereto.

50-03 COORDINATION OF CONTRACT, PLANS, AND SPECIFICATIONS. The contract, plans, specifications, and all referenced standards cited are essential parts of the contract requirements. A requirement occurring in one is as binding as though occurring in all. They are intended to be complementary and to describe and provide for a complete work. In case of discrepancy, calculated dimensions will govern over scaled dimensions; contract technical specifications shall govern over contract general provisions, plans, cited standards for materials or testing, and cited advisory circulars

(ACs); contract general provisions shall govern over plans, cited standards for materials or testing, and cited ACs; plans shall govern over cited standards for materials or testing and cited ACs. If any paragraphs contained in the Special ~~Provisions~~ ~~Conditions~~ conflict with General Provisions or Technical Specifications, the Special ~~Provisions~~ ~~Conditions~~ shall govern.

From time to time, discrepancies within cited testing standards occur due to the timing of the change, edits, and/or replacement of the standards. If the Contractor discovers any apparent discrepancy within standard test methods, the Contractor shall immediately ask the Engineer for an interpretation and decision, and such decision shall be final.

50-04 COOPERATION OF CONTRACTOR. The Contractor will be supplied with five copies each of the plans and specifications. The Contractor shall have available on the work at all times one copy each of the plans and specifications. Additional copies of plans and specifications may be obtained by the Contractor for the cost of reproduction.

The Contractor shall give constant attention to the work to facilitate the progress thereof, and shall cooperate with the Engineer and his or her inspectors and with other contractors in every way possible. The Contractor shall have a competent superintendent on the work at all times who is fully authorized as his or her agent on the work. The superintendent shall be capable of reading and thoroughly understanding the plans and specifications and shall receive and fulfill instructions from the Engineer or his or her authorized representative.

50-05 COOPERATION BETWEEN CONTRACTORS. The Owner reserves the right to contract for and perform other or additional work on or near the work covered by this contract.

When separate contracts are let within the limits of any one project, each Contractor shall conduct the work so as not to interfere with or hinder the progress of completion of the work being performed by other Contractors. Contractors working on the same project shall cooperate with each other as directed.

Each Contractor involved shall assume all liability, financial or otherwise, in connection with his or her contract and shall protect and save harmless the Owner from any and all damages or claims that may arise because of inconvenience, delays, or loss experienced because of the presence and operations of other Contractors working within the limits of the same project.

The Contractor shall arrange his or her work and shall place and dispose of the materials being used so as not to interfere with the operations of the other Contractors within the limits of the same project. The Contractor shall join his or her work with that of the others in an acceptable manner and shall perform it in proper sequence to that of the others.

50-06 CONSTRUCTION LAYOUT AND STAKES. ~~The Engineer shall establish horizontal and vertical control only. The Contractor must establish all layout required for the construction of the work. Such stakes and markings as the Engineer may set for either their own or the Contractor's guidance shall be preserved by the Contractor. In case of negligence on the part of the Contractor, or their employees, resulting in the destruction of such stakes or markings, an amount equal to the cost of replacing the same may be deducted from subsequent estimates due the Contractor at the discretion of the Engineer.~~ The Contractor shall furnish, as his expense, all horizontal and vertical control, all staking and layout of construction work called for on the plans and in accordance with Technical Specification P-104, Project Survey and Stakeout and as more stringently required herein. The Engineer and Owner shall not be responsible for such work. However, the Owner and Engineer reserve the right to check all said lines, grades, and measurements with their appointed surveyor(s). Should the Owner's surveyor(s) detect errors in said lines, grades, and measurements, the Contractor shall pay for all said surveying costs and subsequent surveying costs performed to verify correction of errors found in said lines, grades, and measurements. Included in this are all blue top staking for subgrade and base course installation. Definition of an error shall be 1/4" or more. In the case of a discrepancy between the technical specifications and this defined tolerance, the more stringent tolerance shall govern.

~~The Contractor will be required to furnish all lines, grades and measurements from the control points necessary for the proper execution and control of the work contracted for under these specifications.~~

The Construction survey control will be the secondary and primary control stations identified by the Engineer and used for the design. These were established using the procedures in FAA AC 150/5300-16A. If additional secondary control stations are needed they must be surveyed to the temporary control standards and procedures in accordance with FAA AC 150/5300-16A.

When staking out construction features the construction survey must verify consistency with the secondary project control. If secondary project control has been disturbed the survey must verify consistency with primary project control. The Contractor must verify his internal secondary control monuments a minimum of once per month.

Prior to performing the initial control survey, submit a methodology statement to the Engineer for their review, complete with survey equipment to be utilized and with information as to the accuracy of the equipment.

The Contractor must give copies of survey notes to the Engineer for each area of construction and for each placement of material as specified to allow the Engineer to make periodic checks for conformance with plan grades, alignments and grade tolerances required by the applicable material specifications. All surveys must be provided to the Engineer prior to commencing work items that will cover or disturb the survey staking as set by the Contractor's surveyor. Survey(s) and notes shall be provided in the following format(s): Hard Copy and Electronic (PDF of Field Notes, AutoCAD 2014 of survey data). In the case of error, on the part of the Contractor, their surveyor, employees or subcontractors, resulting in established grades, alignment or grade tolerances that do not concur with those specified or shown on the plans, the Contractor is solely responsible for correction, removal, replacement and all associated costs at no additional cost to the Owner.

Construction Staking and Layout includes but is not limited to:

- a. Clearing and Grubbing perimeter staking
- b. Rough Grade slope stakes at 100-foot stations
- c. Drainage Swales slope stakes and flow line blue tops at 50-foot stations

Subgrade blue tops at 25-foot stations and 25-foot offset distance (maximum) for the following section locations:

- a. Runway – minimum five (5) per station
- b. Taxiways – minimum three (3) per station
- c. Holding apron areas – minimum three (3) per station
- d. Roadways – minimum three (3) per station

Base Course blue tops at 25-foot stations and 25-foot offset distance (maximum) for the following section locations:

- a. Runway – minimum five (5) per station
- b. Taxiways – minimum three (3) per station
- c. Holding apron areas – minimum three (3) per station

Pavement areas:

- a. Edge of Pavement hubs and tacks (for stringline by Contractor) at 100-foot stations.
- b. Between Lifts at 25-foot stations for the following section locations:
 - (1) Runways – each paving lane width

- (2) Taxiways – each paving lane width
- (3) Holding areas – each paving lane width
- c. After finish paving operations at 50-foot stations:
 - (1) All paved areas – Edge of each paving lane prior to next paving lot
- d. Shoulder and safety area blue tops at 50-foot stations and at all break points with maximum of 50-foot offsets.
- e. Fence lines at 100-foot stations minimum.
- f. Electrical and Communications System locations, lines and grades including but not limited to duct runs, connections, fixtures, signs, lights, Visual Approach Slope Indicators (VASIs), Precision Approach Path Indicators (PAPIs), Runway End Identifier Lighting (REIL), Wind Cones, Distance Markers (signs), pull boxes and manholes.
- g. Drain lines, cut stakes and alignment on 25-foot stations, inlet and manholes.
- h. Painting and Striping layout (pinned with 1.5 inch PK nails) marked for paint Contractor. (All nails shall be removed after painting).
- i. Laser, or other automatic control devices, shall be checked with temporary control point or grade hub at a minimum of once per 400 feet per pass (that is, paving lane).

The establishment of Survey Control and/or reestablishment of survey control shall be by a State Licensed Land Surveyor.

Controls and stakes disturbed or suspect of having been disturbed shall be checked and/or reset as directed by the Engineer without additional cost to the Owner.

50-07 AUTOMATICALLY CONTROLLED EQUIPMENT. Whenever batching or mixing plant equipment is required to be operated automatically under the contract and a breakdown or malfunction of the automatic controls occurs, the equipment may be operated manually or by other methods for a period 48 hours following the breakdown or malfunction, provided this method of operations will produce results which conform to all other requirements of the contract.

50-08 AUTHORITY AND DUTIES OF INSPECTORS. Inspectors shall be authorized to inspect all work done and all material furnished. Such inspection may extend to all or any part of the work and to the preparation, fabrication, or manufacture of the materials to be used. Inspectors are not authorized to revoke, alter, or waive any provision of the contract. Inspectors are not authorized to issue instructions contrary to the plans and specifications or to act as foreman for the Contractor.

Inspectors are authorized to notify the Contractor or his or her representatives of any failure of the work or materials to conform to the requirements of the contract, plans, or specifications and to reject such nonconforming materials in question until such issues can be referred to the Engineer for a decision.

50-09 INSPECTION OF THE WORK. All materials and each part or detail of the work shall be subject to inspection. The Engineer shall be allowed access to all parts of the work and shall be furnished with such information and assistance by the Contractor as is required to make a complete and detailed inspection.

If the Engineer requests it, the Contractor, at any time before acceptance of the work, shall remove or uncover such portions of the finished work as may be directed. After examination, the Contractor shall restore said portions of the work to the standard required by the specifications. Should the work thus exposed or examined prove acceptable, the uncovering, or removing, and the replacing of the covering or making good of the parts removed will be paid for as extra work; but should the work so exposed or examined prove unacceptable, the uncovering, or removing, and the replacing of the covering or making good of the parts removed will be at the Contractor's expense.

Any work done or materials used without supervision or inspection by an authorized representative of the Owner may be ordered removed and replaced at the Contractor's expense unless the Owner's representative failed to inspect after having been given reasonable notice in writing that the work was to be performed.

Should the contract work include relocation, adjustment, or any other modification to existing facilities, not the property of the (contract) Owner, authorized representatives of the Owners of such facilities shall have the right to inspect such work. Such inspection shall in no sense make any facility owner a party to the contract, and shall in no way interfere with the rights of the parties to this contract.

The Engineer and/or his authorized representative shall have full authority to inspect all materials on the project site, test all materials at as many locations and at any frequency he deems necessary to satisfy himself that the final in-place product meets the requirements of the plans and specifications.

50-10 REMOVAL OF UNACCEPTABLE AND UNAUTHORIZED WORK. All work that does not conform to the requirements of the contract, plans, and specifications will be considered unacceptable, unless otherwise determined acceptable by the Engineer as provided in the subsection 50-02 titled CONFORMITY WITH PLANS AND SPECIFICATIONS of this section.

Unacceptable work, whether the result of poor workmanship, use of defective materials, damage through carelessness, or any other cause found to exist prior to the final acceptance of the work, shall be removed immediately and replaced in an acceptable manner in accordance with the provisions of the subsection 70-14 titled CONTRACTOR'S RESPONSIBILITY FOR WORK of Section 70.

No removal work made under provision of this subsection shall be done without lines and grades having been established by the Engineer. Work done contrary to the instructions of the Engineer, work done beyond the lines shown on the plans or as established by the Engineer, except as herein specified, or any extra work done without authority, will be considered as unauthorized and will not be paid for under the provisions of the contract. Work so done may be ordered removed or replaced at the Contractor's expense.

Upon failure on the part of the Contractor to comply with any order of the Engineer made under the provisions of this subsection, the Engineer will have authority to cause unacceptable work to be remedied or removed and replaced and unauthorized work to be removed and to deduct the costs incurred by the Owner from any monies due or to become due the Contractor.

50-11 LOAD RESTRICTIONS. The Contractor shall comply with all legal load restrictions in the hauling of materials on public roads beyond the limits of the work. A special permit will not relieve the Contractor of liability for damage that may result from the moving of material or equipment.

The operation of equipment of such weight or so loaded as to cause damage to structures or to any other type of construction will not be permitted. Hauling of materials over the base course or surface course under construction shall be limited as directed. No loads will be permitted on a concrete pavement, base, or structure before the expiration of the curing period. The Contractor shall be responsible for all damage done by his or her hauling equipment and shall correct such damage at his or her own expense.

50-12 MAINTENANCE DURING CONSTRUCTION. The Contractor shall maintain the work during construction and until the work is accepted. Maintenance shall constitute continuous and effective work prosecuted day by day, with adequate equipment and forces so that the work is maintained in satisfactory condition at all times.

In the case of a contract for the placing of a course upon a course or subgrade previously constructed, the Contractor shall maintain the previous course or subgrade during all construction operations.

All costs of maintenance work during construction and before the project is accepted shall be included in the unit prices bid on the various contract items, and the Contractor will not be paid an additional amount for such work.

50-13 FAILURE TO MAINTAIN THE WORK. Should the Contractor at any time fail to maintain the work as provided in the subsection 50-12 titled MAINTENANCE DURING CONSTRUCTION of this section, the Engineer shall immediately notify the Contractor of such noncompliance. Such notification shall specify a reasonable time within which the Contractor shall be required to remedy such unsatisfactory maintenance condition. The time specified will give due consideration to the exigency that exists.

Should the Contractor fail to respond to the Engineer's notification, the Owner may suspend any work necessary for the Owner to correct such unsatisfactory maintenance condition, depending on the

exigency that exists. Any maintenance cost incurred by the Owner, shall be deducted from monies due or to become due the Contractor.

50-14 PARTIAL ACCEPTANCE. If at any time during the execution of the project the Contractor substantially completes a usable unit or portion of the work, the occupancy of which will benefit the Owner, the Contractor may request the Engineer to make final inspection of that unit. If the Engineer finds upon inspection that the unit has been satisfactorily completed in compliance with the contract, the Engineer may accept it as being complete, and the Contractor may be relieved of further responsibility for that unit. Such partial acceptance and beneficial occupancy by the Owner shall not void or alter any provision of the contract. Partial acceptance of any part of the work shall not constitute acceptance from a warranty standpoint. The warranty for any work completed and accepted shall not begin until the entire project is complete and accepted by the Owner.

50-15 FINAL ACCEPTANCE. Upon due notice from the Contractor of presumptive completion of the entire project, the Engineer, and Owner and representative of the Federal Aviation Administration will make an inspection. Final acceptance of the project shall not occur until the FAA representative(s) have made their inspection and the FAA has accepted the project. If all construction provided for and contemplated by the contract is found to be complete in accordance with the contract, plans, and specifications, such inspection shall constitute the final inspection. The Engineer shall notify the Contractor in writing of final acceptance as of the date of the final inspection.

If, however, the inspection discloses any work, in whole or in part, as being unsatisfactory, the Engineer will give the Contractor the necessary instructions for correction of same and the Contractor shall immediately comply with and execute such instructions. Upon correction of the work, another inspection will be made which shall constitute the final inspection, provided the work has been satisfactorily completed. In such event, the Engineer will make the recommendation for final acceptance and notify the Contractor in writing of the Owner's this acceptance as of the date of final inspection.

50-16 CLAIMS FOR ADJUSTMENT AND DISPUTES. If for any reason the Contractor deems that additional compensation is due for work or materials not clearly provided for in the contract, plans, or specifications or previously authorized as extra work, the Contractor shall notify the Engineer in writing of his or her intention to claim such additional compensation before the Contractor begins the work on which the Contractor bases the claim. If such notification is not given or the Engineer is not afforded proper opportunity by the Contractor for keeping strict account of actual cost as required, then the Contractor hereby agrees to waive any claim for such additional compensation. Such notice by the Contractor and the fact that the Engineer has kept account of the cost of the work shall not in any way be construed as proving or substantiating the validity of the claim. When the work on which the claim for additional compensation is based has been completed, the Contractor shall, within ten (10) calendar days, submit a written claim to the Engineer who will present it to the Owner for consideration in accordance with local laws or ordinances.

Nothing in this subsection shall be construed as a waiver of the Contractor's right to dispute final payment based on differences in measurements or computations.

END OF SECTION 50

SECTION 60

CONTROL OF MATERIALS

60-01 SOURCE OF SUPPLY AND QUALITY REQUIREMENTS. The materials used in the work shall conform to the requirements of the contract, plans, and specifications. Unless otherwise specified, such materials that are manufactured or processed shall be new (as compared to used or reprocessed).

In order to expedite the inspection and testing of materials, the Contractor shall furnish complete statements to the Engineer as to the origin, composition, and manufacture of all materials to be used in the work. Such statements shall be furnished promptly after execution of the contract but, in all cases, prior to delivery of such materials.

For projects funded under the Airport Improvement Program (AIP), Contractor shall supply steel and manufactured products that conform to the Buy American provisions established under 49 USC Section 50101 as follows: “Steel products must be 100% U.S. domestic product Manufactured Products. Preference shall be given to products that are 100% manufactured and assembled in the U.S. Manufactured products not meeting the 100% U.S. domestic preference may only be used on the project if the FAA has officially granted a permissible waiver to Buy American Preferences. Submittals for all manufactured products must include certification of compliance with Buy American requirements as established under 49 USC Section 50101. Submittal must include sufficient information to confirm compliance or submittal will be returned with no action.”

At the Engineer’s option, materials may be approved at the source of supply before delivery is stated. If it is found after trial that sources of supply for previously approved materials do not produce specified products, the Contractor shall furnish materials from other sources.

The Contractor shall furnish airport lighting equipment that conforms to the requirements of cited materials specifications. In addition, where an FAA specification for airport lighting equipment is cited in the plans or specifications, the Contractor shall furnish such equipment that is:

- a. Listed in advisory circular (AC) 150/5345-53, Airport Lighting Equipment Certification Program, and Addendum that is in effect on the date of advertisement; and,
- b. Produced by the manufacturer as listed in the Addendum cited above for the certified equipment part number.

60-02 SAMPLES, TESTS, AND CITED SPECIFICATIONS. Unless otherwise designated, all materials used in the work shall be inspected, tested, and approved by the Engineer before incorporation in the work. Any work in which untested materials are used without approval or written permission of the Engineer shall be performed at the Contractor’s risk. Materials found to be unacceptable and unauthorized will not be paid for and, if directed by the Engineer, shall be removed at the Contractor’s expense.

Unless otherwise designated, quality assurance tests in accordance with the cited standard methods of ASTM, American Association of State Highway and Transportation Officials (AASHTO), Federal Specifications, Commercial Item Descriptions, and all other cited methods, which are current on the date of advertisement for bids, will be made by and at the expense of the ~~Engineer~~ Owner.

The testing organizations performing on-site quality assurance field tests shall have copies of all referenced standards on the construction site for use by all technicians and other personnel, including the Contractor’s representative at his or her request. Unless otherwise designated, samples for quality assurance will be taken by a qualified representative of the ~~Engineer~~ Owner. All materials being used are subject to inspection, test, or rejection at any time prior to, ~~or during~~ or after incorporation into the work.

Copies of all tests will be furnished to the Contractor's representative at their request after review and approval of the Engineer.

The Contractor shall employ a testing organization to perform all Contractor required Quality Control tests. The Contractor shall submit to the Engineer resumes on all testing organizations and individual persons who will be performing the tests. The Engineer will determine if such persons are qualified. All the test data shall be reported to the Engineer after the results are known. A legible, handwritten copy of all test data shall be given to the Engineer daily, along with printed reports, in an approved format, on a weekly basis. After completion of the project, and prior to final payment, the Contractor shall submit a final report to the Engineer showing all test data reports, plus an analysis of all results showing ranges, averages, and corrective action taken on all failing tests.

60-03 CERTIFICATION OF COMPLIANCE. The Engineer may permit the use, prior to sampling and testing, of certain materials or assemblies when accompanied by manufacturer's certificates of compliance stating that such materials or assemblies fully comply with the requirements of the contract. The certificate shall be signed by the manufacturer. Each lot of such materials or assemblies delivered to the work must be accompanied by a certificate of compliance in which the lot is clearly identified.

Materials or assemblies used on the basis of certificates of compliance may be sampled and tested at any time and if found not to be in conformity with contract requirements will be subject to rejection whether in place or not.

The form and distribution of certificates of compliance shall be as approved by the Engineer.

When a material or assembly is specified by "brand name or equal" and the Contractor elects to furnish the specified "brand name," the Contractor shall be required to furnish the manufacturer's certificate of compliance for each lot of such material or assembly delivered to the work. Such certificate of compliance shall clearly identify each lot delivered and shall certify as to:

- a. Conformance to the specified performance, testing, quality or dimensional requirements; and,
- b. Suitability of the material or assembly for the use intended in the contract work.

Should the Contractor propose to furnish an "or equal" material or assembly, the Contractor shall furnish the manufacturer's certificates of compliance as hereinbefore described for the specified brand name material or assembly. However, the Engineer shall be the sole judge as to whether the proposed "or equal" is suitable for use in the work.

The Engineer reserves the right to refuse permission for use of materials or assemblies on the basis of certificates of compliance.

60-04 PLANT INSPECTION. The Engineer or his or her authorized representative may inspect, at its source, any specified material or assembly to be used in the work. Manufacturing plants may be inspected from time to time for the purpose of determining compliance with specified manufacturing methods or materials to be used in the work and to obtain samples required for acceptance of the material or assembly.

Should the Engineer conduct plant inspections, the following conditions shall exist:

- a. The Engineer shall have the cooperation and assistance of the Contractor and the producer with whom the Engineer has contracted for materials.
- b. The Engineer shall have full entry at all reasonable times to such parts of the plant that concern the manufacture or production of the materials being furnished.
- c. If required by the Engineer, the Contractor shall arrange for adequate office or working space that may be reasonably needed for conducting plant inspections. Office or working space should be conveniently located with respect to the plant.

It is understood and agreed that the Owner shall have the right to retest any material that has been tested and approved at the source of supply after it has been delivered to the site. The Engineer shall have the right to reject only material which, when retested, does not meet the requirements of the contract, plans, or specifications.

60-05 ENGINEER'S FIELD OFFICE. See Technical Specification P-103 for requirements of an Engineer's field office.

60-06 STORAGE OF MATERIALS. Materials shall be so stored as to assure the preservation of their quality and fitness for the work. Stored materials, even though approved before storage, may again be inspected prior to their use in the work. Stored materials shall be located to facilitate their prompt inspection. The Contractor shall coordinate the storage of all materials with the Engineer. Materials to be stored on airport property shall not create an obstruction to air navigation nor shall they interfere with the free and unobstructed movement of aircraft. Unless otherwise shown on the plans, the storage of materials and the location of the Contractor's plant and parked equipment or vehicles shall be as directed by the Engineer. Private property shall not be used for storage purposes without written permission of the Owner or lessee of such property. The Contractor shall make all arrangements and bear all expenses for the storage of materials on private property. Upon request, the Contractor shall furnish the Engineer a copy of the property Owner's permission.

All storage sites on private or airport property shall be restored to their original condition by the Contractor at his or her entire expense, except as otherwise agreed to (in writing) by the Owner or lessee of the property.

60-07 UNACCEPTABLE MATERIALS. Any material or assembly that does not conform to the requirements of the contract, plans, or specifications shall be considered unacceptable and shall be rejected. The Contractor shall remove any rejected material or assembly from the site of the work, unless otherwise instructed by the Engineer.

Rejected material or assembly, the defects of which have been corrected by the Contractor, shall not be returned to the site of the work until such time as the Engineer has approved its use in the work.

60-08 OWNER FURNISHED MATERIALS. The Contractor shall furnish all materials required to complete the work, except those specified, if any, to be furnished by the Owner. Owner-furnished materials shall be made available to the Contractor at the location specified.

All costs of handling, transportation from the specified location to the site of work, storage, and installing Owner-furnished materials shall be included in the unit price bid for the contract item in which such Owner-furnished material is used.

After any Owner-furnished material has been delivered to the location specified, the Contractor shall be responsible for any demurrage, damage, loss, or other deficiencies that may occur during the Contractor's handling, storage, or use of such Owner-furnished material. The Owner will deduct from any monies due or to become due the Contractor any cost incurred by the Owner in making good such loss due to the Contractor's handling, storage, or use of Owner-furnished materials.

END OF SECTION 60

SECTION 70

LEGAL REGULATIONS AND RESPONSIBILITY TO PUBLIC

70-01 LAWS TO BE OBSERVED. The Contractor shall keep fully informed of all Federal and state laws, all local laws, ordinances, and regulations and all orders and decrees of bodies or tribunals having any jurisdiction or authority, which in any manner affect those engaged or employed on the work, or which in any way affect the conduct of the work. The Contractor shall at all times observe and comply with all such laws, ordinances, regulations, orders, and decrees; and shall protect and indemnify the Owner and all his or her officers, agents, or servants against any claim or liability arising from or based on the violation of any such law, ordinance, regulation, order, or decree, whether by the Contractor or the Contractor's employees.

70-02 PERMITS, LICENSES, AND TAXES. The Contractor shall procure all permits and licenses, pay all charges, fees, and taxes, and give all notices necessary and incidental to the due and lawful execution of the work.

70-03 PATENTED DEVICES, MATERIALS, AND PROCESSES. If the Contractor is required or desires to use any design, device, material, or process covered by letters of patent or copyright, the Contractor shall provide for such use by suitable legal agreement with the Patentee or Owner. The Contractor and the surety shall indemnify and hold harmless the Owner, any third party, or political subdivision from any and all claims for infringement by reason of the use of any such patented design, device, material or process, or any trademark or copyright, and shall indemnify the Owner for any costs, expenses, and damages which it may be obliged to pay by reason of an infringement, at any time during the execution or after the completion of the work.

70-04 RESTORATION OF SURFACES DISTURBED BY OTHERS. The Owner reserves the right to authorize the construction, reconstruction, or maintenance of any public or private utility service, FAA or National Oceanic and Atmospheric Administration (NOAA) facility, or a utility service of another government agency at any time during the progress of the work. ~~To the extent that such construction, reconstruction, or maintenance has been coordinated with the Owner, such authorized work (by others) is indicated as follows:~~

Except as listed above, the Contractor shall not permit any individual, firm, or corporation to excavate or otherwise disturb such utility services or facilities located within the limits of the work without the written permission of the Engineer.

Should the Owner of public or private utility service, FAA, or NOAA facility, or a utility service of another government agency be authorized to construct, reconstruct, or maintain such utility service or facility during the progress of the work, the Contractor shall cooperate with such Owners by arranging and performing the work in this contract to facilitate such construction, reconstruction or maintenance by others whether or not such work by others is listed above. When ordered as extra work by the Engineer, the Contractor shall make all necessary repairs to the work which are due to such authorized work by others, unless otherwise provided for in the contract, plans, or specifications. It is understood and agreed that the Contractor shall not be entitled to make any claim for damages due to such authorized work by others or for any delay to the work resulting from such authorized work.

70-05 FEDERAL AID PARTICIPATION. For Airport Improvement Program (AIP) contracts, the United States Government has agreed to reimburse the Owner for some portion of the contract costs. Such reimbursement is made from time to time upon the Owner's request to the FAA. In consideration of the United States Government's (FAA's) agreement with the Owner, the Owner has included provisions in this contract pursuant to the requirements of Title 49 of the USC and the Rules and Regulations of the FAA that pertain to the work.

As required by the USC, the contract work is subject to the inspection and approval of duly authorized representatives of the FAA Administrator, and is further subject to those provisions of the rules and regulations that are cited in the contract, plans, or specifications.

No requirement of the USC, the rules and regulations implementing the USC, or this contract shall be construed as making the Federal Government a party to the contract nor will any such requirement interfere, in any way, with the rights of either party to the contract.

70-06 SANITARY, HEALTH, AND SAFETY PROVISIONS. The Contractor shall provide and maintain in a neat, sanitary condition such accommodations for the use of his or her employees as may be necessary to comply with the requirements of the state and local Board of Health, or of other bodies or tribunals having jurisdiction.

Attention is directed to Federal, state, and local laws, rules and regulations concerning construction safety and health standards. The Contractor shall not require any worker to work in surroundings or under conditions that are unsanitary, hazardous, or dangerous to his or her health or safety.

70-07 PUBLIC CONVENIENCE AND SAFETY. The Contractor shall control his or her operations and those of his or her subcontractors and all suppliers, to assure the least inconvenience to the traveling public. Under all circumstances, safety shall be the most important consideration.

The Contractor shall maintain the free and unobstructed movement of aircraft and vehicular traffic with respect to his or her own operations and those of his or her subcontractors and all suppliers in accordance with the subsection 40-05 titled MAINTENANCE OF TRAFFIC of Section 40 hereinbefore specified and shall limit such operations for the convenience and safety of the traveling public as specified in the subsection 80-04 titled LIMITATION OF OPERATIONS of Section 80 hereinafter.

70-08 BARRICADES, WARNING SIGNS, AND HAZARD MARKINGS. The Contractor shall furnish, erect, and maintain all barricades, warning signs, and markings for hazards necessary to protect the public and the work. When used during periods of darkness, such barricades, warning signs, and hazard markings shall be suitably illuminated. Unless otherwise specified, barricades, warning signs, and markings for hazards that are in the air operations area (AOAs) shall be a maximum of 18 inches high. Unless otherwise specified, barricades shall be spaced not more than 4 feet apart. Barricades, warning signs, and markings shall be paid for under subsection 40-05. This shall include any specialty barricades, warning signs, markings, lighted runway closure markers, etc.

For vehicular and pedestrian traffic, the Contractor shall furnish, erect, and maintain barricades, warning signs, lights and other traffic control devices in reasonable conformity with the Manual on Uniform Traffic Control Devices.

When the work requires closing an air operations area of the airport or portion of such area, the Contractor shall furnish, erect, and maintain temporary markings and associated lighting conforming to the requirements of advisory circular (AC) 150/5340-1, Standards for Airport Markings, latest change.

The Contractor shall furnish, erect, and maintain markings and associated lighting of open trenches, excavations, temporary stock piles, and the Contractor's parked construction equipment that may be hazardous to the operation of emergency fire-rescue or maintenance vehicles on the airport in reasonable conformance to AC 150/5370-2, Operational Safety on Airports During Construction, latest change.

The Contractor shall identify each motorized vehicle or piece of construction equipment in reasonable conformance to AC 150/5370-2, latest change.

The Contractor shall furnish and erect all barricades, warning signs, and markings for hazards prior to commencing work that requires such erection and shall maintain the barricades, warning signs, and markings for hazards until their removal is directed by the Engineer.

Open-flame type lights shall not be permitted.

70-09 USE OF EXPLOSIVES. Explosives are prohibited on the Airport and will not be used for this project. ~~When the use of explosives is necessary for the execution of the work, the Contractor shall exercise the utmost care not to endanger life or property, including new work. The Contractor shall be responsible for all damage resulting from the use of explosives.~~

~~All explosives shall be stored in a secure manner in compliance with all laws and ordinances, and all such storage places shall be clearly marked. Where no local laws or ordinances apply, storage shall be~~

~~provided satisfactory to the Engineer and, in general, not closer than 1,000 feet (300 m) from the work or from any building, road, or other place of human occupancy.~~

~~The Contractor shall notify each property Owner and public utility company having structures or facilities in proximity to the site of the work of his or her intention to use explosives. Such notice shall be given sufficiently in advance to enable them to take such steps as they may deem necessary to protect their property from injury.~~

~~The use of electrical blasting caps shall not be permitted on or within 1,000 feet (300 m) of the airport property.~~

70-10 PROTECTION AND RESTORATION OF PROPERTY AND LANDSCAPE. The Contractor shall be responsible for the preservation of all public and private property, and shall protect carefully from disturbance or damage all land monuments and property markers until the Engineer has witnessed or otherwise referenced their location and shall not move them until directed.

The Contractor shall be responsible for all damage or injury to property of any character, during the execution of the work, resulting from any act, omission, neglect, or misconduct in manner or method of executing the work, or at any time due to defective work or materials, and said responsibility shall not be released until the project has been completed and accepted.

When or where any direct or indirect damage or injury is done to public or private property by or on account of any act, omission, neglect, or misconduct in the execution of the work, or in consequence of the non-execution thereof by the Contractor, the Contractor shall restore, at his or her own expense, such property to a condition similar or equal to that existing before such damage or injury was done, by repairing, or otherwise restoring as may be directed, or the Contractor shall make good such damage or injury in an acceptable manner.

70-11 RESPONSIBILITY FOR DAMAGE CLAIMS. The Contractor shall indemnify and save harmless the Engineer and the Owner and their officers, and employees from all suits, actions, or claims, of any character, brought because of any injuries or damage received or sustained by any person, persons, or property on account of the operations of the Contractor; or on account of or in consequence of any neglect in safeguarding the work; or through use of unacceptable materials in constructing the work; or because of any act or omission, neglect, or misconduct of said Contractor; or because of any claims or amounts recovered from any infringements of patent, trademark, or copyright; or from any claims or amounts arising or recovered under the "Workmen's Compensation Act," or any other law, ordinance, order, or decree. Money due the Contractor under and by virtue of his or her contract considered necessary by the Owner for such purpose may be retained for the use of the Owner or, in case no money is due, his or her surety may be held until such suits, actions, or claims for injuries or damages shall have been settled and suitable evidence to that effect furnished to the Owner, except that money due the Contractor will not be withheld when the Contractor produces satisfactory evidence that he or she is adequately protected by public liability and property damage insurance.

70-12 THIRD PARTY BENEFICIARY CLAUSE. It is specifically agreed between the parties executing the contract that it is not intended by any of the provisions of any part of the contract to create for the public or any member thereof, a third party beneficiary or to authorize anyone not a party to the contract to maintain a suit for personal injuries or property damage pursuant to the terms or provisions of the contract.

70-13 OPENING SECTIONS OF THE WORK TO TRAFFIC. Should it be necessary for the Contractor to complete portions of the contract work for the beneficial occupancy of the Owner prior to completion of the entire contract, such "phasing" of the work shall be specified herein and indicated on the plans. When so specified, the Contractor shall complete such portions of the work on or before the date specified or as otherwise specified. The Contractor shall make his or her own estimate of the difficulties involved in arranging the work to permit such beneficial occupancy by the Owner as described below:

Phase or Description	Required Date or Sequence of	Work Shown on Plan Sheet
DULUTH INTERNATIONAL AIRPORT SKY HARBOR AIRPORT VERTICAL PIVOT GATE AND FENCE REPLACEMENT	GP-25	GENERAL PROVISIONS JUNE 1, 2015 REVISION 0

	Owner's Beneficial Occupancy	
30 Calendar Days		Drawing C-004

Upon completion of any portion of the work listed above, such portion shall be accepted by the Owner in accordance with the subsection 50-14 titled PARTIAL ACCEPTANCE of Section 50.

No portion of the work may be opened by the Contractor for public use until ordered by the Engineer in writing. Should it become necessary to open a portion of the work to public traffic on a temporary or intermittent basis, such openings shall be made when, in the opinion of the Engineer, such portion of the work is in an acceptable condition to support the intended traffic. Temporary or intermittent openings are considered to be inherent in the work and shall not constitute either acceptance of the portion of the work so opened or a waiver of any provision of the contract. Any damage to the portion of the work so opened that is not attributable to traffic which is permitted by the Owner shall be repaired by the Contractor at his or her expense.

The Contractor shall make his or her own estimate of the inherent difficulties involved in completing the work under the conditions herein described and shall not claim any added compensation by reason of delay or increased cost due to opening a portion of the contract work.

Contractor shall be required to conform to safety standards contained AC 150/5370-2, latest change. ~~(see Special Provisions).~~

Contractor shall refer to the approved Construction Safety Phasing Plan (CSPP) and associated phasing plans to identify barricade requirements and other safety requirements prior to opening up sections of work to traffic.

70-14 CONTRACTOR'S RESPONSIBILITY FOR WORK. Until the Engineer's final written acceptance of the entire completed work, excepting only those portions of the work accepted in accordance with the subsection 50-14 titled PARTIAL ACCEPTANCE of Section 50, the Contractor shall have the charge and care thereof and shall take every precaution against injury or damage to any part due to the action of the elements or from any other cause, whether arising from the execution or from the non-execution of the work. The Contractor shall rebuild, repair, restore, and make good all injuries or damages to any portion of the work occasioned by any of the above causes before final acceptance and shall bear the expense thereof except damage to the work due to unforeseeable causes beyond the control of and without the fault or negligence of the Contractor, including but not restricted to acts of God such as earthquake, tidal wave, tornado, hurricane or other cataclysmic phenomenon of nature, or acts of the public enemy or of government authorities.

If the work is suspended for any cause whatever, the Contractor shall be responsible for the work and shall take such precautions necessary to prevent damage to the work. The Contractor shall provide for normal drainage and shall erect necessary temporary structures, signs, or other facilities at his or her expense. During such period of suspension of work, the Contractor shall properly and continuously maintain in an acceptable growing condition all living material in newly established planting, seeding, and sodding furnished under the contract, and shall take adequate precautions to protect new tree growth and other important vegetative growth against injury.

70-15 CONTRACTOR'S RESPONSIBILITY FOR UTILITY SERVICE AND FACILITIES OF OTHERS. As provided in the subsection 70-04 titled RESTORATION OF SURFACES DISTURBED BY OTHERS of this section, the Contractor shall cooperate with the Owner of any public or private utility service, FAA or NOAA, or a utility service of another government agency that may be authorized by the Owner to construct, reconstruct or maintain such utility services or facilities during the progress of the work. In addition, the Contractor shall control their operations to prevent the unscheduled interruption of such utility services and facilities.

To the extent that such public or private utility services, FAA, or NOAA facilities, or utility services of another governmental agency are known to exist within the limits of the contract work, the approximate locations have been indicated on the plans and the Owners are indicated as follows:

It is understood and agreed that the Owner does not guarantee the accuracy or the completeness of the location information relating to existing utility services, facilities, or structures that may be shown on the plans or encountered in the work. Any inaccuracy or omission in such information shall not relieve the Contractor of the responsibility to protect such existing features from damage or unscheduled interruption of service.

It is further understood and agreed that the Contractor shall, upon execution of the contract, notify the Owners of all utility services or other facilities of his or her plan of operations. Such notification shall be in writing addressed to THE PERSON TO CONTACT as provided in this subsection and subsection 70-04 titled RESTORATION OF SURFACES DISTURBED BY OTHERS of this section. A copy of each notification shall be given to the Engineer.

In addition to the general written notification provided, it shall be the responsibility of the Contractor to keep such individual Owners advised of changes in their plan of operations that would affect such Owners.

Prior to beginning the work in the general vicinity of an existing utility service or facility, the Contractor shall again notify each such Owner of their plan of operation. If, in the Contractor's opinion, the Owner's assistance is needed to locate the utility service or facility or the presence of a representative of the Owner is desirable to observe the work, such advice should be included in the notification. Such notification shall be given by the most expeditious means to reach the utility owner's PERSON TO CONTACT no later than two normal business days prior to the Contractor's commencement of operations in such general vicinity. The Contractor shall furnish a written summary of the notification to the Engineer.

The Contractor's failure to give the two days' notice shall be cause for the Owner to suspend the Contractor's operations in the general vicinity of a utility service or facility.

Where the outside limits of an underground utility service have been located and staked on the ground, the Contractor shall be required to use hand excavation methods within 3 feet (1 m) of such outside limits at such points as may be required to ensure protection from damage due to the Contractor's operations.

Should the Contractor damage or interrupt the operation of a utility service or facility by accident or otherwise, the Contractor shall immediately notify the proper authority and the Engineer and shall take all reasonable measures to prevent further damage or interruption of service. The Contractor, in such events, shall cooperate with the utility service or facility owner and the Engineer continuously until such damage has been repaired and service restored to the satisfaction of the utility or facility owner.

The Contractor shall bear all costs of damage and restoration of service to any utility service or facility due to their operations whether due to negligence or accident. The Owner reserves the right to deduct such costs from any monies due or which may become due the Contractor, or his or her surety.

70-15.1 FAA FACILITIES AND CABLE RUNS. The Contractor is hereby advised that the construction limits of the project include existing facilities and buried cable runs that are owned, operated and maintained by the FAA. The Contractor, during the execution of the project work, shall comply with the following:

a. The Contractor shall permit FAA maintenance personnel the right of access to the project work site for purposes of inspecting and maintaining all existing FAA owned facilities.

b. The Contractor shall provide notice to the FAA Air Traffic Organization (ATO)/Technical Operations/System Support Center (SSC) Point-of-Contact through the airport Owner a minimum of seven (7) calendar days prior to commencement of construction activities in order to permit sufficient time to locate and mark existing buried cables and to schedule any required facility outages.

c. If execution of the project work requires a facility outage, the Contractor shall contact the FAA Point-of-Contact a minimum of 72 hours prior to the time of the required outage.

d. Any damage to FAA cables, access roads, or FAA facilities during construction caused by the Contractor's equipment or personnel whether by negligence or accident will require the Contractor to repair or replace the damaged cables, access road, or FAA facilities to FAA requirements. The

Contractor shall not bear the cost to repair damage to underground facilities or utilities improperly located by the FAA.

e. If the project work requires the cutting or splicing of FAA owned cables, the FAA Point-of-Contact shall be contacted a minimum of 72 hours prior to the time the cable work commences. The FAA reserves the right to have a FAA representative on site to observe the splicing of the cables as a condition of acceptance. All cable splices are to be accomplished in accordance with FAA specifications and require approval by the FAA Point-of-Contact as a condition of acceptance by the Owner. The Contractor is hereby advised that FAA restricts the location of where splices may be installed. If a cable splice is required in a location that is not permitted by FAA, the Contractor shall furnish and install a sufficient length of new cable that eliminates the need for any splice.

70-16 FURNISHING RIGHTS-OF-WAY. The Owner will be responsible for furnishing all rights-of-way upon which the work is to be constructed in advance of the Contractor's operations.

70-17 PERSONAL LIABILITY OF PUBLIC OFFICIALS. In carrying out any of the contract provisions or in exercising any power or authority granted by this contract, there shall be no liability upon the Engineer, his or her authorized representatives, or any officials of the Owner either personally or as an official of the Owner. It is understood that in such matters they act solely as agents and representatives of the Owner.

70-18 NO WAIVER OF LEGAL RIGHTS. Upon completion of the work, the Owner will expeditiously make final inspection and notify the Contractor of final acceptance. Such final acceptance, however, shall not preclude or stop the Owner from correcting any measurement, estimate, or certificate made before or after completion of the work, nor shall the Owner be precluded or stopped from recovering from the Contractor or his or her surety, or both, such overpayment as may be sustained, or by failure on the part of the Contractor to fulfill his or her obligations under the contract. A waiver on the part of the Owner of any breach of any part of the contract shall not be held to be a waiver of any other or subsequent breach.

The Contractor, without prejudice to the terms of the contract, shall be liable to the Owner for latent defects, fraud, or such gross mistakes as may amount to fraud, or as regards the Owner's rights under any warranty or guaranty.

70-19 ENVIRONMENTAL PROTECTION. The Contractor shall comply with all Federal, state, and local laws and regulations controlling pollution of the environment. The Contractor shall take necessary precautions to prevent pollution of streams, lakes, ponds, and reservoirs with fuels, oils, bitumens, chemicals, or other harmful materials and to prevent pollution of the atmosphere from particulate and gaseous matter.

70-20 ARCHAEOLOGICAL AND HISTORICAL FINDINGS. Unless otherwise specified in this subsection, the Contractor is advised that the site of the work is not within any property, district, or site, and does not contain any building, structure, or object listed in the current National Register of Historic Places published by the United States Department of Interior.

Should the Contractor encounter, during his or her operations, any building, part of a building, structure, or object that is incongruous with its surroundings, the Contractor shall immediately cease operations in that location and notify the Engineer. The Engineer will immediately investigate the Contractor's finding and the Owner will direct the Contractor to either resume operations or to suspend operations as directed.

Should the Owner order suspension of the Contractor's operations in order to protect an archaeological or historical finding, or order the Contractor to perform extra work, such shall be covered by an appropriate contract change order or supplemental agreement as provided in the subsection 40-04 titled EXTRA WORK of Section 40 and the subsection 90-05 titled PAYMENT FOR EXTRA WORK of Section 90. If appropriate, the contract change order or supplemental agreement shall include an extension of contract time in accordance with the subsection 80-07 titled DETERMINATION AND EXTENSION OF CONTRACT TIME of Section 80.

END OF SECTION 70

SECTION 80

EXECUTION AND PROGRESS

80-01 SUBLETTING OF CONTRACT. The Owner and Engineer will not recognize any subcontractor on the work. The Contractor shall at all times when work is in progress be represented either in person, by a qualified superintendent, or by other designated, qualified representative(s) who is duly authorized to receive and execute orders of the Engineer.

The Contractor shall provide copies of all subcontracts to the Engineer. The Contractor shall perform, with his organization, an amount of work equal to at least 65 percent of the total contract cost.

Should the Contractor elect to assign his or her contract, said assignment shall be concurred in by the surety, shall be presented for the consideration and approval of the Owner, and shall be consummated only on the written approval of the Owner.

80-02 NOTICE TO PROCEED. ~~The Notice to Proceed shall be issued by the Owner. The notice to proceed shall state the date on which it is expected the Contractor will begin the construction and from which date contract time will be charged. The Contractor shall begin the work to be performed under the contract within 10 days of the date set by the Engineer in the written notice to proceed, but in any event, the Contractor shall notify the Engineer at least 24 hours in advance of the time actual construction operations will begin. The Contractor shall not commence any actual construction prior to the date on which the notice to proceed is issued by the Owner.~~

The Contractor shall begin the work to be performed under the contract on the date set by the Owner in the written notice to proceed.

80-03 EXECUTION AND PROGRESS. Unless otherwise specified, the Contractor shall submit their progress schedule for the Engineer's approval within 10 calendar days after the effective date of the notice to proceed. The Contractor's progress schedule, when approved by the Engineer, may be used to establish major construction operations and to check on the progress of the work. The Contractor shall provide sufficient materials, equipment, and labor to guarantee the completion of the project in accordance with the plans and specifications within the time set forth in the proposal.

If the Contractor falls significantly behind the submitted schedule, the Contractor shall, upon the Engineer's request, submit a revised schedule for completion of the work within the contract time and modify their operations to provide such additional materials, equipment, and labor necessary to meet the revised schedule. Should the execution of the work be discontinued for any reason, the Contractor shall notify the Engineer at least 2448 hours in advance of resuming operations

The Contractor shall not commence any actual construction prior to the date on which the notice to proceed is issued by the Owner.

80-04 LIMITATION OF OPERATIONS. The Contractor shall control his or her operations and the operations of his or her subcontractors and all suppliers to provide for the free and unobstructed movement of aircraft in the air operations areas (AOA) of the airport.

When the work requires the Contractor to conduct his or her operations within an AOA of the airport, the work shall be coordinated with airport operations (through the Engineer) at least 48 hours prior to commencement of such work. The Contractor shall not close an AOA until so authorized by the Engineer and until the necessary temporary marking and associated lighting is in place as provided in the subsection 70-08 titled BARRICADES, WARNING SIGNS, AND HAZARD MARKINGS of Section 70.

When the contract work requires the Contractor to work within an AOA of the airport on an intermittent basis (intermittent opening and closing of the AOA), the Contractor shall maintain constant communications as specified; immediately obey all instructions to vacate the AOA; immediately obey all instructions to resume work in such AOA. Failure to maintain the specified communications or to obey instructions shall be cause for suspension of the Contractor's operations in the AOA until the satisfactory conditions are provided. The following AOA cannot be closed to operating aircraft to permit the Contractor's operations on a continuous basis and will therefore be closed to aircraft operations intermittently as follows:

Contractor shall be required to conform to safety standards contained in AC 150/5370-2, Operational Safety on Airports During Construction, latest change. ~~(See Special Provisions.)~~

80-04.1 OPERATIONAL SAFETY ON AIRPORT DURING CONSTRUCTION. All Contractors' operations shall be conducted in accordance with the project Construction Safety and Phasing Plan (CSPP) and the provisions set forth within the current version of AC 150/5370-2. The CSPP included within the contract documents conveys minimum requirements for operational safety on the airport during construction activities. The Contractor shall prepare and submit a Safety Plan Compliance Document that details how it proposes to comply with the requirements presented within the CSPP.

The Contractor shall implement all necessary safety plan measures prior to commencement of any work activity. The Contractor shall conduct routine checks to assure compliance with the safety plan measures.

The Contractor is responsible to the Owner for the conduct of all subcontractors it employs on the project. The Contractor shall assure that all subcontractors are made aware of the requirements of the CSPP and that they implement and maintain all necessary measures.

No deviation or modifications may be made to the approved CSPP unless approved in writing by the Owner or Engineer.

80-05 CHARACTER OF WORKERS, METHODS, AND EQUIPMENT. The Contractor shall, at all times, employ sufficient labor and equipment for prosecuting the work to full completion in the manner and time required by the contract, plans, and specifications.

All workers shall have sufficient skill and experience to perform properly the work assigned to them. Workers engaged in special work or skilled work shall have sufficient experience in such work and in the operation of the equipment required to perform the work satisfactorily.

Any person employed by the Contractor or by any subcontractor who violates any operational regulations or operational safety requirements and, in the opinion of the Engineer, does not perform his work in a proper and skillful manner or is intemperate or disorderly shall, at the written request of the Engineer, be removed forthwith by the Contractor or subcontractor employing such person, and shall not be employed again in any portion of the work without approval of the Engineer.

Should the Contractor fail to remove such persons or person, or fail to furnish suitable and sufficient personnel for the proper execution of the work, the Engineer may suspend the work by written notice until compliance with such orders.

In addition, the following requirements shall apply concerning all workers utilized on the project:

a. The Contractor shall provide and maintain, continually on the project site of the work during its progress, adequate and competent superintendence of all operations for and in connection with the work. The Contractor shall provide a capable superintendent acceptable to the Owner. Such representative shall be able to read, write and speak English fluently and shall be authorized to receive instructions from the Engineer or his authorized representative. Said superintendent shall have authority to see that the work is carried out in accordance with the Contract Documents and in a first class, thorough and workmanlike manner in every respect.

b. Incompetent, disorderly, intemperate or incorrigible employees of any authority level shall be dismissed from the project by the Contractor or his representative when requested by the Engineer or the Owner, and such persons shall not again be permitted to return to the work without the written consent of the Owner.

c. The Contractor agrees to indemnify and hold the Owner and Engineer harmless from any and all loss or damages arising out of jurisdictional labor disputes or other labor troubles of any kind that may occur during the construction and performance of the Contract.

d. The Contractor shall provide at the request of the Owner such reasonable information about his employees as may be necessary, including in part, name, address and social security number.

e. Any employee of the Contractor or any subcontractors who violate the badging requirements or leaves unbadged individuals in the Airport Operations Area (AOA) or the Secured Identification Display

Area (SIDA) without properly badged individuals will be removed from the Airport and not be allowed back onto the Airport without prior approval by the Owner and/or TSA.

All equipment that is proposed to be used on the work shall be of sufficient size and in such mechanical condition as to meet requirements of the work and to produce a satisfactory quality of work. Equipment used on any portion of the work shall be such that no injury to previously completed work, adjacent property, or existing airport facilities will result from its use.

When the methods and equipment to be used by the Contractor in accomplishing the work are not prescribed in the contract, the Contractor is free to use any methods or equipment that will accomplish the work in conformity with the requirements of the contract, plans, and specifications.

When the contract specifies the use of certain methods and equipment, such methods and equipment shall be used unless others are authorized by the Engineer. If the Contractor desires to use a method or type of equipment other than specified in the contract, the Contractor may request authority from the Engineer to do so. The request shall be in writing and shall include a full description of the methods and equipment proposed and of the reasons for desiring to make the change. If approval is given, it will be on the condition that the Contractor will be fully responsible for producing work in conformity with contract requirements. If, after trial use of the substituted methods or equipment, the Engineer determines that the work produced does not meet contract requirements, the Contractor shall discontinue the use of the substitute method or equipment and shall complete the remaining work with the specified methods and equipment. The Contractor shall remove any deficient work and replace it with work of specified quality, or take such other corrective action as the Engineer may direct. No change will be made in basis of payment for the contract items involved nor in contract time as a result of authorizing a change in methods or equipment under this subsection.

80-06 TEMPORARY SUSPENSION OF THE WORK. The Owner shall have the authority to suspend the work wholly, or in part, for such period or periods as the Owner may deem necessary, due to unsuitable weather, or such other conditions as are considered unfavorable for the execution of the work, or for such time as is necessary due to the failure on the part of the Contractor to carry out orders given or perform any or all provisions of the contract.

In the event that the Contractor is ordered by the Owner, in writing, to suspend work for some unforeseen cause not otherwise provided for in the contract and over which the Contractor has no control, the Contractor may be reimbursed for actual money expended on the work during the period of shutdown. No allowance will be made for anticipated profits. The period of shutdown shall be computed from the effective date of the Engineer's order to suspend work to the effective date of the Engineer's order to resume the work. Claims for such compensation shall be filed with the Engineer within the time period stated in the Engineer's order to resume work. The Contractor shall submit with his or her claim information substantiating the amount shown on the claim. The Engineer will forward the Contractor's claim to the Owner for consideration in accordance with local laws or ordinances. No provision of this article shall be construed as entitling the Contractor to compensation for delays due to inclement weather, for suspensions made at the request of the Owner, or for any other delay provided for in the contract, plans, or specifications.

If it should become necessary to suspend work for an indefinite period, the Contractor shall store all materials in such manner that they will not become an obstruction nor become damaged in any way. The Contractor shall take every precaution to prevent damage or deterioration of the work performed and provide for normal drainage of the work. The Contractor shall erect temporary structures where necessary to provide for traffic on, to, or from the airport.

80-07 DETERMINATION AND EXTENSION OF CONTRACT TIME. The number of calendar ~~or working~~ days allowed for completion of the work shall be stated in the proposal and contract and shall be known as the CONTRACT TIME.

Should the contract time require extension for reasons beyond the Contractor's control, it shall be adjusted as follows:

~~a. CONTRACT TIME based on WORKING DAYS shall be calculated weekly by the Engineer. The Engineer will furnish the Contractor a copy of his or her weekly statement of the number of working days~~

~~charged against the contract time during the week and the number of working days currently specified for completion of the contract (the original contract time plus the number of working days, if any, that have been included in approved CHANGE ORDERS or SUPPLEMENTAL AGREEMENTS covering EXTRA WORK).~~

~~The Engineer shall base his or her weekly statement of contract time charged on the following considerations:~~

~~(1) No time shall be charged for days on which the Contractor is unable to proceed with the principal item of work under construction at the time for at least six (6) hours 50% of the normal work day with the normal work force employed on such principal item except where specific defined project elements, phases, etc. establishes a shorter time frame due to operational constraints of the airport. Should the normal work force be on a double-shift, 12 hours shall be used. Should the normal work force be on a triple shift, 18 hours shall apply. Conditions beyond the Contractor's control such as strikes, lockouts, unusual delays in transportation, temporary suspension of the principal item of work under construction or temporary suspension of the entire work which have been ordered by the Owner for reasons not the fault of the Contractor, shall not be charged against the contract time.~~

~~(2) The Engineer will not make charges against the contract time prior to the effective date of the notice to proceed.~~

~~(3) The Engineer will begin charges against the contract time on the first working day after the effective date of the notice to proceed, not less than five (5) calendar days nor more than ten (10) calendar days after the receipt of the notice to proceed as evidenced by the date of receipt shown on the certified mail return receipt.~~

~~(4) The Engineer will not make charges against the contract time after the date of final acceptance as defined in the subsection 50-15 titled FINAL ACCEPTANCE of Section 50.~~

~~(5) The Contractor will be allowed one (1) week in which to file a written protest setting forth his or her objections to the Engineer's weekly statement. If no objection is filed within such specified time, the weekly statement shall be considered as acceptable to the Contractor.~~

~~The contract time (stated in the proposal) is based on the originally estimated quantities as described in the subsection 20-05 titled INTERPRETATION OF ESTIMATED PROPOSAL QUANTITIES of Section 20. Should the satisfactory completion of the contract require performance of work in greater quantities than those estimated in the proposal, the contract time shall be increased in the same proportion as the cost of the actually completed quantities bears to the cost of the originally estimated quantities in the proposal. Such increase in contract time shall not consider either the cost of work or the extension of contract time that has been covered by change order or supplemental agreement and shall be made at the time of final payment.~~

~~b. CONTRACT TIME based on CALENDAR DAYS or NIGHTS shall consist of the number of calendar days or nights stated in the contract counting from the effective date of the notice to proceed and including all Saturdays, Sundays, holidays, and non-work days. All calendar days or nights elapsing between the effective dates of the Owner's orders to suspend and resume all work, due to causes not the fault of the Contractor, shall be excluded.~~

~~At the time of final payment, the contract time shall be increased in the same proportion as the cost of the actually completed quantities bears to the cost of the originally estimated quantities in the proposal. Such increase in the contract time shall not consider either cost of work or the extension of contract time that has been covered by a change order or supplemental agreement. Charges against the contract time will cease as of the date of final acceptance.~~

~~c. When the contract time is a specified completion date, it shall be the date on which all contract work shall be substantially complete.~~

If the Contractor finds it impossible for reasons beyond his or her control to complete the work within the contract time as specified, or as extended in accordance with the provisions of this subsection, the Contractor may, at any time prior to the expiration of the contract time as extended, make a written request to the Owner for an extension of time setting forth the reasons which the Contractor believes will justify the granting of his or her request. Requests for extension of time on calendar day projects, caused

by inclement weather, shall be supported with National Weather Bureau data showing the actual amount of inclement weather exceeded what could normally be expected during the contract period. The Contractor's plea that insufficient time was specified is not a valid reason for extension of time. If the supporting documentation justify the work was delayed because of conditions beyond the control and without the fault of the Contractor, the Owner may extend the time for completion by a change order that adjusts the contract time or completion date. The extended time for completion shall then be in full force and effect, the same as though it were the original time for completion.

80-08 FAILURE TO COMPLETE ON TIME. For each calendar day ~~or working day~~, as specified in the contract, that any work remains uncompleted after the contract time (including all extensions and adjustments as provided in the subsection 80-07 titled DETERMINATION AND EXTENSION OF CONTRACT TIME of this Section) the sum specified in the contract and proposal as liquidated damages will be deducted from any money due or to become due the Contractor or his or her surety. Such deducted sums shall not be deducted as a penalty but shall be considered as liquidation of a reasonable portion of damages including but not limited to additional engineering services that will be incurred by the Owner should the Contractor fail to complete the work in the time provided in their contract.

SCHEDULE/PHASE	LIQUIDATED DAMAGES COST	ALLOWED CONSTRUCTION TIME
30 calendar days:	Refer to Article 9. Construction Schedules 9.11 Liquidated Damages of Uniform General and Supplementary Conditions	

The maximum construction time allowed for completion of all phases shall not be more than **30 Calendar Days**.

Permitting the Contractor to continue and finish the work or any part of it after the time fixed for its completion, or after the date to which the time for completion may have been extended, will in no way operate as a waiver on the part of the Owner of any of its rights under the contract.

80-09 DEFAULT AND TERMINATION OF CONTRACT. The Contractor shall be considered in default of his or her contract and such default will be considered as cause for the Owner to terminate the contract for any of the following, **but not limited to**, reasons if the Contractor:

- a. Fails to begin the work under the contract within the time specified in the Notice to Proceed, or
- b. Fails to perform the work or fails to provide sufficient workers, equipment and/or materials to assure completion of work in accordance with the terms of the contract, or
- c. Performs the work unsuitably or neglects or refuses to remove materials or to perform anew such work as may be rejected as unacceptable and unsuitable, or
- d. Discontinues the execution of the work, or
- e. Fails to resume work which has been discontinued within a reasonable time after notice to do so, or
- f. Becomes insolvent or is declared bankrupt, or commits any act of bankruptcy or insolvency, or
- g. Allows any final judgment to stand against the Contractor unsatisfied for a period of 10 days, or
- h. Makes an assignment for the benefit of creditors, or
- i. For any other cause whatsoever, fails to carry on the work in an acceptable manner.

Should the Engineer consider the Contractor in default of the contract for any reason above, the Engineer shall immediately give written notice to the Contractor and the Contractor's surety as to the reasons for considering the Contractor in default and the Owner's intentions to terminate the contract.

If the Contractor or surety, within a period of 10 days after such notice, does not proceed in accordance therewith, then the Owner will, upon written notification from the Engineer of the facts of such delay, neglect, or default and the Contractor's failure to comply with such notice, have full power and authority without violating the contract, to take the execution of the work out of the hands of the Contractor. The Owner may appropriate or use any or all materials and equipment that have been mobilized for use in the work and are acceptable and may enter into an agreement for the completion of said contract according to the terms and provisions thereof, or use such other methods as in the opinion of the Engineer will be required for the completion of said contract in an acceptable manner.

All costs and charges incurred by the Owner, together with the cost of completing the work under contract, will be deducted from any monies due or which may become due the Contractor. If such expense exceeds the sum which would have been payable under the contract, then the Contractor and the surety shall be liable and shall pay to the Owner the amount of such excess.

80-10 TERMINATION FOR NATIONAL EMERGENCIES. The Owner shall terminate the contract or portion thereof by written notice when the Contractor is prevented from proceeding with the construction contract as a direct result of an Executive Order of the President with respect to the execution of war or in the interest of national defense.

When the contract, or any portion thereof, is terminated before completion of all items of work in the contract, payment will be made for the actual number of units or items of work completed at the contract price or as mutually agreed for items of work partially completed or not started. No claims or loss of anticipated profits shall be considered.

Reimbursement for organization of the work, and other overhead expenses, (when not otherwise included in the contract) and moving equipment and materials to and from the job will be considered, the intent being that an equitable settlement will be made with the Contractor.

Acceptable materials, obtained or ordered by the Contractor for the work and that are not incorporated in the work shall, at the option of the Contractor, be purchased from the Contractor at actual cost as shown by receipted bills and actual cost records at such points of delivery as may be designated by the Engineer.

Termination of the contract or a portion thereof shall neither relieve the Contractor of his or her responsibilities for the completed work nor shall it relieve his or her surety of its obligation for and concerning any just claim arising out of the work performed.

80-11 WORK AREA, STORAGE AREA AND SEQUENCE OF OPERATIONS. The Contractor shall obtain approval from the Engineer prior to beginning any work in all areas of the airport. No operating runway, taxiway, or air operations area (AOA) shall be crossed, entered, or obstructed while it is operational. The Contractor shall plan and coordinate his or her work in such a manner as to ensure safety and a minimum of hindrance to flight operations. All Contractor equipment and material stockpiles shall be stored a minimum of 400-feet from the centerline of an active runway. No equipment will be allowed to park within the approach area of an active runway at any time. No equipment shall be within 250-feet of the centerline of an active runway or within 130-feet of the centerline of an active taxiway at any time.

END OF SECTION 80

SECTION 90

MEASUREMENT AND PAYMENT

90-01 MEASUREMENT OF QUANTITIES. All work completed under the contract will be measured by the Engineer, or his or her authorized representatives, using United States Customary Units of Measurement or the International System of Units.

The method of measurement and computations to be used in determination of quantities of material furnished and of work performed under the contract will be those methods generally recognized as conforming to good engineering practice.

Unless otherwise specified, longitudinal measurements for area computations will be made horizontally, and no deductions will be made for individual fixtures (or leave-outs) having an area of 9 square feet or less. Unless otherwise specified, transverse measurements for area computations will be the neat dimensions shown on the plans or ordered in writing by the Engineer.

Structures will be measured according to neat lines shown on the plans or as altered to fit field conditions.

Unless otherwise specified, all contract items which are measured by the linear foot such as electrical ducts, conduits, pipe culverts, underdrains, and similar items shall be measured parallel to the base or foundation upon which such items are placed.

In computing volumes of excavation the average end area method or other acceptable methods will be used.

The thickness of plates and galvanized sheet used in the manufacture of corrugated metal pipe, metal plate pipe culverts and arches, and metal cribbing will be specified and measured in decimal fraction of inch.

The term “ton” will mean the short ton consisting of 2,000 lb avoirdupois. All materials that are measured or proportioned by weights shall be weighed on accurate, approved scales by competent, qualified personnel at locations designed by the Engineer. If material is shipped by rail, the car weight may be accepted provided that only the actual weight of material is paid for. However, car weights will not be acceptable for material to be passed through mixing plants. Trucks used to haul material being paid for by weight shall be weighed empty daily at such times as the Engineer directs, and each truck shall bear a plainly legible identification mark.

Materials to be measured by volume in the hauling vehicle shall be hauled in approved vehicles and measured therein at the point of delivery. Vehicles for this purpose may be of any size or type acceptable for the materials hauled, provided that the body is of such shape that the actual contents may be readily and accurately determined. All vehicles shall be loaded to at least their water level capacity, and all loads shall be leveled when the vehicles arrive at the point of delivery.

When requested by the Contractor and approved by the Engineer in writing, material specified to be measured by the cubic yard may be weighed, and such weights will be converted to cubic yards for payment purposes. Factors for conversion from weight measurement to volume measurement will be determined by the Engineer and shall be agreed to by the Contractor before such method of measurement of pay quantities is used.

Bituminous materials will be measured by the gallon or ton. When measured by volume, such volumes will be measured at 60°F or will be corrected to the volume at 60°F using ASTM D1250 for asphalts or ASTM D633 for tars.

Net certified scale weights or weights based on certified volumes in the case of rail shipments will be used as a basis of measurement, subject to correction when bituminous material has been lost from the car or the distributor, wasted, or otherwise not incorporated in the work.

When bituminous materials are shipped by truck or transport, net certified weights by volume, subject to correction for loss or foaming, may be used for computing quantities.

Cement will be measured by the ton or hundredweight.

Timber will be measured by the thousand feet board measure (MFBM) actually incorporated in the structure. Measurement will be based on nominal widths and thicknesses and the extreme length of each piece.

The term “lump sum” when used as an item of payment will mean complete payment for the work described in the contract.

When a complete structure or structural unit (in effect, “lump sum” work) is specified as the unit of measurement, the unit will be construed to include all necessary fittings and accessories.

Rental of equipment will be measured by time in hours of actual working time and necessary traveling time of the equipment within the limits of the work. Special equipment ordered by the Engineer in connection with force account work will be measured as agreed in the change order or supplemental agreement authorizing such force account work as provided in the subsection 90-05 titled PAYMENT FOR EXTRA WORK of this section.

When standard manufactured items are specified such as fence, wire, plates, rolled shapes, pipe conduit, etc., and these items are identified by gauge, unit weight, section dimensions, etc., such identification will be considered to be nominal weights or dimensions. Unless more stringently controlled by tolerances in cited specifications, manufacturing tolerances established by the industries involved will be accepted.

Scales for weighing materials which are required to be proportioned or measured and paid for by weight shall be furnished, erected, and maintained by the Contractor, or be certified permanently installed commercial scales.

Scales shall be accurate within 1/2% of the correct weight throughout the range of use. The Contractor shall have the scales checked under the observation of the inspector before beginning work and at such other times as requested. The intervals shall be uniform in spacing throughout the graduated or marked length of the beam or dial and shall not exceed one-tenth of 1% of the nominal rated capacity of the scale, but not less than 1 pound. The use of spring balances will not be permitted.

Beams, dials, platforms, and other scale equipment shall be so arranged that the operator and the inspector can safely and conveniently view them.

Scale installations shall have available ten standard 50-pound weights for testing the weighing equipment or suitable weights and devices for other approved equipment.

Scales must be tested for accuracy and serviced before use at a new site. Platform scales shall be installed and maintained with the platform level and rigid bulkheads at each end.

Scales “overweighing” (indicating more than correct weight) will not be permitted to operate, and all materials received subsequent to the last previous correct weighting-accuracy test will be reduced by the percentage of error in excess of one-half of 1%.

In the event inspection reveals the scales have been underweighing (indicating less than correct weight), they shall be adjusted, and no additional payment to the Contractor will be allowed for materials previously weighed and recorded.

All costs in connection with furnishing, installing, certifying, testing, and maintaining scales; for furnishing check weights and scale house; and for all other items specified in this subsection, for the weighing of materials for proportioning or payment, shall be included in the unit contract prices for the various items of the project.

When the estimated quantities for a specific portion of the work are designated as the pay quantities in the contract, they shall be the final quantities for which payment for such specific portion of the work will be made, unless the dimensions of said portions of the work shown on the plans are revised by the Engineer. If revised dimensions result in an increase or decrease in the quantities of such work, the final quantities for payment will be revised in the amount represented by the authorized changes in the dimensions.

90-02 SCOPE OF PAYMENT. The Contractor shall receive and accept compensation provided for in the contract as full payment for furnishing all materials, for performing all work under the contract in a complete and acceptable manner, and for all risk, loss, damage, or expense of whatever character arising

out of the nature of the work or the execution thereof, subject to the provisions of the subsection 70-18 titled NO WAIVER OF LEGAL RIGHTS of Section 70.

When the “basis of payment” subsection of a technical specification requires that the contract price (price bid) include compensation for certain work or material essential to the item, this same work or material will not also be measured for payment under any other contract item which may appear elsewhere in the contract, plans, or specifications.

90-03 COMPENSATION FOR ALTERED QUANTITIES. When the accepted quantities of work vary from the quantities in the proposal, the Contractor shall accept as payment in full, so far as contract items are concerned, payment at the original contract price for the accepted quantities of work actually completed and accepted. No allowance, except as provided for in the subsection 40-02 titled ALTERATION OF WORK AND QUANTITIES of Section 40 will be made for any increased expense, loss of expected reimbursement, or loss of anticipated profits suffered or claimed by the Contractor which results directly from such alterations or indirectly from his or her unbalanced allocation of overhead and profit among the contract items, or from any other cause.

90-04 PAYMENT FOR OMITTED ITEMS. As specified in the subsection 40-03 titled OMITTED ITEMS of Section 40, the Engineer shall have the right to omit from the work (order nonperformance) any contract item, except major contract items, in the best interest of the Owner.

Should the Engineer omit or order nonperformance of a contract item or portion of such item from the work, the Contractor shall accept payment in full at the contract prices for any work actually completed and acceptable prior to the Engineer’s order to omit or non-perform such contract item.

Acceptable materials ordered by the Contractor or delivered on the work prior to the date of the Engineer’s order will be paid for at the actual cost to the Contractor and shall thereupon become the property of the Owner.

In addition to the reimbursement hereinbefore provided, the Contractor shall be reimbursed for all actual costs incurred for the purpose of performing the omitted contract item prior to the date of the Engineer’s order. Such additional costs incurred by the Contractor must be directly related to the deleted contract item and shall be supported by certified statements by the Contractor as to the nature the amount of such costs.

90-05 PAYMENT FOR EXTRA WORK. Extra work, performed in accordance with the subsection 40-04 titled EXTRA WORK of Section 40, will be paid for at the contract prices or agreed prices specified in the change order or supplemental agreement authorizing the extra work.

90-06 PARTIAL PAYMENTS. Partial payments will be made to the Contractor at least once each month as the work progresses. Said payments will be based upon estimates, prepared by the Engineer, of the value of the work performed and materials complete and in place, in accordance with the contract, plans, and specifications. Such partial payments may also include the delivered actual cost of those materials stockpiled and stored in accordance with the subsection 90-07 titled PAYMENT FOR MATERIALS ON HAND of this section. No partial payment will be made when the amount due to the Contractor since the last estimate amounts to less than five hundred dollars.

The Contractor is required to pay all subcontractors for satisfactory performance of their contracts no later than 30 days after the Contractor has received a partial payment. The Owner must ensure prompt and full payment of retainage from the prime Contractor to the subcontractor within 30 days after the subcontractor’s work is satisfactorily completed. A subcontractor’s work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the Owner. When the Owner has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

From the total of the amount determined to be payable on a partial payment, 10 percent of such total amount will be deducted and retained by the Owner until the final payment is made., ~~except as may be provided (at the Contractor’s option) in the subsection 90-08 titled PAYMENT OF WITHHELD FUNDS of this section.~~ The balance (90 percent) of the amount payable, less all previous payments, shall be

certified for payment. ~~Should the Contractor exercise his or her option, as provided in the subsection 90-08 titled PAYMENT OF WITHHELD FUNDS of this section, no such percent retainage shall be deducted.~~

When at least 95% of the work has been completed, the Engineer shall, at the Owner's discretion and with the consent of the surety, prepare estimates of both the contract value and the cost of the remaining work to be done.

The Owner may retain an amount not less than twice the contract value or estimated cost, whichever is greater, of the work remaining to be done. The remainder, less all previous payments and deductions, will then be certified for payment to the Contractor.

It is understood and agreed that the Contractor shall not be entitled to demand or receive partial payment based on quantities of work in excess of those provided in the proposal or covered by approved change orders or supplemental agreements, except when such excess quantities have been determined by the Engineer to be a part of the final quantity for the item of work in question.

No partial payment shall bind the Owner to the acceptance of any materials or work in place as to quality or quantity. All partial payments are subject to correction at the time of final payment as provided in the subsection 90-09 titled ACCEPTANCE AND FINAL PAYMENT of this section.

The amount of retainage withheld from the Contractor's monthly partial payments shall be 10%.

The Contractor shall deliver to the Owner a complete release of all claims for labor and material arising out of this contract before the final payment is made. If any subcontractor or supplier fails to furnish such a release in full, the Contractor may furnish a bond or other collateral satisfactory to the Owner to indemnify the Owner against any potential lien or other such claim. The bond or collateral shall include all costs, expenses, and attorney fees the Owner may be compelled to pay in discharging any such lien or claim.

90-07 PAYMENT FOR MATERIALS ON HAND. Partial payments may be made to the extent of the delivered cost of materials to be incorporated in the work, provided that such materials meet the requirements of the contract, plans, and specifications and are delivered to acceptable sites on the airport property or at other sites in the vicinity that are acceptable to the Owner. Such delivered costs of stored or stockpiled materials may be included in the next partial payment after the following conditions are met:

- a. The material has been stored or stockpiled in a manner acceptable to the Engineer at or on an approved site.
- b. The Contractor has furnished the Engineer with acceptable evidence of the quantity and quality of such stored or stockpiled materials.
- c. The Contractor has furnished the Engineer with satisfactory evidence that the material and transportation costs have been paid.
- d. The Contractor has furnished the Owner legal title (free of liens or encumbrances of any kind) to the material so stored or stockpiled.
- e. The Contractor has furnished the Owner evidence that the material so stored or stockpiled is insured against loss by damage to or disappearance of such materials at any time prior to use in the work.

It is understood and agreed that the transfer of title and the Owner's payment for such stored or stockpiled materials shall in no way relieve the Contractor of his or her responsibility for furnishing and placing such materials in accordance with the requirements of the contract, plans, and specifications.

In no case will the amount of partial payments for materials on hand exceed the contract price for such materials or the contract price for the contract item in which the material is intended to be used.

No partial payment will be made for stored or stockpiled living or perishable plant materials.

The Contractor shall bear all costs associated with the partial payment of stored or stockpiled materials in accordance with the provisions of this subsection.

~~**90-08 PAYMENT OF WITHHELD FUNDS.** At the Contractor's option, if an Owner withholds retainage in accordance with the methods described in subsection 90-06 PARTIAL PAYMENTS, the Contractor may request that the Owner deposit the retainage into an escrow account. The Owner's deposit of retainage into an escrow account is subject to the following conditions:~~

~~a. The Contractor shall bear all expenses of establishing and maintaining an escrow account and escrow agreement acceptable to the Owner.~~

~~b. The Contractor shall deposit to and maintain in such escrow only those securities or bank certificates of deposit as are acceptable to the Owner and having a value not less than the retainage that would otherwise be withheld from partial payment.~~

~~c. The Contractor shall enter into an escrow agreement satisfactory to the Owner.~~

~~d. The Contractor shall obtain the written consent of the surety to such agreement.~~

90-09 ACCEPTANCE AND FINAL PAYMENT. When the contract work has been accepted in accordance with the requirements of the subsection 50-15 titled FINAL ACCEPTANCE of Section 50, the Engineer will prepare the final estimate of the items of work actually performed. The Contractor shall approve the Engineer's final estimate or advise the Engineer of the Contractor's objections to the final estimate which are based on disputes in measurements or computations of the final quantities to be paid under the contract as amended by change order or supplemental agreement. The Contractor and the Engineer shall resolve all disputes (if any) in the measurement and computation of final quantities to be paid within 30 calendar days of the Contractor's receipt of the Engineer's final estimate. If, after such 30-day period, a dispute still exists, the Contractor may approve the Engineer's estimate under protest of the quantities in dispute, and such disputed quantities shall be considered by the Owner as a claim in accordance with the subsection 50-16 titled CLAIMS FOR ADJUSTMENT AND DISPUTES of Section 50.

After the Contractor has approved, or approved under protest, the Engineer's final estimate, and after the Engineer's receipt of the project closeout documentation required in subsection 90-11 Project Closeout, final payment will be processed based on the entire sum, or the undisputed sum in case of approval under protest, determined to be due the Contractor less all previous payments and all amounts to be deducted under the provisions of the contract. All prior partial estimates and payments shall be subject to correction in the final estimate and payment.

Should elements of work require delay in final payment due to seasonal or other reasons, the Owner may retain or withhold an agreed upon amount from items of work associated with the delayed items and hold that retainage, even after final payment less the retained amounts, until the Contractor has fulfilled the elements of work delayed to the satisfaction of the Owner. The Owner shall release the retained amount after all associated work for which the delay item has been accepted by the Owner.

If the Contractor has filed a claim for additional compensation under the provisions of the subsection 50-16 titled CLAIMS FOR ADJUSTMENTS AND DISPUTES of Section 50 or under the provisions of this subsection, such claims will be considered by the Owner in accordance with local laws or ordinances. Upon final adjudication of such claims, any additional payment determined to be due the Contractor will be paid pursuant to a supplemental final estimate.

90-10 CONSTRUCTION WARRANTY.

a. In addition to any other warranties in this contract, the Contractor warrants that work performed under this contract conforms to the contract requirements and is free of any defect in equipment, material, workmanship, or design furnished, or performed by the Contractor or any subcontractor or supplier at any tier.

b. This warranty shall continue for a period of ~~one~~ **two** years from the date of final acceptance of the work. If the Owner takes possession of any part of the work before final acceptance, this warranty shall continue for a period of ~~one~~ **two** years from the date the Owner ~~makes final acceptance~~ **takes possession**. However, this will not relieve the Contractor from corrective items required by the final acceptance of the project work.

c. The Contractor shall remedy at the Contractor's expense any failure to conform, or any defect. In addition, the Contractor shall remedy at the Contractor's expense any damage to Owner real or personal property, when that damage is the result of:

- (1) The Contractor's failure to conform to contract requirements; or
- (2) Any defect of equipment, material, workmanship, or design furnished by the Contractor.

d. The Contractor shall restore any work damaged in fulfilling the terms and conditions of this clause. The Contractor's warranty with respect to work repaired or replaced will run for one year from the date of repair or replacement.

e. The Owner will notify the Contractor, in writing, within seven (7) days after the discovery of any failure, defect, or damage.

f. If the Contractor fails to remedy any failure, defect, or damage within 14 days after receipt of notice, the Owner shall have the right to replace, repair, or otherwise remedy the failure, defect, or damage at the Contractor's expense.

g. With respect to all warranties, express or implied, from subcontractors, manufacturers, or suppliers for work performed and materials furnished under this contract, the Contractor shall: (1) Obtain all warranties that would be given in normal commercial practice; (2) Require all warranties to be executed, in writing, for the benefit of the Owner, as directed by the Owner, and (3) Enforce all warranties for the benefit of the Owner.

h. This warranty shall not limit the Owner's rights with respect to latent defects, gross mistakes, or fraud.

90-11 PROJECT CLOSEOUT. Approval of final payment to the Contractor is contingent upon completion and submittal of the items listed below. The final payment will not be approved until the Engineer approves the Contractor's final submittal. The Contractor shall:

- a. Provide two (2) copies of all manufacturers warranties specified for materials, equipment, and installations.
- b. Provide weekly payroll records (not previously received) from the general Contractor and all subcontractors.
- c. Complete final cleanup in accordance with subsection 40-08, FINAL CLEANUP.
- d. Complete all punch list items identified during the Final Inspection.
- e. Provide complete release of all claims for labor and material arising out of the Contract.
- f. Provide a certified statement signed by the subcontractors, indicating actual amounts paid to the Disadvantaged Business Enterprise (DBE) subcontractors and/or suppliers associated with the project.
- g. When applicable per state requirements, return copies of sales tax completion forms.
- h. Manufacturer's certifications for all items incorporated in the work.
- i. All required record drawings, as-built drawings or as-constructed drawings.
- j. Project Operation and Maintenance (O&M) Manual.
- k. Security for Construction Warranty.
- l. Equipment commissioning documentation submitted, if required.

END OF SECTION 90

SECTION 100

CONTRACTOR QUALITY CONTROL PROGRAM

100-01 GENERAL. When the specification requires a Contractor Quality Control Program, the Contractor shall establish, provide, and maintain an effective Quality Control Program that details the methods and procedures that will be taken to assure that all materials and completed construction required by this contract conform to contract plans, technical specifications and other requirements, whether manufactured by the Contractor, or procured from subcontractors or vendors. Although guidelines are established and certain minimum requirements are specified here and elsewhere in the contract technical specifications, the Contractor shall assume full responsibility for accomplishing the stated purpose.

The intent of this section is to enable the Contractor to establish a necessary level of control that will:

- a. Adequately provide for the production of acceptable quality materials.
- b. Provide sufficient information to assure both the Contractor and the Engineer that the specification requirements can be met.
- c. Allow the Contractor as much latitude as possible to develop his or her own standard of control.

The Contractor shall be prepared to discuss and present, at the preconstruction conference, their understanding of the quality control requirements. The Contractor shall not begin any construction or production of materials to be incorporated into the completed work until the Quality Control Program has been reviewed and accepted by the Engineer and a written finding of no objection to the Quality Control Program is provided by the Engineer. No partial payment will be made for materials subject to specific quality control requirements until the Quality Control Program has been reviewed and a written finding of no objection to the Quality Control Program is provided by the Engineer.

The quality control requirements contained in this section and elsewhere in the contract technical specifications are in addition to and separate from the acceptance testing requirements. **Acceptance testing requirements for P-153, P-403, P-501 and P-610 are the responsibility of the Engineer, all other acceptance tests identified will be the responsibility of the Contractor. All Quality Control testing requirements are the responsibility of the Contractor.**

Paving projects over \$250,000 shall have a Quality Control (QC)/Quality Assurance (QA) workshop with the Engineer, Contractor, subcontractors, testing laboratories, and Owner's representative and the FAA prior to or at start of construction. The workshop shall address QC and QA requirements of the project specifications. The Contractor shall coordinate with the Airport and the Engineer on time and location of the QC/QA workshop.

100-02 DESCRIPTION OF PROGRAM.

a. General description. The Contractor shall establish a Quality Control Program to perform quality control inspection and testing of all items of work required by the technical specifications, including those performed by subcontractors. This Quality Control Program shall ensure conformance to applicable specifications and plans with respect to materials, workmanship, construction, finish, and functional performance. The Quality Control Program shall be effective for control of all construction work performed under this Contract and shall specifically include surveillance and tests required by the technical specifications, in addition to other requirements of this section and any other activities deemed necessary by the Contractor to establish an effective level of quality control.

b. Quality Control Program. The Contractor shall describe the Quality Control Program in a written document that shall be reviewed and approved by the Engineer prior to the start of any production, construction, or off-site fabrication. The written Quality Control Program shall be submitted to the Engineer for review and approval at least 10 calendar days before the Preconstruction Conference. The Contractor's Quality Control Plan and Quality Control testing laboratory must be approved in writing by the Engineer prior to the Notice to Proceed (NTP).

The Quality Control Program shall be organized to address, as a minimum, the following items:

- a. Quality control organization
- b. Project progress schedule
- c. Submittals schedule
- d. Inspection requirements
- e. Quality control testing plan
- f. Documentation of quality control activities
- g. Requirements for corrective action when quality control and/or acceptance criteria are not met

The Contractor is encouraged to add any additional elements to the Quality Control Program that is deemed necessary to adequately control all production and/or construction processes required by this contract.

The cost of development, administration and/or performance of the Quality Control Program shall not be paid for separately but shall be included in various other bid items.

100-03 QUALITY CONTROL ORGANIZATION. The Contractor Quality Control Program shall be implemented by the establishment of a separate quality control organization. An organizational chart shall be developed to show all quality control personnel and how these personnel integrate with other management/production and construction functions and personnel.

The organizational chart shall identify all quality control staff by name and function, and shall indicate the total staff required to implement all elements of the Quality Control Program, including inspection and testing for each item of work. If necessary, different technicians can be used for specific inspection and testing functions for different items of work. If an outside organization or independent testing laboratory is used for implementation of all or part of the Quality Control Program, the personnel assigned shall be subject to the qualification requirements of paragraph 100-03a and 100-03b. The organizational chart shall indicate which personnel are Contractor employees and which are provided by an outside organization.

The quality control organization shall, as a minimum, consist of the following personnel:

a. Program Administrator. The Program Administrator shall be a full-time on-site employee of the Contractor, or a consultant engaged by the Contractor. The Program Administrator shall have a minimum of five (5) years of experience in airport and/or highway construction and shall have had prior quality control experience on a project of comparable size and scope as the contract.

Additional qualifications for the Program Administrator shall include at least one of the following requirements:

- (1) Professional Engineer with one (1) year of airport paving experience.
- (2) Engineer-in-training with two (2) years of airport paving experience.
- (3) An individual with three (3) years of highway and/or airport paving experience, with a Bachelor of Science Degree in Civil Engineering, Civil Engineering Technology or Construction.
- (4) Construction materials technician certified at Level III by the National Institute for Certification in Engineering Technologies (NICET).
- (5) Highway materials technician certified at Level III by NICET.
- (6) Highway construction technician certified at Level III by NICET.
- (7) A NICET certified engineering technician in Civil Engineering Technology with five (5) years of highway and/or airport paving experience.

The Program Administrator shall have full authority to institute any and all actions necessary for the successful implementation of the Quality Control Program to ensure compliance with the contract plans

and technical specifications. The Program Administrator shall report directly to a responsible officer of the construction firm. ~~The Program Administrator may supervise the Quality Control Program on more than one project provided that person can be at the job site within two (2) hours after being notified of a problem.~~

b. Quality control technicians. A sufficient number of quality control technicians necessary to adequately implement the Quality Control Program shall be provided. These personnel shall be either Engineers, engineering technicians, or experienced craftsman with qualifications in the appropriate field equivalent to NICET Level II or higher construction materials technician or highway construction technician and shall have a minimum of two (2) years of experience in their area of expertise.

The quality control technicians shall report directly to the Program Administrator and shall perform the following functions:

(1) Inspection of all materials, construction, plant, and equipment for conformance to the technical specifications, and as required by subsection 100-06.

(2) Performance of all quality control tests as required by the technical specifications and subsection 100-07.

(3) Performance of density tests for the Engineer when required by the technical specifications.

Certification at an equivalent level, by a state or nationally recognized organization will be acceptable in lieu of NICET certification.

c. Staffing levels. The Contractor shall provide sufficient qualified quality control personnel to monitor each work activity at all times. Where material is being produced in a plant for incorporation into the work, separate plant and field technicians shall be provided at each plant and field placement location. The scheduling and coordinating of all inspection and testing must match the type and pace of work activity. The Quality Control Program shall state where different technicians will be required for different work elements.

100-04 PROJECT PROGRESS SCHEDULE. The Contractor shall submit a coordinated construction schedule for all work activities. The schedule shall be prepared as a network diagram in Critical Path Method (CPM), Program Evaluation and Review Technique (PERT), or other format, or as otherwise specified in the contract. As a minimum, it shall provide information on the sequence of work activities, milestone dates, and activity duration.

The Contractor shall maintain the work schedule and provide an update and analysis of the progress schedule on a twice monthly basis, or as otherwise specified in the contract. Submission of the work schedule shall not relieve the Contractor of overall responsibility for scheduling, sequencing, and coordinating all work to comply with the requirements of the contract.

100-05 SUBMITTALS SCHEDULE. The Contractor shall submit a detailed listing of all submittals (for example, mix designs, material certifications) and shop drawings required by the technical specifications. The listing can be developed in a spreadsheet format and shall include:

- a. Specification item number
- b. Item description
- c. Description of submittal
- d. Specification paragraph requiring submittal
- e. Scheduled date of submittal

100-06 INSPECTION REQUIREMENTS. Quality control inspection functions shall be organized to provide inspections for all definable features of work, as detailed below. All inspections shall be documented by the Contractor as specified by subsection 100-07.

Inspections shall be performed daily to ensure continuing compliance with contract requirements until completion of the particular feature of work. These shall include the following minimum requirements:

a. During plant operation for material production, quality control test results and periodic inspections shall be used to ensure the quality of aggregates and other mix components, and to adjust and control mix proportioning to meet the approved mix design and other requirements of the technical specifications. All equipment used in proportioning and mixing shall be inspected to ensure its proper operating condition. The Quality Control Program shall detail how these and other quality control functions will be accomplished and used.

b. During field operations, quality control test results and periodic inspections shall be used to ensure the quality of all materials and workmanship. All equipment used in placing, finishing, and compacting shall be inspected to ensure its proper operating condition and to ensure that all such operations are in conformance to the technical specifications and are within the plan dimensions, lines, grades, and tolerances specified. The Program shall document how these and other quality control functions will be accomplished and used.

100-07 QUALITY CONTROL TESTING PLAN. As a part of the overall Quality Control Program, the Contractor shall implement a quality control testing plan, as required by the technical specifications. The testing plan shall include the minimum tests and test frequencies required by each technical specification item, as well as any additional quality control tests that the Contractor deems necessary to adequately control production and/or construction processes.

The testing plan can be developed in a spreadsheet fashion and shall, as a minimum, include the following:

- a. Specification item number (for example, P-401)
- b. Item description (for example, Plant Mix Bituminous Pavements)
- c. Test type (for example, gradation, grade, asphalt content)
- d. Test standard (for example, ASTM or American Association of State Highway and Transportation Officials (AASHTO) test number, as applicable)
- e. Test frequency (for example, as required by technical specifications or minimum frequency when requirements are not stated)
- f. Responsibility (for example, plant technician)
- g. Control requirements (for example, target, permissible deviations)

The testing plan shall contain a statistically-based procedure of random sampling for acquiring test samples in accordance with ASTM D3665. The Engineer shall be provided the opportunity to witness quality control sampling and testing.

All quality control test results shall be documented by the Contractor as required by subsection 100-08.

100-08 DOCUMENTATION. The Contractor shall maintain current quality control records of all inspections and tests performed. These records shall include factual evidence that the required inspections or tests have been performed, including type and number of inspections or tests involved; results of inspections or tests; nature of defects, deviations, causes for rejection, etc.; proposed remedial action; and corrective actions taken.

These records must cover both conforming and defective or deficient features, and must include a statement that all supplies and materials incorporated in the work are in full compliance with the terms of the contract. Legible copies of these records shall be furnished to the Engineer daily. The records shall cover all work placed subsequent to the previously furnished records and shall be verified and signed by the Contractor's Program Administrator.

Specific Contractor quality control records required for the contract shall include, but are not necessarily limited to, the following records:

a. **Daily inspection reports.** Each Contractor quality control technician shall maintain a daily log of all inspections performed for both Contractor and subcontractor operations. These technician's daily reports shall provide factual evidence that continuous quality control inspections have been performed and shall, as a minimum, include the following:

- (1) Technical specification item number and description
- (2) Compliance with approved submittals
- (3) Proper storage of materials and equipment
- (4) Proper operation of all equipment
- (5) Adherence to plans and technical specifications
- (6) Review of quality control tests
- (7) Safety inspection.

The daily inspection reports shall identify inspections conducted, results of inspections, location and nature of defects found, causes for rejection, and remedial or corrective actions taken or proposed.

The daily inspection reports shall be signed by the responsible quality control technician and the Program Administrator. The Engineer shall be provided at least one copy of each daily inspection report on the work day following the day of record.

b. Daily test reports. The Contractor shall be responsible for establishing a system that will record all quality control test results. Daily test reports shall document the following information:

- (1) Technical specification item number and description
- (2) Test designation
- (3) Location
- (4) Date of test
- (5) Control requirements
- (6) Test results
- (7) Causes for rejection
- (8) Recommended remedial actions
- (9) Retests

Test results from each day's work period shall be submitted to the Engineer prior to the start of the next day's work period. When required by the technical specifications, the Contractor shall maintain statistical quality control charts. The daily test reports shall be signed by the responsible quality control technician and the Program Administrator.

100-09 CORRECTIVE ACTION REQUIREMENTS. The Quality Control Program shall indicate the appropriate action to be taken when a process is deemed, or believed, to be out of control (out of tolerance) and detail what action will be taken to bring the process into control. The requirements for corrective action shall include both general requirements for operation of the Quality Control Program as a whole, and for individual items of work contained in the technical specifications.

The Quality Control Program shall detail how the results of quality control inspections and tests will be used for determining the need for corrective action and shall contain clear sets of rules to gauge when a process is out of control and the type of correction to be taken to regain process control.

When applicable or required by the technical specifications, the Contractor shall establish and use statistical quality control charts for individual quality control tests. The requirements for corrective action shall be linked to the control charts.

100-10 SURVEILLANCE BY THE ENGINEER. All items of material and equipment shall be subject to surveillance by the Engineer at the point of production, manufacture or shipment to determine if the Contractor, producer, manufacturer or shipper maintains an adequate quality control system in conformance with the requirements detailed here and the applicable technical specifications and plans. In addition, all items of materials, equipment and work in place shall be subject to surveillance by the Engineer at the site for the same purpose.

Surveillance by the Engineer does not relieve the Contractor of performing quality control inspections of either on-site or off-site Contractor's or subcontractor's work.

100-11 NONCOMPLIANCE.

a. The Engineer will notify the Contractor of any noncompliance with any of the foregoing requirements. The Contractor shall, after receipt of such notice, immediately take corrective action. Any notice, when delivered by the Engineer or his or her authorized representative to the Contractor or his or her authorized representative at the site of the work, shall be considered sufficient notice.

b. In cases where quality control activities do not comply with either the Contractor Quality Control Program or the contract provisions, or where the Contractor fails to properly operate and maintain an effective Quality Control Program, as determined by the Engineer, the Engineer may:

(1) Order the Contractor to replace ineffective or unqualified quality control personnel or subcontractors.

(2) Order the Contractor to stop operations until appropriate corrective actions are taken.

END OF SECTION 100

SECTION 105 MOBILIZATION

105-1 DESCRIPTION. This item shall consist of work and operations, but is not limited to, work and operations necessary for the movement of personnel, equipment, material and supplies to and from the project site for work on the project except as provided in the contract as separate pay items.

105-1.1 POSTED NOTICES. Prior to commencement of construction activities the Contractor must post the following documents in a prominent and accessible place where they may be easily viewed by all employees of the prime Contractor and by all employees of subcontractors engaged by the prime Contractor: Equal Employment Opportunity (EEO) Poster “Equal Employment Opportunity is the Law” in accordance with the Office of Federal Contract Compliance Programs Executive Order 11246, as amended; Davis Bacon Wage Poster (WH 1321) - DOL “Notice to All Employees” Poster; and Applicable Davis-Bacon Wage Rate Determination. These notices must remain posted until final acceptance of the work by the Owner.

105-2 BASIS OF MEASUREMENT AND PAYMENT. Based upon the contract lump sum price for “Mobilization” partial payments will be allowed as follows:

- a. With first pay request, 25%.
- b. When 25% or more of the original contract is earned, an additional 25%.
- c. When 50% or more of the original contract is earned, an additional 40%.
- d. After Final Inspection, Staging area clean-up and delivery of all Project Closeout materials as required by 90-11, the final 10%.

END OF SECTION 105

SECTION 110
METHOD OF ESTIMATING PERCENTAGE OF MATERIAL
WITHIN SPECIFICATION LIMITS (PWL)

Spreadsheets for PWL calculations are available at the following website:
http://www.faa.gov/airports/engineering/design_software/.

110-01 GENERAL. When the specifications provide for acceptance of material based on the method of estimating percentage of material within specification limits (PWL), the PWL will be determined in accordance with this section. All test results for a lot will be analyzed statistically to determine the total estimated percent of the lot that is within specification limits. The PWL is computed using the sample average (X) and sample standard deviation (S_n) of the specified number (n) of sublots for the lot and the specification tolerance limits, L for lower and U for upper, for the particular acceptance parameter. From these values, the respective Quality index, Q_L for Lower Quality Index and/or Q_U for Upper Quality Index, is computed and the PWL for the lot for the specified n is determined from Table 1. All specification limits specified in the technical sections shall be absolute values. Test results used in the calculations shall be to the significant figure given in the test procedure.

There is some degree of uncertainty (risk) in the measurement for acceptance because only a small fraction of production material (the population) is sampled and tested. This uncertainty exists because all portions of the production material have the same probability to be randomly sampled. The Contractor's risk is the probability that material produced at the acceptable quality level is rejected or subjected to a pay adjustment. The Owner's risk is the probability that material produced at the rejectable quality level is accepted.

It is the intent of this section to inform the Contractor that, in order to consistently offset the Contractor's risk for material evaluated, production quality (using population average and population standard deviation) must be maintained at the acceptable quality specified or higher. In all cases, it is the responsibility of the Contractor to produce at quality levels that will meet the specified acceptance criteria when sampled and tested at the frequencies specified.

110-02 METHOD FOR COMPUTING PWL. The computational sequence for computing PWL is as follows:

- a. Divide the lot into n sublots in accordance with the acceptance requirements of the specification.
- b. Locate the random sampling position within the subplot in accordance with the requirements of the specification.
- c. Make a measurement at each location, or take a test portion and make the measurement on the test portion in accordance with the testing requirements of the specification.
- d. Find the sample average (X) for all subplot values within the lot by using the following formula:

$$X = (x_1 + x_2 + x_3 + \dots + x_n) / n$$

Where: X = Sample average of all subplot values within a lot

x₁, x₂ = Individual subplot values

n = Number of sublots

- e. Find the sample standard deviation (S_n) by use of the following formula:

$$S_n = [(d_1^2 + d_2^2 + d_3^2 + \dots + d_n^2)/(n-1)]^{1/2}$$

Where: S_n = Sample standard deviation of the number of subplot values in the set

$d_1, d_2 =$ Deviations of the individual subplot values x_1, x_2, \dots from the average value X
 that is: $d_1 = (x_1 - X), d_2 = (x_2 - X) \dots d_n = (x_n - X)$
 $n =$ Number of sublots

f. For single sided specification limits (that is, L only), compute the Lower Quality Index Q_L by use of the following formula:

$$Q_L = (X - L) / S_n$$

Where: L = specification lower tolerance limit

Estimate the percentage of material within limits (PWL) by entering Table 1 with Q_L , using the column appropriate to the total number (n) of measurements. If the value of Q_L falls between values shown on the table, use the next higher value of PWL.

g. For double-sided specification limits (that is, L and U), compute the Quality Indexes Q_L and Q_U by use of the following formulas:

$$Q_L = (X - L) / S_n$$

and

$$Q_U = (U - X) / S_n$$

Where: L and U = specification lower and upper tolerance limits

Estimate the percentage of material between the lower (L) and upper (U) tolerance limits (PWL) by entering Table 1 separately with Q_L and Q_U , using the column appropriate to the total number (n) of measurements, and determining the percent of material above P_L and percent of material below P_U for each tolerance limit. If the values of Q_L fall between values shown on the table, use the next higher value of P_L or P_U . Determine the PWL by use of the following formula:

$$PWL = (P_U + P_L) - 100$$

Where: $P_L =$ percent within lower specification limit

$P_U =$ percent within upper specification limit

EXAMPLE OF PWL CALCULATION

Project: Example Project

Test Item: Item P-401, Lot A.

A. PWL Determination for Mat Density.

1. Density of four random cores taken from Lot A.

A-1 = 96.60

A-2 = 97.55

A-3 = 99.30

A-4 = 98.35

n = 4

2. Calculate average density for the lot.

$$X = (x_1 + x_2 + x_3 + \dots + x_n) / n$$

$$X = (96.60 + 97.55 + 99.30 + 98.35) / 4$$

$$X = 97.95\% \text{ density}$$

3. Calculate the standard deviation for the lot.

$$S_n = \left[\frac{((96.60 - 97.95)^2 + (97.55 - 97.95)^2 + (99.30 - 97.95)^2 + (98.35 - 97.95)^2)}{(4 - 1)} \right]^{1/2}$$

$$S_n = \left[\frac{(1.82 + 0.16 + 1.82 + 0.16)}{3} \right]^{1/2}$$

$$S_n = 1.15$$

4. Calculate the Lower Quality Index Q_L for the lot. ($L=96.3$)

$$Q_L = (X - L) / S_n$$

$$Q_L = (97.95 - 96.30) / 1.15$$

$$Q_L = 1.4348$$

5. Determine PWL by entering Table 1 with $Q_L= 1.44$ and $n= 4$.

$$PWL = 98$$

B. PWL Determination for Air Voids.

1. Air Voids of four random samples taken from Lot A.

$$A-1 = 5.00$$

$$A-2 = 3.74$$

$$A-3 = 2.30$$

$$A-4 = 3.25$$

2. Calculate the average air voids for the lot.

$$X = (x_1 + x_2 + x_3 + \dots + x_n) / n$$

$$X = (5.00 + 3.74 + 2.30 + 3.25) / 4$$

$$X = 3.57\%$$

3. Calculate the standard deviation S_n for the lot.

$$S_n = \left[\frac{((3.57 - 5.00)^2 + (3.57 - 3.74)^2 + (3.57 - 2.30)^2 + (3.57 - 3.25)^2)}{(4 - 1)} \right]^{1/2}$$

$$S_n = \left[\frac{(2.04 + 0.03 + 1.62 + 0.10)}{3} \right]^{1/2}$$

$$S_n = 1.12$$

4. Calculate the Lower Quality Index Q_L for the lot. ($L= 2.0$)

$$Q_L = (X - L) / S_n$$

$$Q_L = (3.57 - 2.00) / 1.12$$

$$Q_L = 1.3992$$

5. Determine P_L by entering Table 1 with $Q_L = 1.41$ and $n = 4$.

$$P_L = 97$$

6. Calculate the Upper Quality Index Q_U for the lot. ($U= 5.0$)

$$Q_U = (U - X) / S_n$$

$$Q_U = (5.00 - 3.57) / 1.12$$

$$Q_U = 1.2702$$

7. Determine P_U by entering Table 1 with $Q_U = 1.29$ and $n = 4$.

$$P_U = 93$$

8. Calculate Air Voids PWL

$$PWL = (P_L + P_U) - 100$$

$$PWL = (97 + 93) - 100 = 90$$

EXAMPLE OF OUTLIER CALCULATION (REFERENCE ASTM E178)

Project: Example Project

Test Item: Item P-401, Lot A.

A. Outlier Determination for Mat Density.

1. Density of four random cores taken from Lot A arranged in descending order.

A-3 = 99.30

A-4 = 98.35

A-2 = 97.55

A-1 = 96.60

2. Use $n=4$ and upper 5% significance level of to find the critical value for test criterion = 1.463.

3. Use average density, standard deviation, and test criterion value to evaluate density measurements.

a. For measurements greater than the average:

If $(\text{measurement} - \text{average}) / (\text{standard deviation})$ is less than test criterion, then the measurement is not considered an outlier

For A-3, check if $(99.30 - 97.95) / 1.15$ is greater than 1.463.

Since 1.174 is less than 1.463, the value is not an outlier.

b. For measurements less than the average:

If $(\text{average} - \text{measurement}) / (\text{standard deviation})$ is less than test criterion, then the measurement is not considered an outlier.

For A-1, check if $(97.95 - 96.60) / 1.15$ is greater than 1.463.

Since 1.435 is less than 1.463, the value is not an outlier.

Note: In this example, a measurement would be considered an outlier if the density were:

Greater than $(97.95 + 1.463 \times 1.15) = 99.63\%$

OR

less than $(97.95 - 1.463 \times 1.15) = 96.27\%$.

ROUNDING RULE

A. If the digit following the last digit to be kept is 0, 1, 2, 3, or 4, strike out that digit and all the following digits.

Example: For the number 28.69248539, if only three decimal places are being kept the number becomes 28.692.

B. If the digit following the last digit to be kept is 6, 7, 8, or 9, increase the last digit to be kept by 1 and strike out all the following digits.

Example: For the number 28.69248539, if only one decimal place is being kept the number becomes 28.7.

C. If the digit following the last digit to be kept is 5 and there are digits other than zero to the right of 5, increase the last digit to be retained by 1 and strike out all following digits.

Example: For the number 28.69248539, if five decimal places are being kept the number becomes 28.69249.

D. If the digit following the last digit to be kept is 5 and there are no digits other than zero beyond 5, increase the last digit to be retained by 1 if it is odd or leave it unchanged if it is even.

Example: For the number 28.69248500, if five decimal places are being kept the number becomes 28.69248.

Table 1. Table for Estimating Percent of Lot Within Limits (PWL)

Percent Within Limits (P _L and P _U)	Positive Values of Q (Q _L and Q _U)							
	n=3	n=4	n=5	n=6	n=7	n=8	n=9	n=10
99	1.1541	1.4700	1.6714	1.8008	1.8888	1.9520	1.9994	2.0362
98	1.1524	1.4400	1.6016	1.6982	1.7612	1.8053	1.8379	1.8630
97	1.1496	1.4100	1.5427	1.6181	1.6661	1.6993	1.7235	1.7420
96	1.1456	1.3800	1.4897	1.5497	1.5871	1.6127	1.6313	1.6454
95	1.1405	1.3500	1.4407	1.4887	1.5181	1.5381	1.5525	1.5635
94	1.1342	1.3200	1.3946	1.4329	1.4561	1.4717	1.4829	1.4914
93	1.1269	1.2900	1.3508	1.3810	1.3991	1.4112	1.4199	1.4265
92	1.1184	1.2600	1.3088	1.3323	1.3461	1.3554	1.3620	1.3670
91	1.1089	1.2300	1.2683	1.2860	1.2964	1.3032	1.3081	1.3118
90	1.0982	1.2000	1.2290	1.2419	1.2492	1.2541	1.2576	1.2602
89	1.0864	1.1700	1.1909	1.1995	1.2043	1.2075	1.2098	1.2115
88	1.0736	1.1400	1.1537	1.1587	1.1613	1.1630	1.1643	1.1653
87	1.0597	1.1100	1.1173	1.1192	1.1199	1.1204	1.1208	1.1212
86	1.0448	1.0800	1.0817	1.0808	1.0800	1.0794	1.0791	1.0789
85	1.0288	1.0500	1.0467	1.0435	1.0413	1.0399	1.0389	1.0382
84	1.0119	1.0200	1.0124	1.0071	1.0037	1.0015	1.0000	0.9990
83	0.9939	0.9900	0.9785	0.9715	0.9671	0.9643	0.9624	0.9610
82	0.9749	0.9600	0.9452	0.9367	0.9315	0.9281	0.9258	0.9241
81	0.9550	0.9300	0.9123	0.9025	0.8966	0.8928	0.8901	0.8882
80	0.9342	0.9000	0.8799	0.8690	0.8625	0.8583	0.8554	0.8533
79	0.9124	0.8700	0.8478	0.8360	0.8291	0.8245	0.8214	0.8192
78	0.8897	0.8400	0.8160	0.8036	0.7962	0.7915	0.7882	0.7858
77	0.8662	0.8100	0.7846	0.7716	0.7640	0.7590	0.7556	0.7531
76	0.8417	0.7800	0.7535	0.7401	0.7322	0.7271	0.7236	0.7211
75	0.8165	0.7500	0.7226	0.7089	0.7009	0.6958	0.6922	0.6896
74	0.7904	0.7200	0.6921	0.6781	0.6701	0.6649	0.6613	0.6587
73	0.7636	0.6900	0.6617	0.6477	0.6396	0.6344	0.6308	0.6282
72	0.7360	0.6600	0.6316	0.6176	0.6095	0.6044	0.6008	0.5982
71	0.7077	0.6300	0.6016	0.5878	0.5798	0.5747	0.5712	0.5686
70	0.6787	0.6000	0.5719	0.5582	0.5504	0.5454	0.5419	0.5394
69	0.6490	0.5700	0.5423	0.5290	0.5213	0.5164	0.5130	0.5105
68	0.6187	0.5400	0.5129	0.4999	0.4924	0.4877	0.4844	0.4820
67	0.5878	0.5100	0.4836	0.4710	0.4638	0.4592	0.4560	0.4537
66	0.5563	0.4800	0.4545	0.4424	0.4355	0.4310	0.4280	0.4257
65	0.5242	0.4500	0.4255	0.4139	0.4073	0.4030	0.4001	0.3980
64	0.4916	0.4200	0.3967	0.3856	0.3793	0.3753	0.3725	0.3705
63	0.4586	0.3900	0.3679	0.3575	0.3515	0.3477	0.3451	0.3432
62	0.4251	0.3600	0.3392	0.3295	0.3239	0.3203	0.3179	0.3161
61	0.3911	0.3300	0.3107	0.3016	0.2964	0.2931	0.2908	0.2892
60	0.3568	0.3000	0.2822	0.2738	0.2691	0.2660	0.2639	0.2624
59	0.3222	0.2700	0.2537	0.2461	0.2418	0.2391	0.2372	0.2358
58	0.2872	0.2400	0.2254	0.2186	0.2147	0.2122	0.2105	0.2093
57	0.2519	0.2100	0.1971	0.1911	0.1877	0.1855	0.1840	0.1829
56	0.2164	0.1800	0.1688	0.1636	0.1607	0.1588	0.1575	0.1566
55	0.1806	0.1500	0.1406	0.1363	0.1338	0.1322	0.1312	0.1304
54	0.1447	0.1200	0.1125	0.1090	0.1070	0.1057	0.1049	0.1042
53	0.1087	0.0900	0.0843	0.0817	0.0802	0.0793	0.0786	0.0781
52	0.0725	0.0600	0.0562	0.0544	0.0534	0.0528	0.0524	0.0521
51	0.0363	0.0300	0.0281	0.0272	0.0267	0.0264	0.0262	0.0260
50	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Percent Within Limits (P _L and P _U)	Negative Values of Q (Q _L and Q _U)							
	n=3	n=4	n=5	n=6	n=7	n=8	n=9	n=10
49	-0.0363	-0.0300	-0.0281	-0.0272	-0.0267	-0.0264	-0.0262	-0.0260
48	-0.0725	-0.0600	-0.0562	-0.0544	-0.0534	-0.0528	-0.0524	-0.0521
47	-0.1087	-0.0900	-0.0843	-0.0817	-0.0802	-0.0793	-0.0786	-0.0781
46	-0.1447	-0.1200	-0.1125	-0.1090	-0.1070	-0.1057	-0.1049	-0.1042
45	-0.1806	-0.1500	-0.1406	-0.1363	-0.1338	-0.1322	-0.1312	-0.1304
44	-0.2164	-0.1800	-0.1688	-0.1636	-0.1607	-0.1588	-0.1575	-0.1566
43	-0.2519	-0.2100	-0.1971	-0.1911	-0.1877	-0.1855	-0.1840	-0.1829
42	-0.2872	-0.2400	-0.2254	-0.2186	-0.2147	-0.2122	-0.2105	-0.2093
41	-0.3222	-0.2700	-0.2537	-0.2461	-0.2418	-0.2391	-0.2372	-0.2358
40	-0.3568	-0.3000	-0.2822	-0.2738	-0.2691	-0.2660	-0.2639	-0.2624
39	-0.3911	-0.3300	-0.3107	-0.3016	-0.2964	-0.2931	-0.2908	-0.2892
38	-0.4251	-0.3600	-0.3392	-0.3295	-0.3239	-0.3203	-0.3179	-0.3161
37	-0.4586	-0.3900	-0.3679	-0.3575	-0.3515	-0.3477	-0.3451	-0.3432
36	-0.4916	-0.4200	-0.3967	-0.3856	-0.3793	-0.3753	-0.3725	-0.3705
35	-0.5242	-0.4500	-0.4255	-0.4139	-0.4073	-0.4030	-0.4001	-0.3980
34	-0.5563	-0.4800	-0.4545	-0.4424	-0.4355	-0.4310	-0.4280	-0.4257
33	-0.5878	-0.5100	-0.4836	-0.4710	-0.4638	-0.4592	-0.4560	-0.4537
32	-0.6187	-0.5400	-0.5129	-0.4999	-0.4924	-0.4877	-0.4844	-0.4820
31	-0.6490	-0.5700	-0.5423	-0.5290	-0.5213	-0.5164	-0.5130	-0.5105
30	-0.6787	-0.6000	-0.5719	-0.5582	-0.5504	-0.5454	-0.5419	-0.5394
29	-0.7077	-0.6300	-0.6016	-0.5878	-0.5798	-0.5747	-0.5712	-0.5686
28	-0.7360	-0.6600	-0.6316	-0.6176	-0.6095	-0.6044	-0.6008	-0.5982
27	-0.7636	-0.6900	-0.6617	-0.6477	-0.6396	-0.6344	-0.6308	-0.6282
26	-0.7904	-0.7200	-0.6921	-0.6781	-0.6701	-0.6649	-0.6613	-0.6587
25	-0.8165	-0.7500	-0.7226	-0.7089	-0.7009	-0.6958	-0.6922	-0.6896
24	-0.8417	-0.7800	-0.7535	-0.7401	-0.7322	-0.7271	-0.7236	-0.7211
23	-0.8662	-0.8100	-0.7846	-0.7716	-0.7640	-0.7590	-0.7556	-0.7531
22	-0.8897	-0.8400	-0.8160	-0.8036	-0.7962	-0.7915	-0.7882	-0.7858
21	-0.9124	-0.8700	-0.8478	-0.8360	-0.8291	-0.8245	-0.8214	-0.8192
20	-0.9342	-0.9000	-0.8799	-0.8690	-0.8625	-0.8583	-0.8554	-0.8533
19	-0.9550	-0.9300	-0.9123	-0.9025	-0.8966	-0.8928	-0.8901	-0.8882
18	-0.9749	-0.9600	-0.9452	-0.9367	-0.9315	-0.9281	-0.9258	-0.9241
17	-0.9939	-0.9900	-0.9785	-0.9715	-0.9671	-0.9643	-0.9624	-0.9610
16	-1.0119	-1.0200	-1.0124	-1.0071	-1.0037	-1.0015	-1.0000	-0.9990
15	-1.0288	-1.0500	-1.0467	-1.0435	-1.0413	-1.0399	-1.0389	-1.0382
14	-1.0448	-1.0800	-1.0817	-1.0808	-1.0800	-1.0794	-1.0791	-1.0789
13	-1.0597	-1.1100	-1.1173	-1.1192	-1.1199	-1.1204	-1.1208	-1.1212
12	-1.0736	-1.1400	-1.1537	-1.1587	-1.1613	-1.1630	-1.1643	-1.1653
11	-1.0864	-1.1700	-1.1909	-1.1995	-1.2043	-1.2075	-1.2098	-1.2115
10	-1.0982	-1.2000	-1.2290	-1.2419	-1.2492	-1.2541	-1.2576	-1.2602
9	-1.1089	-1.2300	-1.2683	-1.2860	-1.2964	-1.3032	-1.3081	-1.3118
8	-1.1184	-1.2600	-1.3088	-1.3323	-1.3461	-1.3554	-1.3620	-1.3670
7	-1.1269	-1.2900	-1.3508	-1.3810	-1.3991	-1.4112	-1.4199	-1.4265
6	-1.1342	-1.3200	-1.3946	-1.4329	-1.4561	-1.4717	-1.4829	-1.4914
5	-1.1405	-1.3500	-1.4407	-1.4887	-1.5181	-1.5381	-1.5525	-1.5635
4	-1.1456	-1.3800	-1.4897	-1.5497	-1.5871	-1.6127	-1.6313	-1.6454
3	-1.1496	-1.4100	-1.5427	-1.6181	-1.6661	-1.6993	-1.7235	-1.7420
2	-1.1524	-1.4400	-1.6016	-1.6982	-1.7612	-1.8053	-1.8379	-1.8630
1	-1.1541	-1.4700	-1.6714	-1.8008	-1.8888	-1.9520	-1.9994	-2.0362

END OF SECTION 110

CITY OF DULUTH - PART II -
SUPPLEMENTARY GENERAL CONDITIONS FOR FEDERALLY, STATE OF MINNESOTA, AND/OR CITY ASSISTED ACTIVITIES
(revised 4/15/11)

The following conditions take precedence over any conflicting conditions in this Contract.

<u>Section</u>	<u>Title</u>
1	Restrictions on Disbursements, Subcontractors Federal Agency Requirements, Separability, Property
2	Miscellaneous Provisions
3	Definitions
4	Environmental Provisions
5	Contract Compliance
6	Records, Reports and Information, Audits and Inspections
7	Conflict of Interest and Lobbying
8	Labor Standards - Physical Improvement Projects
9	Minnesota Department of Transportation Specification 1960 Partial Payments
10	Housing and Urban Development (HUD) Section 4010
11	Equal Opportunity and Affirmative Action
12	Employment Opportunities - "HUD Section 3"
13	Federal Requirements for Minority/Women Business Enterprises Contract Guidance - MPFA
14	Forms

E-Mail Addresses

For ease in communication, the e-mail address of the person(s) responsible for preparing certified payroll reports (CPRs) is required from the prime contractor and all subcontractors (regardless of tier). This information will be provided to the project engineer prior to the pre-construction meeting OR with materials required in the Letter of Intent.

Section I

Restrictions on Disbursements

No money under this Contract shall be disbursed by the City to any Contractor except pursuant to a written contract which incorporates the applicable PART II, Supplementary General Conditions for Federally, State of Minnesota, and/or City Assisted Activities, and unless the Contractor is in compliance with the Federal Agency requirements with regard to accounting and fiscal matters to the extent they are applicable.

Subcontractors

(A) The Contractor shall include in any subcontract the clauses set forth in the PART II, Supplementary General Conditions for Federally, State of Minnesota and/or City Assisted Activities in their entirety and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts which they may enter into, together with a clause requiring this insertion in any further subcontracts that may in turn be made.

(B) The Contractor shall not subcontract any part of the work covered by this Contract or permit subcontracted work to be further subcontracted without the City's prior written approval of the subcontractors. The City will not approve any subcontractor for work covered by this Contract who is at the time ineligible under the provisions of any applicable regulations issued by a Federal Agency or the Secretary of Labor, United States Department of Labor, to receive an award of such subcontract.

Federal Agency Requirements

Unearned payments under this Contract may be suspended or terminated upon refusal to accept any additional conditions that may be imposed by the Federal Agency at any time; or if the grant, if applicable, to the City under which this Contract is made is suspended or terminated.

Separability

If any provisions of this Contract is held invalid, the remainder of this Contract shall not be affected thereby if such remainder would then continue to conform to the terms and requirements of applicable law.

Property

Acquisition, use, and disposal of all property, materials and goods acquired as a result of activities made possible by this Contract shall be accomplished in accordance with the applicable provisions of Federal Management Circular (FMC)-74-7, as amended.

Section 2

Miscellaneous Provisions

(A) **Copyrights.** In the event this Contract results in a book or other copyrightable material, the author is free to copyright the work, but Federal Agency and the City reserve a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, all copyrighted material and all material which can be copyrighted.

(B) **Patents.** Any discovery or invention arising out of or developed in the course of work aided by this Contract shall be promptly and fully reported to the Federal Agency and the City for determination by the Federal Agency as to whether patent protection on such invention or discovery shall be sought and how the rights in the invention or discovery, including rights under any patent issued thereon, shall be disposed of and administered in order to protect the public interests.

(C) **Political Activity Prohibited.** None of the funds, materials, property or services provided directly or indirectly under this Contract shall be used in the performance of this Contract on any partisan political activity, or to further the election or defeat of any candidate for public office.

(D) **Lobbying Prohibited.** None of the funds under this Contract shall be used for publicity or propaganda purposes designed to support or defeat legislation pending before the Congress or the City.

(E) **Prohibition of and Elimination of Lead-Based Paint Hazard.** Notwithstanding any other provision, the Agency and Contractor agree to comply with the regulation issued by the Secretary of Housing and Urban Development set forth in 37 F. R. 22732-3 and all applicable rules and orders issued thereunder which prohibit the use of lead-based paint in residential structures undergoing Federally assisted construction or rehabilitation and require the elimination of lead-based paint hazards. Every contract or subcontract, including paint, pursuant to which such Federally assisted construction or rehabilitation is performed shall include appropriate provisions prohibiting the use of lead-based paint.

(F) **Architectural Barriers Act.** The design for and construction of any facility funded in whole or in part by this Contract shall be in conformance with the American Standard Specification for Making Buildings and Facilities Accessible and Usable by the Physically Handicapped, Number A-117.1-1971, as modified.

(G) **Relocation and Acquisition.** Any relocation or acquisition resulting from activities funded in whole or in part by this Contract shall be in conformance with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (40 U.S.C. 4601) and the implementing regulations 24CFR Part 42.

(H) **Prohibition Against Payments of Bonus or Commission.** The assistance provided under this Contract shall not be used in the payment of any bonus or commission for the purpose of obtaining Federal Agency approval for such assistance, or Federal Agency approval of applications for additional assistance, or any other approval or concurrence of a Federal Agency required under this Contract, Federal Law or Federal Regulations thereto; provided, however, that reasonable fees or bonafide technical, consultant, managerial or other such services, other than actual solicitation, are not hereby prohibited if otherwise eligible as project costs.

(I) **Hatch Act.** Where applicable, the Contractor will comply with the provisions of the Hatch Act which limits the political activity of the Contractor's employees.

Section 3

Definitions

(A) City means the City of Duluth, Contracting Officer, or other persons authorized to act on behalf of the City of Duluth.

(B) Contracting Officer is the delegated representative of the City who has the responsibility for administering the Project.

(C) Contractor means an entity, whether public or private, which furnishes (other than standard commercial supplies, office space or printing services) to the City, products, services or supplies as described in this project Contract.

(D) Federal Agency means the United States, the District of Columbia, and any executive department, independent establishment, administrative agency, or instrumentality of the United States or of the District of Columbia, including any corporation, all or substantially all of the stock of which is beneficially owned by the United States, by the District of Columbia, or by any of the foregoing departments, establishments, agencies, and instrumentalities. The term Federal Agency shall also include the person or persons authorized to act on behalf of said Federal Agency.

(E) Project means the activities to be undertaken by the Contractor as described in this Contract, which from time to time may be amended by mutual consent of the City and Contractor.

(F) Subcontractor means an entity, regardless of tier, which has entered into an agreement with the Contractor or another Subcontractor, to undertake certain Project activities as described in that agreement.

(G) The term labor standards, as used in the Contract, means the requirements of the Davis-Bacon Act, the Contract Work Hours and Safety Standards Act (other than those relating to safety and health), the Copeland Act, and the prevailing wage provisions of the other statutes listed in 20 CFR 5.1.

(H) Work means all labor necessary to produce the construction required by the Contract Documents, all materials and equipment incorporated or to be incorporated in such construction, products, services, or supplies required by the Contract Documents, or any other requirements set forth in the Contract.

(I) Additional Definitions, that are applicable to the Labor Standards provisions - Section 8 - of this Contract can be found in 29CFR5.2 as published by the U.S. Department of Labor and said definitions are hereby incorporated by reference into the provisions of this Contract.

Section 4

Environmental Provisions

(A) The Contractor agrees to follow the regulations, requirements, policies, goals and procedures set forth by the Council on Environmental Quality (CEQ) under provisions of the National Environmental Policy Act (NEPA) (Pub. L 91-190, 42 U.S.C. 4321 et seq.), Executive Order 11514, and 40 CFR Part 1500.

(B) **Historic Properties.** The Contractor agrees to follow the regulations, requirements, policies, goals, and procedures set forth under provisions of the National Historic Preservation Act of 1966 (Pub. L. 89-665); Preservation of Historic and Archeological Data Act of 1974 (Pub. L. 93-291); Executive Order 11593; 36 CFR , Part 800 and applicable State legislation or regulations.

(C) **Coastal Zones and Wetlands.** The Contractor agrees to follow the regulations, requirements, policies, goals and procedures set forth under provisions of the Coastal Zone Management Act of 1972 (Pub. L. 92-583) and applicable State legislation or regulations.

(D) **Noise.** The Contractor agrees to comply with provisions set forth in the U.S. Department of Housing and Urban Development Handbook 1390.2, Noise Abatement and Control, Department Policy, Responsibility and Standards, 1971.

(E) **Flood Plain.** The Contractor agrees to comply with the provisions set forth in the Flood Disaster Protection Act of 1973 (Pub. L. 93-234) and implementing regulations; Title 24, Chapter X, Subchapter B, National Flood Insurance Program, Executive Order 11296, and Executive Order 11988 relating to the evaluation of flood hazards.

(F) **Air Quality.** The Contractor agrees to comply with provisions set forth in the Clean Air Act (Pub. L. 90-148) and Clean Air Act Amendments of 1970 (Pub. L. 91-604); and applicable U.S. Environmental Protection Agency implementing regulations.

(G) **Water Quality.** The Contractor agrees to comply with the provisions set forth in the Federal Water Pollution Control Act (Pub. L. 92-500) and applicable U.S. Environmental Protection Agency implementing regulations, and Executive Order 11288 relating to the prevention, control, and abatement of water pollution.

(H) **Wildlife.** The Contractor agrees to comply with the provisions of the Fish and Wildlife Coordination Act (Pub. L. 85-264).

Section 5

Contract Compliance

(A) In the event of the Contractor's noncompliance with the provisions of this Contract or with any of the said regulations, the City may withhold payment(s) until evidence of compliance by the Contractor has been demonstrated, or the Contract may be canceled, terminated or suspended in whole or in part and the Contractor may be declared ineligible for further City contracts.

(B) In the event the Contract is terminated or canceled as a result of noncompliance with any of the provisions of this Contract, the City may subject to bids the remainder of the Project for which this Contract was made. The City shall have the right upon termination or suspension to withhold all further payments under this

Contract to the Contractor. Upon the award of a new contract for the remainder of the Project, the City shall pay to the Contractor an amount no more than the balance remaining due to the Contractor less the sum of the costs incurred by the City which are necessary in preparing the new bid specifications. In the event the amount paid the Contractor prior to the date of termination or cancellation exceeds the full amount of this Contract less the cost of the new contract and the additional costs mentioned above, the Contractor agrees to reimburse the City for such excess amount within ninety days after the new contract is awarded by the above procedures.

(C) Provisions contained in subparagraph (A) and (B) above shall not be interpreted as precluding any authorized Federal, State, or County governmental unit from exercising their legal administrative or other responsibilities in respect to the enforcement by said governmental units of laws or regulations concerning activities of the Contractor.

Section 6
Records

(A) **Establishment and Maintenance of Records.** Records shall be maintained in accordance with requirements prescribed by the Federal Agency or the City with respect to all matters covered by this Contract. Except as otherwise authorized by the Federal Agency, such records shall be maintained for a period of three years after receipt of final payment under this Contract.

(B) **Documentation of Costs.** All costs shall be supported by properly executed payrolls, time records, invoices, contracts, or vouchers, or other official documentation evidencing in proper detail the nature and propriety of the charges. All checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to this Contract shall be clearly identified and readily accessible.

Reports and Information

At such times and in such forms as the Federal Agency or the City may require, there shall be furnished to the Federal Agency or the City such statements, records, data and information as the Federal Agency or the City may request pertaining to matters covered by this Contract.

Audits and Inspection

At any time during normal business hours and as often as the City, the Federal Agency and/or the Comptroller General of the United States may deem necessary, there shall be made available to the City, the Federal Agency and/or representatives of the Comptroller General for examination of all its records with respect to all matters covered by this Contract and will permit the City, the Federal Agency and/or representative of the Comptroller General to audit, examine and make excerpts or transcripts from such records, and to make audits of all contracts, invoices, materials, payrolls, records of personnel, conditions of employment, and other data relating to all matters covered by this Contract.

Section 7

Conflict of Interest and Lobbying

(A) **Interest of Members, Officers, or Employees of the City, Members of Local Governing Body, or Other Public Officials.** No member, officer, or employee of the City, or its designees or agents, or member of the governing body of the City, during his/her tenure of for one year thereafter, shall have any interest, direct or indirect in any contract or subcontract, or the proceeds thereof, for work to be performed in connection with the Project assisted under this Contract. Any contract in which any of the above indicated individuals becomes directly or indirectly, interested, personally or as a member of a firm, or as an officer, director, or stockholder of a corporation, shall be and become absolutely void; and any money which shall have been paid on such contract by the City may be recovered back from any or all persons interested therein, by a joint action or several actions.

(B) The Contractor agrees that he will incorporate into every contract required to be in writing the following provisions: **Interest of Contractors and Employees** - The Contractor covenants that he presently has no interest and shall not acquire any interest, direct or indirect, in the Project which would conflict in any manner or degree with the performance of this Contract, and no person having any conflicting interest shall be employed. Any interest on the part of the Contractor or his employees must be disclosed to the Federal Agency and the City. Provided, however, that this paragraph shall be interpreted in such a manner so as not to unreasonably impede any statutory requirements that opportunity be provided for employment of and participation by certain residents of a designated geographical are, if applicable.

(C) **Interest of Member or of Delegate to Congress.** No member of or Delegate to Congress, or Resident Commissioner, shall be admitted to any share or part of this Contract or to any benefit that may arise therefrom, but this provision shall not be construed to extend to this Contract if made with a corporation for its general benefit.

(D) The Contractor by signing this document certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The above certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1332, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(E) The parties to this Contract certify and agree that they are under no contractual or other disability which would prevent them from complying with the terms of this Contract.

Section 8

Labor Standards - Physical Improvement Projects

Where applicable, there shall be included in all construction, rehabilitation, alteration or repair contracts with private entities made possible by or resulting from this Contract, the following Labor Standards provisions;

(A) **General Requirements.**

(1) **Subcontracts.** The Contractor shall include in any subcontract the clauses set forth in Section 8, **Labor Standards**, in their entirety and also a clause requiring the subcontractors to include these clauses in any Tower tier subcontract which they may enter into, together with a clause requiring this insertion in any further subcontracts that may in turn be made.

(2) The transporting of materials and supplies to or from the site of the Project or Program to which this Contract pertains by the Employees of the Contractor or of any subcontractor, and the manufacturing or furnishing of materials, articles, supplies, or equipment on the site of the Project or Program to which this Contract pertains by persons employed by the Contractor or by any subcontractor, shall for the purpose of this Contract, and without limiting the generality of the foregoing provisions of this Contract, be deemed to be work to which these **Labor Standards** provisions are applicable.

(3) No person under the age of eighteen years shall be employed on work covered by this Contract.

(4) In connection with the performance of work under this Contract, the Contractor agrees not to employ any person undergoing sentence of imprisonment except as provided by Public Law 89-176, September 10, 1955 (18 U.S.C. 4082 (c) (2)) and Executive Order 11755, December 29, 1973.

(5) The Contractor will permit authorized representatives of the Federal Agency and the City to interview employees during working hours on the job.

(6) No employee to whom the wage, salary, or other **Labor Standards** provisions of this Contract are applicable shall be discharged or in any other manner discriminated against by the Contractor or any subcontractor because such employee has filed any complaint or instituted or caused to be instituted any proceeding or has testified or is about to testify in any proceeding under or relating to the Labor Standards applicable under this Contract to his employer.

(B) **Safety Standards.** No Contractor or subcontractor contracting for any part of a construction contract shall require any laborer or mechanic, including apprentices and trainees, employed in the performance of the Contract to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous to his health or safety, as determined under construction safety and health standards promulgated by the Secretary of Labor. The Contractor or subcontractor comply with all the rules, regulations, and relevant orders, promulgated by the Secretary of Labor pursuant to Public Law 91-54.

(C) **Davis-Bacon Act - 29 CFR 5.5**

web site: http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title29/29cfr5_main_02.tpl

Refer to Section 10, Page 10 Housing and Urban Development (HUD) form-4010 (06/2009) Ref Handbook 1344.1

City of Duluth "Mini Davis-Bacon"

(D) **City of Duluth - Minimum Wage Ordinance 8940, as Amended.**

(1) On a project (as defined below) funded in whole or in part by federal and/or state funds and/or city of Duluth funds, these local provisions shall prevail in those instances where the requirements of the local provisions are equal to or greater than similar minimum labor standards provisions as set forth in applicable federal and/or state laws and regulations.

(2) In all contracts in excess of \$2,000 for projects (as defined below), the Contractor's particular attention is called to Ordinance 8940, effective June 8, 1989, respectively coded as Article IV of Chapter 2 of the Duluth City Code, and entitled "An Ordinance Pertaining to Wages and Working Hours of Persons on Public Works in the City of Duluth", as set forth below:

(3) **Definitions.**

For the purposes of this section the following words and phrases shall have the meanings respectively ascribed to them in this section:

(a) **Basic hourly rate** - The hourly wage paid to any employee.

(b) **Prevailing wage rate** - The basic hourly rate plus fringe benefits prevailing in the city of Duluth as determined by the United States secretary of labor pursuant to the Davis-Bacon act, as amended; provided that whenever employer and employee organizations employing and representing a majority of a class of workers in a particular industry within the city jointly certify that the prevailing basic hourly rate plus fringe benefits of such workers differs from the amount determined by the secretary of labor, the certified rate shall be considered to be the prevailing wage rate for such class of workers in that industry.

(c) **Fringe benefits** - Employer contribution for health and welfare benefits, vacation benefits, pension benefits, and all other economic benefits other than the basic hourly rate.

(d) **Apprentice** - An employee who is working under a training program which is approved either by the U.S. Department of Labor Bureau of Apprenticeship & Training or the Minnesota Director of Voluntary Apprenticeship; see apprentice ratios on pages 6-7 and HUD 4010 in Section 10.

(e) **Trainee** - An employee registered with the U. S. Department of Labor Employment & Training Administration; see HUD 4010 in Section 10.

(f) **Project** - Erection, construction, demolition, painting, remodeling or repairing of any public building, highway, sidewalk, bridge, water or gas line, sewer and sewage treatment facility or other public work performed under contract with the city.

(g) **Labor, mechanic** - All persons utilized, employed or working on a project who are doing work usually done by mechanics and laborers, including proprietors, partners, and members of cooperatives.

(4) **Wage Rates and Hours for City of Duluth Projects.**

(a) Any contract which provides for a project of estimated total cost of over \$2,000.00 shall contain a stipulation that no laborer, mechanic or apprentice-trainee employed directly upon the project work site by the contractor or any subcontractor shall be permitted or required to work at a rate of pay less than the prevailing wage rate; nor shall any such employee be permitted or required to work more than 8 hours in any work day **OR** 40 hours in any work week unless he is paid at a rate of at least 1½ times the basic hourly rate for all hours in excess of 8 per day **OR** 40 per week [in other words: all hours in excess of eight per day and all hours after 40 per week] and unless he receives fringe benefits that are at least equal to those in the prevailing wage rate; provided that whenever employer and employee organizations employing and representing a majority of a class of workers in a particular industry within the city jointly certify that the maximum number of hours that such persons may work under existing labor agreements before overtime wages must be paid differs from the hours specified in this paragraph, the maximum number of hours specified in such labor agreements shall be substituted for those specified above in applying the provisions of this paragraph to such workers.

(b) The word "or" in the state statute and the city of Duluth Code refers to the number of hours worked in any one week or, in the alternative, the number of hours worked in any one day in the week (the days in one week being totaled for reporting purposes); the law requires use of the alternative which results in the higher number of overtime hours for each employee whose time is being reported.

EXCEPTIONS: Federal government funding only and HUD (Housing and Urban Development) funding - see point "e"

In summary, if a project is solely funded with city of Duluth monies, city ordinance 8940 as amended allows the employees to work four ten-hour days and be paid at the regular hourly rate for those ten hours; exceeding hours must be paid at the overtime rate. An employer may not withhold overtime payment exclusively until 40 hours per week have been worked. Daily overtime must be paid as it is earned.

- **The base workweek hours must be clearly indicated on each payroll. Employees may be assigned a different workweek; however, that must be clearly marked beside the employees' names.**

The following are examples of how these rules apply to different situations.

- TT refers to the total time worked on the day or in the week
- RT refers to the hours worked at the regular rate of pay (straight time)
- OT refers to the hours worked for which overtime must be paid

	State Funded with or without federal funding Projects								City-only Funded Projects (4 ten-hour days)						
	Mon	Tues	Wed	Thurs	Fri	Sat	Total		Mon	Tues	Wed	Thurs	Fri	Sat	Total
TT	10	10	10	10	0	6	46		10	10	10	10	0	6	46
RT	8	8	8	8	0	6	38		10	10	10	10	0	0	40
OT	2	2	2	2	0	0	8		0	0	0	0	0	6	6

	State Funded with or without federal funding Projects								City-only Funded Projects (4 ten-hour days)						
	Mon	Tues	Wed	Thurs	Fri	Sat	Total		Mon	Tues	Wed	Thurs	Fri	Sat	Total
TT	0	10	10	0	7	0	27		10	0	12	0	0	0	32
RT	0	8	8	0	7	0	23		10	0	10	10	0	0	30
OT	0	2	2	0	0	0	4		0	0	2	0	0	0	2

c) Overtime Calculations

Minnesota Statutes Chapter 177.42, subd 4 specifies that the prevailing hours of labor may not be more than eight hours per day or more than 40 hours per week (as stated above in (b)), the City of Duluth does allow for ten hours per day/40 hours per week with City funding *only*. **Example: hours exceeding eight per day are paid at 1.5 times the rate in the contract's wage decision OR the base rate the employee is being paid if it is higher than the required base rate; once 40-hours in any one week are attained, all hours exceeding that 40 are paid at 1.5 times the rate in the project contract's wage decision.** See example (1) and (2) below.

Minnesota Statutes Chapter 177.42, subd 5 defines the hourly basic rate as the hourly wage paid to any employee. (subd 6): The prevailing wage rate means the hourly basic rate of pay plus the contribution for health and welfare benefits, vacation benefits, pension benefits, and any other economic benefit paid to the largest number of workers engaged in the same class of labor within the area...

Minnesota Statutes Chapter 177.43, subd 1 (1) ...employees are permitted to work more hours than the prevailing hours of labor [being] paid for all hours in excess of the prevailing hours at a rate of at least 1-½ times the hourly basic rate of pay. (2) A laborer or mechanic may not be paid a lesser rate of wages than the prevailing wage rate in the same or most similar trade or occupation in the area.

An employer may pay a lower regular time/straight time hourly rate and higher fringe benefit rate--to a bona fide plan--than stated in the contract's wage decision providing the total of the two rates is equal to or greater than the total in the wage decision; however, the OVERTIME rate must be paid on the higher rate in the contract's wage decision.

(1) Overtime Calculation with Fringe Benefits Paid to Bona Fide Plans

For overtime purposes, an employer paying higher fringe benefits to a bona fide plan and paying a lower hourly rate **MUST** calculate the overtime on the higher hourly rate as stated in the project contract's wage decision. The fringe benefit amount may be reduced to reflect any increase in the total prevailing wage package IF the plan administrator permits such a reduction. This acceptance must be verified in writing by the plan administrator and attached to the appropriate certified payroll report.

(2) Overtime Calculation with Cash Payment of Fringe Benefits

When the fringe benefit is paid directly to an employee, the prevailing base rate and the fringe benefit rate as established in the project contract's wage decision for a specific classification are totaled to arrive at the hourly rate. *Overtime is calculated at 1.5 x the base rate of the wage decision with the fringe benefit amount added to that rate: base rate of the wage decision x 1.5 + fringe benefit rate = overtime rate.*

Contract Work Hours and Safety Standards Act

[Refer to page two of this document.] All projects valued at \$100,000 or greater are subject to this Act. As with Minnesota Statutes Chapter 177.43, the overtime rate is calculated as in items one and two above OR (e) below.

- (d) A contractor shall not reduce a worker's private, regular rate of pay when the wage rate certified by the U. S. Department of Labor or the Minnesota Department of Labor & Industry is less than the worker's normal hourly wage [Minnesota Statute 181.03 subdivision 1(2)].

(e) **Regular Time & Overtime Definitions**

- **State of Minnesota** funded projects with or without federal funding *only allow for five eight-hour days per week at regular time*. Overtime is calculated at a rate not less than time and one-half (1.5) of the prevailing base rate as stated in the wage decision OR the base rate the employee is being paid if it is higher than the required base rate--plus the straight time fringe benefit amount. (see (1) above for example when a lower base rate and higher fringe are paid)
- **City of Duluth** funded projects do permit four ten-hour work days at regular time--see point 4-a, b for stipulations. Overtime is calculated at a rate not less than time and one-half (1.5) of the prevailing base rate as stated in the wage decision--OR the base rate the employee is being paid if it is higher than the required base rate--plus the straight time fringe benefit amount. (see (1) above for example when a lower base rate and higher fringe are paid)
- **Federal** funded only projects allow overtime pay for hours worked in excess of 40 in a workweek at a rate not less than time and one-half (1.5) of the prevailing base rate as stated in the wage decision OR the base rate the employee is being paid if it is higher than the required base rate--plus the straight time fringe benefit amount.
- **HUD** funded projects allow overtime pay for hours worked in excess of 40 in a workweek at a rate not less than time and one-half (1.5) of the prevailing base rate as stated in the wage decision OR the base rate the employee is being paid if it is higher than the required base rate--plus the straight time fringe benefit amount.

** When a combination of funding sources are included in any one project, the most strict requirements will apply.

- (f) The minimum hourly prevailing wages are contained in each project specification. When both federal (general decision rates from the U. S. Department of Labor) and State of Minnesota prevailing wages for state funded construction projects from the Minnesota Department of Labor and Industry are used, the prime contractor and all subcontractors including trucking operations, are required to pay the higher of the two wages for all laborers and mechanics [MnDOT Contract Administration Manual, Section 5-591.320].
- (g) The prime contractor and any lower-tier subcontractor shall review all wage decisions and compensate a worker according to the type of work performed and at the rate that is the greatest.
- (h) State of Minnesota prevailing wages typically list two rates for each classification with two effective dates. Should any City of Duluth contract continue to and past the second effective date, that rate and fringe benefit will be in effect through the remainder of the project.
- (i) **Mn/DOT Statement of Compliance is required on all city of Duluth construction projects (regardless of the project funding source) with each weekly certified payroll report.** web site: <http://dot.state.mn.us/const/labor/forms.html>
- (j) All contracts for city projects shall have applicable schedules of prevailing wage rates set forth in the contract. Schedules of applicable prevailing wage rates shall be posted on all project job sites for public review and shall be protected from the weather.
- (k) Employees on projects shall be paid at least **weekly**. Fringe benefits shall be paid either in cash or to an employee benefit plan that has been approved by the U.S. Department of Labor. ■ **The fringe benefit package is an integral portion of the prevailing wage. Should the prime contractor or any subcontractor (regardless of tier) become delinquent with any fringe benefit plan administrator's requirements for monthly payment, the monthly estimate(s) may be withheld until the plan payments are made current.** (city ordinance 8940 6-18-89 plus amendments)
See MnDOT Specification 1906 on page nine and Section 5 of this document: Contract Compliance.
See Statement of Compliance and Certified Payroll Report requirements in Section 10, HUD 4010 and web sites in Section 14, Forms.
- (l) Any contractor or subcontractor working on a project shall furnish the City with **original** certified payroll reports with **original signatures** relating to the project. Such certified payroll reports shall be **submitted weekly** on U.S. Department of Labor standard forms (WH-347) or their equivalent--using the same format--to the City of Duluth Labor Standards representative. All City of Duluth funded projects must have the base workweek hours indicated on the certified payroll form and/or beside each employee's name (should some employees be working different base workweeks).
- (m) No contractor or subcontractor working on a project shall evade or attempt to evade the provisions of this section through the use of non-recognized training programs. The only employees involved in training programs that shall be allowed to work on projects covered by this section shall be apprentice-trainees as defined by this article.
- (n) Any person violating the provisions of this section shall be guilty of a misdemeanor with each day of violation constituting a separate offense. In addition, if the prevailing wage rate and accompanying fringe benefit rate is not paid to employees working on a project, the City of Duluth may withhold contract payments to the prime contractor until such deficiencies are corrected. Should fringe benefits be paid to authorized Plans, the payments must be made within the demands of those Plans. Delinquencies may result in withholding of project funds to the prime contractor.
- (o) This section shall not apply to contracts for projects where the total cost of the project is less than \$2,000.00; nor to materialmen who do no more than deliver materials to the work site, **except** that this section shall apply to employees who deliver asphalt, concrete or mineral aggregate such as sand, gravel or stone where such material is incorporated into the project by depositing the material substantially in place, either directly or through spreaders, from the transporting vehicle.

(5) **Helpers**

A helper may perform work *only* if the helper classification is specified and defined in the federal wage decision and/or State of Minnesota wage decision incorporated into the project contract. Without such a helper classification, the contractor must assign a job classification that is the "same or most similar" [Minnesota Statute 177.44, subdivision 1] and compensate the helper for the actual work performed regardless of the helper's skill level.

(6) **Apprentice Ratios**

Journeyworkers must be on site with the apprentices and their hours must match.

FUNDING SOURCE:

City of Duluth and State of Minnesota with or without Federal funding

- Apprentices are not permitted to work alone under any circumstances.
- Working foremen are acceptable as a journeyworker PROVIDING he/she is in the same classification.
 - » Example: carpenter foreman and carpenter apprentice
- Ratios are determined by the trade's labor agreement.
- In the absence of ratio language, the following State of Minnesota apprenticeship ratios will be applied:
(apprentice : journeyworker) 1:1 2:4 3:7 4:10, etc.

- Employees working in excess of the allowable ratio must be paid the full journeyworker compensation.
- Out-of-ratio apprentices will be calculated beginning with the **apprentice at the highest level of training** and, then, to less senior apprentices in their rank order.
- Should two or more out-of-ratio apprentices have the same level of training, whomever was on the work site first will receive journeyworker pay; if the apprentices at the same level of training began work on the project site at the same time, hours worked out-of-ratio for which restitution is due will be divided among those apprentices.

Examples:

Four apprentices working unsupervised are on site. [4:0]
 Ratio calls for four apprentices and ten journeyworkers [4:10]

Correction: all apprentices will receive the full journeyworker compensation as apprentices are not permitted to work alone.

Three apprentices and two journeyworkers are on site. [3:2]
 Ratio calls for three apprentices and seven journeyworkers [3:7]

Two journeyworkers may accompany only one apprentice; therefore, the two highest level apprentices are paid the full journeyworker compensation.

Even though this particular job has three apprentices—the second journeyworker is a mute point; a third journeyworker would also be a mute point in this example.

Correction: the two highest level apprentices are paid the full journeyworker compensation and the third lower level apprentice is considered in ratio.

H U D (CDBG) and Federal funding only

- Apprentices are not permitted to work alone unless the U. S. Department of Labor-approved agreement allows that practice.
- Working foremen are acceptable as a journeyworker PROVIDING he/she is in the same classification.
 - » Example: electrician foreman and electrician apprentice
- Ratios are determined by the trade's U. S. Department of Labor-approved agreement.
- In the event of the absence of ratio language in the applicable agreement, the Minnesota Department of Labor ratio of one apprentice for the first journeyworker and one apprentice for each three journeyworkers thereafter will be applied, (i.e., 1:1, 2:4, 3:7, 4:10, etc.).
- The **legal apprentices are those who first came to work on the job site**; in the event that all apprentices begin work on the project site at the same time, hours worked out-of-ratio for which restitution is due will be divided among the apprentices.
- Time cards will be required to substantiate the start times.
- Employees working in excess of the allowable ratio—or for which U. S. Department of Labor-apprentice agreement/certificate is not provided—must be paid the full journeyworker compensation.

Examples:

Four apprentices and one journeyworker are on site. [4:1]
 Ratio calls for four apprentices and ten journeyworkers. [4:10]

The first apprentice on site is considered in ratio as one journeyworker may only accompany one apprentice [1:1]; this particular job has four apprentices.

Correction: the second through the fourth apprentices coming on site are paid the full journeyworker compensation.

Six apprentices and two journeyworkers are on site [6:2]
 Ratio calls for six apprentices and sixteen journeyworkers [6:16]

The first apprentice on site is considered in ratio as two journeyworkers may only accompany one apprentice; this particular job has six apprentices—the second journeyworker is a mute point.

Correction: the second through sixth apprentices coming on site are paid the full journeyworker compensation.

(7) Poster Boards

The prime contractor must construct and display a poster board, which contains all required posters, is legible and is accessible to all workers from the first day of work until the project is 100% complete. Posters must be protected from the weather. Prime contractors are not allowed to place a poster board at an off-site facility location.

(8) Trucking Issues

a) For the purpose of sections seven and eight, the term “owner” includes all persons having an ownership interest in the trucking entity or a partnership interest in the trucking entity and has a legal and rightful title to the vehicle(s) or has an approved lease on the vehicle(s). “Operate” means the owner either physically drives the vehicle or hires another to physically drive the vehicle; yet, maintains the right to direct the day-to-day operations of the vehicle.

b) Trucking Operations Definitions: See MN Rule 5200.1106 web site: <https://www.revisor.mn.gov/rules/?id=5200.1106>

Independent Trucking Operator: an individual or partnership who owns or holds a vehicle under lease and who contracts that vehicle and the owner's services to an entity which provides construction services to a public works project. The individual owns or leases and drives the equipment, is responsible for the maintenance of the equipment, bears all operating costs, determines the details and means of performing the services, and enters into a legally binding agreement that specifies the relationship to be that of an independent contractor and not that of an employee.

Multiple Truck Operations: any legal business entity that owns more than one vehicle and hires the vehicles out for services to brokers or contractors on public works projects. The owners of a trucking firm may either drive the vehicles or hire employees to drive the vehicles. Employee drivers are subject to the appropriate prevailing wage rate. The owner driving a vehicle is obligated to account for the value of his/her services as a driver at the appropriate prevailing wage.

Partnerships: a legal business entity where two or more individuals hold vehicles under lease and contract those vehicles and their services to an entity which provides construction services to a public works project. The partners own or lease the equipment, are responsible for maintenance and all operating costs, drive the equipment, determine the details and means of performing the services, and enter a legally binding agreement that specifies the

relationship to be that of a partner and not that of an employee. All partners are subject to the appropriate prevailing wage per city of Duluth ordinance 8940 as amended.

Corporation: any legal business entity that owns or leases vehicles to provide construction services to public works projects. All individuals are employees of the corporation and subject to the appropriate prevailing wage regardless of title or position.

Broker: an individual or firm who (activities include, but are not limited to):

- contracts to provide trucking services [equipment and driver] in the construction industry to users of such services, such as prime contractors and various subcontractors of the prime;
- contracts to obtain services from other trucking operations and dispatches them to various assignments;
- receives payment from the users (such as prime contractors and various subcontractors) in consideration for the trucking services provided; and
- makes payment to the providers (trucking operations so contracted with) for their services.

(9) **Specific documentation from trucking operations.**

Independent Trucking Operators

The owner/operator of a truck must submit a copy of his/her commercial driver's license (CDL), cab card, and insurance certificate for each truck the owner/operator drives on each construction project *before commencing work on that project*. These documents must be sent to the prime contractor who will then forward the material to Labor Standards, Engineering Division at the City of Duluth.

Multiple Truck Operators

Weekly certified payrolls and payment of corresponding prevailing wages plus the fringe benefit package will be required for each project where trucks are operating. This covers the owner plus all employees performing work on the project.

Partnerships

Weekly certified payrolls and payment of corresponding prevailing wages plus fringe benefit packages will be required for each project where trucks are operating. This covers all partners of the organization who perform work on the project.

Each partner performing work on a project must submit a copy of his/her commercial driver's license (CDL), cab card, and insurance certificate for the truck being operated with that weekly certified payroll. It is not necessary to repeat such supporting documentation until a different truck is used and/or certificates or licenses have expired.

Employees of the partnership are always reported on a weekly certified payroll and paid the appropriate prevailing wage plus fringe benefit package for the work being performed.

Corporations

All persons employed by the corporation are subject to receive payment of the prevailing wage plus the fringe benefit package for the work performed on a project regardless of title or position. Weekly certified payrolls must be submitted for all work performed on the project.

Brokers

Truck ownership and a **bonafide contract** between the broker and another trucking operation, a prime contractor, or a subcontractor must be identified. Paperwork must be submitted with the month end trucking report to the city of Duluth Labor Standards representative - Engineering. Certified payrolls are not required when the above documentation is provided and approved.

(10) **Month End Trucking Report - ONLY REQUIRED WITH STATE OF MINNESOTA FUNDING**

The Minnesota Department of Transportation Month End Trucking Report Form A and Form B plus Minnesota Department of Transportation Month End Trucking Report Statement of Compliance are *only required on state funded projects*.

A guide for completing the forms including definitions and the reports, themselves, may be downloaded from:

www.dot.state.mn.us/const/labor/forms.html

Payment to the prime contractor may be withheld until documentation is received and approved.

(11) **Truck Rental Rates - ONLY REQUIRED WITH STATE OF MINNESOTA FUNDING**

Truck rental rates are listed in the prevailing wage section of the project specifications.

(12) **Minnesota Rules 5200.1105 and 5200.1106**

These rules are incorporated into this supplementary general conditions part II by reference and are found on these web sites:

www.revisor.mn.gov/rules/?id=5200

(13) **Truck Axles** web site: <https://www.revisor.mn.gov/rules/?id=5200.1100>

Per Minnesota Rules 5200.1100 Master Job Classifications, a truck "unit" refers to all axles including the steering axle. A tag axle is also counted as one of the axles. Examples: four rear axles plus one steering axle = five axles total one rear axle plus one steering axle = two axles total

(14) **Non-Compliance and Enforcement**

- a) The prime contractor shall be liable for any unpaid wages to its workers or those of its lower-tier subcontractors, trucking companies/Multiple Truck Owners (MTO's) and/or Independent Truck Owner/Operator (ITOs) [MnDOT Standard Specifications for Construction, Section 1801].
- b) See Section 9, MnDOT Specification 1906 Partial Payments and Section 5, page two of this document.
- c) City of Duluth ordinance 8940 as amended.

(15) **IC-134 form - Withholding Affidavit for Contractors**

The IC-134 form will be required from all Multiple Truck Operators, Partnerships, and Corporations performing trucking services on a project before the retainage or all remaining funds can be released. Web site for completing form online: www.mndor.state.mn.us

The form, itself, is found at: and www.taxes.state.mn.us/Forms_and_Instructions/ic134.pdf

(16) **Owners, Supervisors, Foremen listed on certified payrolls.**

All persons working on a City of Duluth project including owners, partners, supervisors, salaried persons, and working foremen who perform laborer and/or mechanic work shall be reported on the weekly certified payroll reports including all data required of any laborer or mechanic. (ordinance 8731, 6/24/85 and 8940 as amended).

(17) **Supporting documentation.**

At his/her discretion, the City of Duluth employee responsible for prevailing wage labor standards may demand proof of payment of the prevailing wage which may include copies of a payroll register, itemized time sheet and matching cancelled check, or any other supporting documents as stipulated. Payment to the prime contractor may be withheld until documentation is received and approved.

(18) **Kickbacks from Public Works employees prohibited.**

No contractor working on a project or other person shall, by force intimidation, or threat of termination of employment, cause any employee working on a project to give up any part of the compensation to which he is entitled under his contract of employment.

Section 9
Minnesota Department of Transportation Specification 1906 Partial Payments
Process For "Withholding Contract Monies" and "Default and Termination of a Contract" 11/5/04

Mn/DOT Specification 1906 Partial Payments describes the Commissioner's authority to withhold funds to protect the Department's interests. In addition, Specification 1808 Default and Termination of a Contract describes the Commissioner's authority to take the prosecution of the work out of the hands of the Contractor.

Additionally, on projects funded in whole or part with federal funds and in accordance with the Required Contract Provisions Federal-Aid Construction Contracts Form – 1273, Section IV, Subpart 6, "Withholding", incorporated into federal aid contracts, the Contracting Officer may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment, advance or guarantee of funds until such violations have ceased.

However, the Department must give the Contractor, and its Sureties due notice prior to exercising these authorities. The withholding of contract funds, in accordance with Specification 1906 or the Required Contract Provisions Federal-Aid Construction Contracts Form – 1273, Section IV, Subpart 6, "Withholding", should be implemented as soon as a possible prevailing wage violation is recognized. However, Default and Termination of a Contract, in accordance with Specification 1808, should only be exercised as a "last resort" if the Contractor is not willing to comply.

Definitions

(Mn/DOT Standard Specifications for Construction 2000 Edition, Section 1103)

Commissioner: The Commissioner of the Minnesota Department of Transportation, or the chief executive of the department or agency constituted for administration of Contract work with its jurisdiction.

Contractor: The individual, firm or corporation Contracting for and undertaking prosecution of the prescribed work; the party of the second part to the Contract, acting directly or through a duly authorized representative.

Department: The Department of Transportation or the State of Minnesota, or the political subdivision, governmental body, board, commission, office, department, division, or agency constituted for administration of the Contract work within its jurisdiction.

(Form 1273 - 29 CFR, Part 5.1, Definitions)

Contracting Officer: The individual, a duly appointed successor or authorized representative who is designated and authorized to enter into Contracts on behalf of the Federal Agency and/or the City of Duluth.

Important Considerations

1. Upon completion of the work under a contract, the department should consider issuing the final voucher as soon as possible. Failure to finalize a contract expeditiously could result in subsequent claims that would prevent the department from finalizing the contract. However, before the issuance of the final voucher, the department must be able to ensure that the terms of the contract have been satisfied. Failure on the part of the department to ensure compliance could result in the Mn/DOT state aid division retaining funds from the department in accordance with *Minnesota Rules 8820.3000, subpart 5*.
2. On every contract, the department should withhold the final retainage in accordance with the following guidelines: (1) if the total amount of the contract is \$1,000,000 or more, the department should retain funds not more than \$50,000, (2) if the total amount of the contract is less than \$1,000,000, the department should retain 5% of the total contract, (3) retainage should be withheld until the department can ensure that the contractor has met the terms of the contract or until the finalization of the contract.
3. This guide specifies that the department verbally notify the bonding company early in the process. Generally, as a "rule of thumb", notifying the bonding company is usually the "last resort". However, the justification for the early notification is related to the language found in *Minnesota statute 574.31, subdivision 2*, which summarizes that if an individual or the department does not submit a claim on the payment bond within 120 days after the completion of work under the contract, the claim can be denied.

The following are general guidelines that should be followed prior to placing a Contractor in default:

- Step 1: Upon verbal or written notification that a possible prevailing wage violation exists, the Department should give written notice to the Contractor regarding the nature of the claim, along with the Department's intent to withhold monies until the claim is investigated and determined to be in compliance. Additionally, the Department should inform the Contractor that the bonding company has been verbally notified of the claim. Please be aware, the Department should ensure employee confidentiality at all times.
- Step 2: Upon a preliminary determination surrounding the financial extent of the claim, the Department should consider retaining a "reasonable" portion of one or more partial estimates in accordance with Mn/DOT's 2000 Standard Specifications for Construction, Section 1906; or on federal aid contracts, in accordance with the Required Contract Provisions Federal-Aid Construction Contracts Form – 1273, Section IV, Subpart 6, "Withholding".
- Step 3: If it is determined that the claim is valid, the Department should schedule a meeting with the Contractor and attempt to resolve the matter. If the claim is determined to be invalid, the Department should release any partial estimates that may have been held as a result of the claim. However, the Department should continue to withhold the final retainage in accordance with the above-mentioned: *Important Considerations, 2*.
- Step 4: If resolution cannot be obtained through a meeting, the Department should order the Contractor, in writing, to complete their obligations under the contract. The letter should clearly state the circumstances under which the Department has deemed that the Contractor has not met the terms of the contract. Additionally, the Department should include a reasonable deadline for this obligation to be completed. A copy of this letter should be forwarded to the Surety, District State Aid Engineer (DSAE), Labor Compliance Unit and the Department's Attorney.
- Step 5: In the event that the Contractor does not respond to the Department's written order, the Department should send a similar letter, requesting that the Contractor respond immediately, in writing, regarding the Contractor's intention to comply or not comply with the order. A copy of this letter should be forwarded to the Surety, District State Aid Engineer (DSAE), Labor Compliance Unit and the Department's Attorney.
- Step 6: If the Department still does not get a proper response from the Contractor, the Department should write another letter, addressed to both the Contractor and the Surety, specifying all the facts of the alleged breach, demanding that the Contractor, or its Surety, respond satisfactorily within 10 days or the Department may exercise its authority to Default and Terminate the Contract in accordance within/DOT's 2000 Specifications for Construction, Section

1808. It's important to provide sufficient detail so that the Surety understands the situation. This notification should be sent by certified mail. A copy of this letter should be forwarded to the Surety, District State Aid Engineer (DSAE), Labor Compliance Unit and the Department's Attorney.

Step 7: If the Contractor or Surety is unresponsive after 10 days, the Department should consult with their attorney to consider proceeding with Default and Termination of the Contract.

Step 8: Upon termination of the contract, the Department provides a written order to the Surety, requiring the Surety to bring resolution to the prevailing wage violation.

Step 9: The Department places the Contractor on a Non-Responsible Bidder's List and rejects any future awards.

Section 10

Federal Labor Standards Provisions U.S. Department of Housing and Urban Development Office of Labor Relations
Previous editions are obsolete Page 1 of 5 form HUD-4010 (06/2009) ref. Handbook 1344.1

Applicability

The Project or Program to which the construction work covered by this contract pertains is being assisted by the United States of America and the following Federal Labor Standards Provisions are included in this Contract pursuant to the provisions applicable to such Federal assistance.

A. 1. (i) Minimum Wages. All laborers and mechanics employed or working upon the site of the work, will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR Part 3), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under Section l(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of 29 CFR 5.5(a)(1)(iv); also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs, which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period.

Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under 29 CFR 5.5(a)(1)(ii) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible, place where it can be easily seen by the workers.

(ii) (a) Any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. HUD shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(b) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and HUD or its designee agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by HUD or its designee to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, D.C. 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB control number 1215-0140.)

(c) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and HUD or its designee do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), HUD or its designee shall refer the questions, including the views of all interested parties and the recommendation of HUD or its designee, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

(d) The wage rate (including fringe benefits where appropriate) determined pursuant to subparagraphs (1)(ii)(b) or (c) of this paragraph, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part Previous editions are obsolete Page 2 of 5 form HUD-4010 (06/2009) ref. Handbook 1344.1 of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

2. Withholding. HUD or its designee shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract In the event of failure to pay any laborer or mechanic, including any apprentice, trainee or helper, employed or working on the site of the work, all or part of the wages required by the contract, HUD or its designee may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased. HUD or its designee may, after written notice to the contractor, disburse such amounts withheld for and on account of the contractor or subcontractor to the respective employees to whom they are due. The Comptroller General shall make such disbursements in the case of direct Davis-Bacon Act contracts.

3. (i) Payrolls and basic records. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in Section I(b)(2)(B) of the Davis-bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5 (a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in Section I(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs. (Approved by the Office of Management and Budget under OMB Control Numbers 1215-0140 and 1215-0017.)

(ii) (a) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to HUD or its designee if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant sponsor, or owner, as the case may be, for transmission to HUD or its designee. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i) except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/whd/wh347.pdf> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to HUD or its designee if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant sponsor, or owner, as the case may be, for transmission to HUD or its designee, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this subparagraph for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to HUD or its designee. (Approved by the Office of Management and Budget under OMB Control Number 1215-0149.)

(b) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be provided under 29 CFR 5.5 (a)(3)(ii), the appropriate information is being maintained under 29 CFR 5.5(a)(3)(i), and that such information is correct and complete;

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(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in 29 CFR Part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(c) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by subparagraph A.3.(ii)(b).

(d) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under subparagraph A.3.(i) available for inspection, copying, or transcription by authorized representatives of HUD or its designee or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, HUD or its designee may, after written notice to the contractor, sponsor, applicant or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

4. Apprentices and Trainees.

(i) Apprentices. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding

journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by Previous editions are obsolete; Page 4 of 5 form HUD-4010 (06/2009) ref. Handbook 1344.1

the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) Equal employment opportunity. The utilization of apprentices, trainees and journeymen under 29 CFR Part 5 shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.

5. Compliance with Copeland Act requirements. The contractor shall comply with the requirements of 29 CFR Part 3 which are incorporated by reference in this contract

6. Subcontracts. The contractor or subcontractor will insert in any subcontracts the clauses contained in subparagraphs 1 through 11 in this paragraph A and such other clauses as HUD or its designee may by appropriate instructions require, and a copy of the applicable prevailing wage decision, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in this paragraph.

7. Contract termination; debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

8. Compliance with Davis-Bacon and Related Act Requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR Parts 1, 3, and 5 are herein incorporated by reference in this contract

9. Disputes concerning labor standards. Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR Parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and HUD or its designee, the U.S. Department of Labor, or the employees or their representatives.

10. (i) Certification of Eligibility. By entering into this contract the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1) or to be awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1) or to be awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001. Additionally, U.S. Criminal Code, Section 1 01 0, Title 18, U.S.C., "Federal Housing Administration transactions", provides in part: "Whoever, for the purpose of . . . influencing in any way the action of such Administration.... makes, utters or publishes any statement knowing the same to be false..... shall be fined not more than \$5,000 or imprisoned not more than two years, or both."

11. Complaints, Proceedings, or Testimony by Employees. No laborer or mechanic to whom the wage, salary, or other labor standards provisions of this Contract are applicable shall be discharged or in any other manner discriminated against by the Contractor or any subcontractor because such employee has filed any complaint or instituted or caused to be instituted any proceeding or has testified or is about to testify in any proceeding under or relating to the labor standards applicable under this Contract to his employer.

B. Contract Work Hours and Safety Standards Act. The provisions of this paragraph B are applicable where the amount of the prime contract exceeds \$100,000. As used in this paragraph, the terms "laborers" and "mechanics" include watchmen and guards.

(1) Overtime requirements. No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which the individual is employed on such work to work in excess of 40 hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of 40 hours in such workweek.

(2) Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in subparagraph (1) of this paragraph, the contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in subparagraph (1) of this paragraph, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by the clause set forth in sub paragraph (1) of this paragraph.

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(3) Withholding for unpaid wages and liquidated damages. HUD or its designee shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contract, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act which is held by the same prime contractor such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in subparagraph (2) of this paragraph.

(4) Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in subparagraph (1) through (4) of this paragraph and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in subparagraphs (1) through (4) of this paragraph.

C. Health and Safety. The provisions of this paragraph C are applicable where the amount of the prime contract exceeds \$100,000.

(1) No laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his health and safety as determined under construction safety and health standards promulgated by the Secretary of Labor by regulation.

(2) The Contractor shall comply with all regulations issued by the Secretary of Labor pursuant to Title 29 Part 1926 and failure to comply may result in imposition of sanctions pursuant to the Contract Work Hours and Safety Standards Act, (Public Law 91-54, 83 Stat 96). 40 USC 3701 et seq.

(3) The contractor shall include the provisions of this paragraph in every subcontract so that such provisions will be binding on each subcontractor. The contractor shall take such action with respect to any subcontractor as the Secretary of Housing and Urban Development or the Secretary of Labor shall direct as a means of enforcing such provisions.

Section 11

Equal Opportunity Laws and Regulations

(A) In addition to Contract specifications set forth below, the Contractor shall conduct and administer this Contract in compliance with:

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352) and implementing regulations issued at 24 CFR Part 1;
- (2) Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), as amended, and implementing regulations;
- (3) Section 109 of the Housing and Community Development Act of 1974, as amended; and the regulations issued pursuant thereto (24 CFR Section 570.601);
- (4) Section 3 of the Housing and Urban Development Act of 1968, as amended, and implementing regulations of 24 CFR Part 135;
- (5) Executive Order 11246, as amended by Executive Order 11375 and 12086 and implementing regulations at 41 CFR Chapter 60;
- (6) Executive Order 11063, as amended by Executive Order 12259 and implementing regulations at 24 CFR Part 107;
- (7) Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended, and implementing regulations when published for effect;
- (8) The Age Discrimination Act of 1975, as amended, (Pub. L. 94-135) and implementing regulations when published for effect;
- (9) The Minnesota Human Rights Act of 1974, as amended (Chapter 363).

Equal Opportunity and Affirmative Action

(A) Contractors and Subcontractors that have a work force in excess of fifty (50) employees and a contract in excess of \$50,000.00 shall prepare and maintain an appropriate affirmative action plan in accordance with the provisions of 41 CFR 60 "Compliance Responsibility for Equal Opportunity".

(B) Non-segregated Facilities. The Contractor shall certify that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The Contractor covenants that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. As used in this paragraph the term "segregated facilities" means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, creed, religion, national origin, ancestry, age, marital status, status with respect to public assistance, and/or disability because of habit, local custom, or otherwise.

General Provisions Against Discrimination

(A) In all hiring or employment made possible by or resulting from this Contract, there:

(1) will not be any discrimination against any employee or applicant for employment because of race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability.

(2) affirmative action will be taken to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability. This requirement shall apply to, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; lay-off or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. There shall be posted in conspicuous places available to employees and applicants for employment, notices setting forth the provisions of this clause. All solicitations or advertisements for employees shall state that all qualified applicants will receive consideration for employment without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability.

(B) No person in the United States shall, on the grounds of race, color, creed, religion, national origin, age, sex, marital status, status with respect to public assistance, and/or disability, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity made possible by or resulting from this Contract. The Contractor and each employer will comply with all requirements imposed by or pursuant to the regulations of the Federal Agency effectuating Title VI of the Civil Rights Act of 1966. The Contractor will note this requirement in all solicitations or advertisements for employees. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

(C) The Contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice advising the labor union or workers' representative of the Contractor's commitments under these provisions, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(D) The Contractor hereby agrees that he will incorporate into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor at 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained pursuant to this Contract, the equal opportunity clause which is a part of these Contract Documents.

(E) The Contractor further agrees that he will be bound by the equal opportunity clause and other provisions of 41 CFR Chapter 60, with respect to his own employment practices when he participates in federally assisted construction work: **Provided:** That of the Contractor so participating is a State or Local Government, the above equal opportunity clause is not applicable to any agency, instrumentality, or subdivision of such government which does not participate in work on or under the Contract. Also, the Contractor will make his files available to inspection by appropriate government agencies and shall furnish those reports as may be required by said agencies.

(F) The Contractor agrees that he will assist and cooperate actively with the Federal Agency and the Secretary of Labor in obtaining the compliance of subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that he will furnish the Federal Agency and the Secretary of Labor such information as they may require for the supervision of such compliance, and that he will otherwise assist the Federal Agency in the discharge of its primary responsibility for securing compliance.

(G) The Contractor further agrees that he will refrain from entering into any contract or any contract modification subject to Executive Order 11246 of September 24, 1965, with a subcontractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive Order. In addition, the Contractor agrees that if he fails or refuses to comply with these undertakings, the City or the Federal Agency may take any or all of the following actions: Terminate or suspend in whole or in part this Contract; refrain from extending any further assistance to the Contractor under the Project with respect to which the failure or refusal occurred until satisfactory assurance of future compliance has been received from such Contractor and refer the case to the Department of Justice for appropriate legal proceedings.

Affirmative Action - "Construction Contracts" over \$10,000

Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity
(Executive Order 11246)

1. The Offeror's or Bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" set forth herein.

2. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

<u>Timetables</u>	<u>Goals for minority participation (percent)</u>	<u>Goals for female participation (percent)</u>
From April 1, 1980 until revised	3.0	6.9

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally assisted) performed in the covered area.

The Contractor's compliance with the Executive Order and the regulations in 41 CFR Part 60-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR 60-4.3 (a), and its efforts to meet the goals established for the geographical area where the contract resulting from this solicitation is to be performed. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order and the regulations in 41 CFR Part 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The Contractor shall provide written notification to the City and to the Director of the Office of Federal Contract Compliance Programs; U.S. Department of Labor, ESA/OFCCP, 16th Floor, 230 South Dearborn Street, Chicago, Illinois, 60604, within 10 working days of award of any construction subcontract and/or subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the contractor and/or subcontractor; employer identification number; estimated dollar amount of the prime contract; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the contract is to be performed.

4. As used in this Notice, and in the Contract, the "covered area" is all work under a contract currently held with the City of Duluth, Minnesota.

Standard Federal Equal Employment Opportunity
Construction Contract Specifications (Executive Order 11246)

1. As used in these specifications:

- a) "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor; or any person to whom the Director delegates authority;
- b) "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
- c) "Minority" includes:
 - (i) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).

2. Whenever the Contractor, or any Subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.

3. If the Contractor is participating (pursuant to 41 CFR 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.

4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7a through p of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority and female utilization the Contractor should reasonably be able to achieve in each construction trade in which it has employees in the covered area. The Contractor is expected to make substantially uniform progress toward its goals in each craft during the period specified.

5. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications, Executive Order 11246, or the regulations promulgated pursuant thereto.

6. In order for the non-working training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.

7. The Contractor shall take specific affirmative action to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:
- a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
 - b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.
 - c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore, along with whatever additional actions the Contractor may have taken.
 - d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notices of these programs to the sources compiled under 7b above.
 - f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.
 - g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with onsite supervisory personnel such as Superintendents, General Foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
 - h. Disseminate the Contractor's EEO policy externally by including it any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.
 - i. Direct its recruitment efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students and to minority and female recruitments and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations such as the above, describing the openings, screening procedures, and tests to be used in the selection process.
 - j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on the site and in other areas of a Contractor's work force.
 - k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.
 - l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.
 - m. Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.
 - n. Ensure that all facilities and company activities are nonsegregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.
 - o. Document and maintain a record of all solicitations of officers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.
 - p. Conduct a review, at least annually, of all supervisor's adherence to and performance under the Contractor's EEO policies and affirmative action obligations.
8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7a through p). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7a through p of these Specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.
9. A single goal for minorities and a separate single goal for women have been established. The Contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed in a substantially disparate manner (for example, even though the Contractor has achieved its goals for women generally, the Contractor may be violation of the Executive Order if a specific minority group of women is underutilized).
10. The Contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, creed, religion, national origin, sex, ancestry, age, marital status, status with respect to public assistance and/or disability.
11. The Contractor shall not enter into any Subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.
12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.
13. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these specifications, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails

to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.

14. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

15. Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

Affirmative Action for Handicapped Workers

(applies to contracts in excess of \$2,500)

(A) The Contractor will not discriminate against any employee or applicant for employment because of physical or mental handicap in regard to any position for which the employee or applicant is qualified. The Contractor agrees to take affirmative action to employ, advance in employment and otherwise treat qualified handicapped individuals without discrimination based upon their physical or mental handicap in all employment practices such as the following: Employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

(B) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.

(C) In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with the rules, regulations and relevant orders of the Secretary of Labor issued pursuant to the Act.

(D) The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Director, provided by or through the contracting officer. Such notices shall state the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified handicapped employees and applicants for employment, and the rights of applicants and employees.

(E) The Contractor will notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of Section 503 of the Rehabilitation Act of 1973, and is committed to take affirmative action to employ and advance in employment physically and mentally handicapped individuals.

(F) The Contractor will include the provisions of this clause in every subcontract or purchase order of \$2,500 or more unless exempted by rules, regulations, or orders of the Secretary issued pursuant to Section 503 of the Act, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as the Director of the Office of Federal Contract Compliance Programs may direct to enforce such provisions, including action for noncompliance.

Affirmative Action for Disabled Veterans and Veterans of the Vietnam Era

(applies to contracts in excess of \$10,000)

(A) The Contractor will not discriminate against any employee or applicant for employment because he or she is a disabled veteran or veteran of the Vietnam era in regard to any position for which the employee or applicant for employment is qualified. The Contractor agrees to take affirmative action to employ, advance in employment and otherwise treat qualified disabled veterans and veterans of the Vietnam era without discrimination based upon their disability or veterans status in all employment practices such as the following: Employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

(B) The Contractor agrees that all suitable employment openings of the Contractor which exist at the time of the execution of this contract and those which occur during the performance of this contract, including those not generated by this contract and including those occurring at an establishment of the Contractor other than the one wherein the contract is being performed but excluding those of independently operated corporate affiliates, shall be listed at an appropriate local office of the State employment service system wherein the opening occurs. The Contractor further agrees to provide such reports to such local office regarding employment openings and hires as may be required.

State and local government agencies holding Federal contracts of \$10,000 or more shall also list all their suitable openings with the appropriate office of the State employment service, but are not required to provide those reports set forth in paragraphs (D) and (E).

(C) Listing of employment openings with the employment service system pursuant to this clause shall be made at least concurrently with the use of any other recruitment source or effort and shall involve the normal obligations which attach to the placing of a bona fide job order, including the acceptance of referrals of veterans and non-veterans. The listing of employment openings does not require the hiring of any particular job applicant or from any particular group of job applicants, and nothing herein is intended to relieve the Contractor from any requirements in Executive Orders or regulations regarding nondiscrimination in employment.

(D) The reports required by paragraph (B) of this clause shall include, but not be limited to, periodic reports which shall be filed at least quarterly with the appropriate local office or, where the Contractor has more than hiring location in a State, with the central office of that State employment service. Such reports shall indicate for each hiring location (1) the number of individuals hired during the reporting period, (2) the number of non-disabled veterans of the Vietnam era hired, (3) the number of disabled veterans of the Vietnam era hired, and (4) the total number of disabled veterans hired. The reports should include covered veterans hired for on-the-job training under 38 U.S.C. 1787. The Contractor shall maintain at each hiring location copies of the reports submitted until the expiration of one year after final payment under the contract, during which time these reports and related documentation shall be made available, upon request, for examination by any authorized representatives of the contracting officer of the Secretary of Labor. Documentation would include personnel records respecting job openings, recruitment and placement.

(E) Whenever the Contractor becomes contractually bound to the listing provisions of this clause, it shall advise the employment service system in each State where it has establishments of the name and location of each hiring location in the State. As long as the Contractor is contractually bound to these provisions, and has so

advised the State system, there is no need to advise the State system of subsequent contracts. The Contractor may advise the State system when it is no longer bound by this contract clause.

(F) This clause does not apply to the listing of employment openings which occur and are filled outside of the 50 States, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.

(G) The provisions of paragraphs (B), (C), (D), and (E) of this clause do not apply to openings which the Contractor proposes to fill from within his own organization or to fill pursuant to a customary and traditional employer-union hiring arrangement for that opening.

(H) As used in this clause:

(1) "All suitable employment openings" includes, but is not limited to, openings which occur in the following job categories: Production and non-production; plant and office; laborers and mechanics; supervisory and non-supervisory; technical; and executive, administrative, and professional openings as are compensated on a salary basis of less than \$25,000 per year. This term includes full-time employment, temporary employment of more than 3 days' duration, and part-time employment. It does not include openings which the Contractor proposes to fill from within his own organization or to fill pursuant to a customary and traditional employer-union hiring arrangement nor openings in an educational institution which are restricted to students of that institution. Under the most compelling circumstances an employment opening may not be suitable for listing, including such situations where the needs of the Government cannot reasonably be otherwise supplied, where listing would be contrary to national security, or where the requirement of listing would otherwise not be for the best interest of the Government.

(2) "Appropriate office of the State employment service system" means the local office of the Federal-State national system of public employment offices with assigned responsibility for serving the area where the employment opening is to be filled, including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands.

(3) "Openings which the Contractor proposes to fill from within his own organization" means employment openings for which no consideration will be given to persons outside the Contractor's organization (including any affiliates, subsidiaries, and the parent companies) and includes any openings which the Contractor proposes to fill from regularly established "recall" lists.

(4) "Openings which the Contractor proposes to fill pursuant to a customary and traditional employer-union hiring arrangement" means employment openings which the Contractor proposes to fill from union halls, which is part of the customary and traditional hiring relationship which exists between the Contractor and representatives of his employees.

(I) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.

(J) In the event of the Contractor's noncompliance with the requirements of this clause, actions for noncompliance may be taken in accordance with the rules, regulations and relevant orders of the Secretary of Labor issued pursuant to the Act.

(K) The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Director, provided by or through the contracting officer. Such notices shall state the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified disabled veterans and veterans of the Vietnam era for employment, and the rights of applicants and employees.

(L) The Contractor will notify each labor union representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of the Vietnam Era Veterans Readjustment Assistance Act, and is committed to take affirmative action to employ and advance qualified disabled veterans and veterans of the Vietnam era..

(M) The Contractor will include the provisions of this clause in every subcontract or purchase order of \$10,000 or more unless exempted by rules, regulations, or orders of the Secretary issued pursuant to the Act, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as the Director of the Office of Federal Contract Compliance Programs may direct to enforce such provisions, including action for noncompliance.

Section 12
Employment Opportunities - "HUD Section 3"

General

These requirements apply to the City of Duluth contracts receiving assistance under the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program.

Type of Covered Projects

24CFR570.607 (b) of the HUD CDBG Program Regulations state in part "... that employment and other economic opportunities arising in connection with housing rehabilitation, housing construction, or other public construction projects shall to the greatest extent feasible, and consistent with existing Federal, State, and local laws and regulations be given to low- and very low-income persons.

Thresholds

In accordance with the provisions of 24CFR135.3(a) (3) (ii) (A), the requirements of this Section apply to those recipients as defined at 24CFR135.5 when the amount of this contract exceeds \$200,000.

In addition, in accordance with the provisions of 24CFR135.3 (a) (3) (ii) (B), the requirements of this Section apply to any contractor or subcontractor whose contract exceeds \$100,000 as a result of assistance provided under this contract.

Requirements (Section 3 Clause)

(A) The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

(B) The parties to this contract agree to comply with HUD's regulations in 24 CFR part 135, which implement section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.

(C) The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement, or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The

notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

(D) The Contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 135.

(E) The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligation under 24 CFR part 135.

(F) Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD-assisted contracts.

Section 13

Federal Requirements for Minority/Women Business Enterprises Contract Guidance - MPFA

General

Municipalities that receive loan funding must comply with Federal requirements concerning utilization of Minority Business Enterprises (MBE) and Women's Business Enterprises (WBE). These requirements are designed to encourage the prime contractors to utilize MBEs and WBEs whenever procurement opportunities occur.

Regulation

40 C.F.R. Section 35.3145(d) Application of other Federal Authorities, M/WBE Requirements

Executive Orders No. 11625, 12138 and 12432 - Promoting the use of M/WBEs

Section 129 of Public Law 100-590 - Small Business Administration Reauthorization and Amendment Act of 1988

Regulations detailed in the EPA's *Cross-Cutting Federal Authorities - Clean Water Act State Revolving Fund Program and Safe Drinking Water Act State Revolving Fund Program*

Implementation

The "fair share" target percentage participation proposed for this project is 3.5 percent (3.5%) for MBE and 11.5 percent (11.5%) for WBE.

If the Contractor intends to let any subcontractors for a portion of the work, the Contractor shall take affirmative steps to assure that minority and women businesses are utilized when possible as sources of supplies, equipment, construction and services. Affirmative steps shall include the following:

- a) Include qualified minority businesses on solicitation lists.
- b) Assure that minority businesses are solicited whenever they are potential sources.
- c) When economically feasible, divide total requirements into smaller tasks or quantities so as to permit maximum small and minority business participation.
- d) Where the requirement permits, establish delivery schedules, which will encourage participation by minority businesses.
- e) Use the services and assistance of the Office of Minority Business Enterprise of the Department of Commerce.

The low bidder will be required to submit to the City of Duluth documentation of his good faith efforts to meet the targeted goals of utilizing MBEs and WBEs.

Section 14 - Forms

Minnesota Department of Transportation and City of Duluth, Minnesota funded certified payroll forms

- MnDOT Prime Contractor's-Subcontractor's Statement of Compliance form (12/2010)
www.dot.state.mn.us/const/labor/forms.html
- Certified Payroll Forms
<http://www.dol.gov/forms/whd/wh347.pdf>
use front side only

U. S. Department of Housing and Urban Development and federal government funded certified payroll forms

- Statement of Compliance Form & Certified Payroll Forms
<http://www.dol.gov/forms/whd/wh347.pdf>
(use reverse side for Statement of Compliance form)
- MnDOT Prime Contractor's-Subcontractor's Statement of Compliance form (12/2010)
www.dot.state.mn.us/const/labor/forms.html

Minnesota Department of Transportation Trucking Requirements

- Month End Trucking Report Form A and Form B
- Month End Trucking Report Statement of Compliance
- Definitions, instructions, forms:
www.dot.state.mn.us/const/labor/forms.html

City of Duluth

Indemnification & Insurance Requirements

(Updated February 16, 2011)

INDEMNIFICATION CLAUSE

The Contractor will defend, indemnify and save the City harmless from all costs, charges, damages, and loss of any kind that may grow out of the matter covered by this contract. Said obligation does not include indemnification of the City for claims of liability arising out of the sole negligent or intentional acts or omissions of City but shall include but not be limited to the obligation to defend, indemnify and same harmless the City in all cases where claims of liability against the City arise out of acts or omissions of City which are derivative of the negligence or intentional acts or omissions of Contractor such as, and including but not limited to, the failure to supervise, the failure to warn, the failure to prevent such act or omission by Contractor and any other such source of liability. In addition, Contractor will comply with all local, state and federal laws, rules and regulations applicable to this contract and to the work to be done and things to be supplied hereunder.

INSURANCE

- a. Contractor shall provide the following minimum amounts of insurance from insurance companies authorized to do business in the state of Minnesota, which insurance shall indemnify Contractor and City from all liability described in the paragraph above, subject to provisions of subparagraph below.
 - (1) Worker's compensation in accordance with the laws of the state of Minnesota.
 - (2) Public Liability and Automobile Liability Insurance with limits not less than **\$1,500,00** Single Limit, and twice the limits provided when a claim arises out of the release or threatened release of a hazardous substance; shall be in a company approved by the city of Duluth; and shall provide for the following: Liability for Premises, Operations, Completed Operations, Independent Contractors, and Contractual Liability.
 - (3) City of Duluth shall be named as **Additional Insured** under the Public Liability, Excess/Umbrella Liability* and Automobile Liability, or as an alternate, Contractor may provide Owners-Contractors Protective policy, naming itself and the City of Duluth. Contractor shall also provide evidence of Statutory Minnesota Worker's Compensation Insurance. Contractor to provide Certificate of Insurance evidencing such coverage with 30-days notice of cancellation, non-renewal or material change provisions included. The City of Duluth does not represent or guarantee that these types or limits of coverage are adequate to protect the Contractor's interests and liabilities.

**An umbrella policy with a "following form" provision is acceptable if written verification is provided that the underlying policy names the City of Duluth as an additional insured.*

- (4) If a certificate of insurance is provided, the form of the certificate shall contain an unconditional requirement that the insurer notify the City without fail not less than 30 days prior to any cancellation, non-renewal or modification of the policy or coverages evidenced by said certificate and shall further provide that failure to give such notice to City will render any such change or changes in said policy or coverages ineffective as against the City.
- (5) **The use of an “Acord” form as a certificate of insurance shall be accompanied by two forms – 1) ISO Additional Insured Endorsement (CG-2010 pre-2004) and 2) Notice of Cancellation Endorsement (IL 7002) or equivalent, as approved by the Duluth City Attorney’s Office.**
- b. The insurance required herein shall be maintained in full force and effect during the life of this Agreement and shall protect Contractor, its employees, agents and representatives from claims and damages including but not limited to personal injury and death and any act or failure to act by Contractor, its employees, agents and representatives in the negligent performance of work covered by this Agreement.
- c. Certificates showing that Contractor is carrying the above described insurance in the specified amounts shall be furnished to the City prior to the execution of this Contract and a certificate showing continued maintenance of such insurance shall be on file with the City during the term of this Contract.
- d. The City shall be named as an additional insured on each liability policy other than the workers’ compensation policies of the Contractor.
- e. The certificates shall provide that the policies shall not be changed or canceled during the life of this Contract without at least 30 days advanced notice being given to the City.
- f. Contractor shall be required to provide insurance meeting the requirements of this Paragraph unless Contractor successfully demonstrates to the satisfaction of the City Attorney, in the exercise of his or her discretion, that such insurance is not reasonably available in the market. If Contractor demonstrates to the satisfaction of the City Attorney that such insurance is not reasonably available, the City attorney may approve an alternative form of insurance which is reasonably available in the market which he or she deems to provide the highest level of insurance protection to the City which is reasonably available.

Procedure verified by:

Don Douglas, Claims Adjuster
Duluth City Attorney’s Office

Date _____

PRE-2004 CG 2010

A. **Section II - Who Is an Insured** is amended to include as an insured the person or organization shown in the Schedule, but only with respect to liability arising out of your ongoing operations performed for that insured.

NOTICE OF CANCELLATIONS ENDORSEMENT IL-7002 (10-90)

All Coverage Parts included in this policy are subject to the following condition: If we cancel this policy for any reason other than non-payment of premium, we will mail advance notice to the person(s) or organization(s) as shown in the Schedule.

Schedule	
Person or Organization (Name and Address)	Advance Notice (Days)
City of Duluth Purchasing Division Room 100 City Hall 411 West First Street Duluth, MN 55802	30

**EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION
POLICY STATEMENT & COMPLIANCE CERTIFICATE**

TO: City of Duluth, Minnesota **PROJECT NUMBER & DESCRIPTION** _____

FROM: _____

(FIRM's name, address, telephone number)

A) Employment: It is the policy of the above named FIRM to afford equal opportunity for employment to all individuals regardless of race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance and/or disability. The FIRM will take affirmative action to ensure that we will: (1) recruit, hire, and promote all job classifications without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability, except where sex is a bona fide occupational qualification; (2) base decisions on employment so as to further the principle of equal employment opportunity; (3) ensure that promotion decisions are in accord with the principles of equal employment opportunity by imposing only valid requirements for promotional opportunities; (4) ensure that all personnel actions such as compensation, benefits, transfers, layoffs, return from layoff, FIRM sponsored training, education tuition assistance, social and recreational programs will be administered without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability. The FIRM also intends full compliance with Veteran affirmative action requirements. Additionally, minority and female employees shall be encouraged to participate in all FIRM activities and refer applicants.

I have designated (name) _____ to direct the establishment of and to monitor the implementation of personnel procedures to guide the FIRM's affirmative action program. Where PROJECTS exceed \$500,000, this official shall also serve as the liaison officer that administers the FIRM's "Minority Business Enterprise Program." This official is charged with designing and implementing audit and reporting systems that will keep management informed on a monthly basis of the status of the equal opportunity area.

Supervisors have been made to understand that their work performance is being evaluated on the basis of their equal opportunity efforts and results, as well as other criteria. It shall be the responsibility of the FIRM and its supervisors to take actions to prevent harassment of employees placed through affirmative action efforts.

B) Reports: Unless exempted by law and regulation, the FIRM shall make available and file those reports related to equal opportunity as may be required by the City of Duluth and State and Federal compliance agencies. Requirements and Reports are defined in 41CFR60 "Compliance Responsibility for Equal Opportunity" published by the U. S. Department of Labor which is incorporated herein by reference. Additional requirements are defined in various State and Federal Civil Rights Legislation and Rules promulgated thereunder.

C) Nonsegregated Facilities: The FIRM certifies that it does not maintain or provide for its employees any segregated facilities at any of its establishments and that it does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM certifies that it will not maintain or provide for its employees any segregated facilities at any of its establishments and that it will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM agrees that a breach of this

certification is a violation of the Equal Opportunity Clause in this certificate. As used in this Certification, the term “segregated facilities” means any waiting rooms, work area, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation for entertainment area, transportation, and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, color, religion, or national origin, because of habit, local custom, or otherwise.

- D) Affirmative Action Compliance Program:** Unless exempted by regulation and law, the FIRM—if the FIRM has 50 or more employees and if the value of current contracts with the City of Duluth exceeds \$50,000—shall prepare and maintain a written affirmative action compliance program that meets the requirement as set forth in 41CFR60.
- E) Non-Compliance:** The FIRM certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO Laws and Regulations.
- F) Employment Goals - “Construction” Projects:** It shall be the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the on-site workforce will be minority employees and that no less than 7% of the on-site workforce will be female employees. Further, it is the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the work hours generated shall be worked by minority employees and that no less than 7% of the work hours generated shall be worked by female employees.
- G) Subcontractors:** The FIRM will for all its PROJECT subcontractors regardless of tier (unless exempted by law and regulation) that received in excess of \$2,500 require that: (1) the subcontractor shall execute an “EEO Statement and Certification” similar in nature to this “Statement and Certification”, (2) said documentation to be maintained on file with the FIRM or subcontractor as may be appropriate.

Executed this _____ day of _____, 20__ by:

Printed name and title

Signature

NOTE: In addition to the various remedies prescribed for violation of Equal Opportunity Laws, the penalty for false statements is prescribed in 18 U.S.C. 1001.

Construction Safety and Security Compliance
For
Aircraft Operations Area
Duluth International Airport
Duluth, Minnesota

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I. AIRPORT EMERGENCY NUMBERS

EMERGENCY TELEPHONE NUMBER

**911
FOR
POLICE FIRE RESCUE**

**AIRPORT NONEMERGENCY NUMBERS
DULUTH AIRPORT AUTHORITY**

Airport Office	(M – F 08:00 – 16:30)	727 – 2968 727 – 2960 (fax)
Airport Security	(24 Hours)	391 – 5631 (cell) 726 – 4984 (pager)
Executive Director	Thomas Werner	391 – 8052 (cell)
Operations Director	Blaine Peterson	590 – 8606 (cell)
Airside Manager	Ryan Welch	391 – 6155 (cell)
Airport Garage		727 – 6522
Electrical Vault		391 – 5697 (cell)

II. CONSTRUCTION SAFETY FOR DULUTH AIRPORT AUTHORITY

This manual provides general information to Contractors on the requirements and procedures for accident prevention, safety, security, and loss control for the Duluth Airport Authority (DAA) construction, repair, or services required by the DAA and its tenants. The DAA's safety objective is to achieve accident-free construction projects.

Contractors are charged with the responsibility for conducting their operations in a manner that will provide safe working conditions for all employees and the protection of the public and all others who may come in contact with or be exposed to this project. Nothing contained in this manual is intended to relieve any Contractor or supplier of the obligations assumed by the Contractor under contract with the DAA or as required by law.

Safety must be an integral part of each job. Full participation, cooperation, and support is necessary to ensure the safety and health of all persons and property involved in the project.

The purpose of marking, barricading, and lighting airside construction areas is to delineate hazardous areas and prevent unauthorized incursions into the area by personnel, vehicles, equipment, and aircraft during construction.

The limits of the Duluth International Airport, hereafter referred to as "the Airport," are defined as follows:

The Aircraft Operating Area (AOA), for the purpose of this document, is defined as any part of the Airport utilized for aircraft operations and includes any area inside the perimeter fence.

The Aircraft Movement Area (AMA) is defined as runways, taxiways, and other areas of the Airport that are utilized for taxiing, takeoff, and landing of aircraft, exclusive of loading ramps and parking areas. The AMA is a restricted area. All vehicle and pedestrian access is prohibited without the approval of the Airport and FAA Air Traffic Control.

The DAA reserves the right to review the Contractor's safety program/record and periodically inspect work sites for compliance.

III. SAFETY AREAS

Runways and taxiways have safety areas. The safety area dimensions at Duluth International Airport extend 1,000 feet beyond each runway end and 255 feet perpendicular to the runway centerline.

A. Design Standards

The runway and taxiway safety areas shall be:

1. Cleared and graded and have no potentially hazardous ruts, humps, depressions, or other surface variations.

2. Drained by grading or storm sewers to prevent water accumulation.
3. Capable under dry conditions of supporting construction and maintenance equipment, aircraft rescue, fire-fighting equipment, and the occasional passage of aircraft without causing structural damage to the aircraft.
- (4) Free of objects, except for objects that need to be located in the runway safety area because of their functions. These objects shall be constructed on low impact resistant supports (frangible mounted structures) to the lowest practical height with the frangible point no higher than 3 inches. Other objects, such as manholes, should be constructed at grade. In no case should their height exceed 3 inches above grade.

(5) Restricted Areas

Object Free Area (OFA), Obstacle Free Zone (OFZ), Primary Surface and Transitional Surface.

1. Runway and Taxiway Surfaces. When aircraft operations are being conducted on a runway or taxiway, construction activity is prohibited within any of the above listed areas, as defined in the FAA's Advisory Circular (AC) 150/5300-13, current edition, unless approved on a case-by-case basis by the DAA, where construction equipment and material is properly marked and lighted.

These restricted areas vary depending on runway or taxiway design group. A taxiway OFA extends out to 129.5' from the centerline for group IV aircraft and 160' for group V.

A runway primary surface extends out to 500' from a runway centerline and the transitional surface begins a 7' to 1' outward and upward slope up to 150'. Any equipment in these areas must be approved by the DAA.

When working near a runway or taxiway ask for assistance in defining these areas before work begins.

2. Approach Surfaces. When aircraft operations are being conducted near a runway, construction activity is prohibited to penetrate the surfaces, defined in AC 150/5300-13, unless approved by the DAA. The runway threshold may be relocated or displaced to eliminate the penetration.

C. Taxiways and Aprons

Construction activity may be safely permitted within safety areas of taxiways and on aprons in use provided the activity is first coordinated with the DAA, local notice to airmen (NOTAM's) are issued, marking and lighting provisions are implemented, and it is determined that the height of equipment and materials is safely below any part of the

aircraft using the AOA that might overhang those areas. The taxiway centerline shall be maintained when construction activity is conducted adjacent to an active taxiway, a minimum clearance of 25 feet plus one half the wingspan of the largest predominant aircraft (currently 767-400) from the centerline of an active taxiway or apron, which is 108 feet.

IV. FLAGGERS AND OBSERVERS

All flaggers will be trained and approved by the DAA prior to working on the Airport.

A. Communications

All flaggers and observers controlling equipment crossing active aircraft areas will be required to have a cellular telephone or DAA approved radio to contact the DAA to report any problems that may affect aircraft operations. All observers and flaggers will immediately contact the DAA if any equipment or vehicle becomes disabled or is unable to yield to aircraft for any reason.

B. Crossings

If approved by the DAA, vehicle and pedestrian crossings of active runways, taxiways and high-use or congested ramp areas may be permitted if the following provisions are met:

1. The DAA is notified before any activity begins and when the activity ends every day.
2. DAA has coordinated the activity with Air Traffic Control and has advised the Engineer or Contractor when to begin crossings.
3. An airport representative is available to contact Air Traffic Control if there are any problems.
4. All involved personnel understand that all equipment and pedestrians must yield to all aircraft. **Aircraft always have the right of way.**

V. CONSTRUCTION LIMIT BOUNDARIES

A. Setback Lines

Visible setback lines will be established prior to construction activity taking place adjacent to active taxiways and aprons. All vehicles, equipment, and construction activity must stay beyond these lines unless provisions are made with DAA and Engineering personnel. Locations where setback lines will be placed is determined by the Airport's largest predominant aircraft (Boeing 767-400), and setback lines will be located at 108 feet from the taxiway or apron centerline.

At the discretion of DAA and Engineering personnel, setback lines will be delineated according to the scope and timeframe of each project. Short-term projects involving limited personnel may be delineated with spray paint and/or wooden laths. For projects involving numerous personnel and subcontractors, setback lines will be delineated with rubber-based upright delineators with rope or ribbon extended between delineators. Contractors will be responsible for maintaining setback lines in a clearly visible condition until project completion.

If approved by the DAA, construction may be permitted within the setback lines if the following provisions are met:

1. A designated observer/spotter (other than the equipment operator) is on the site to direct the operator and equipment to yield to oncoming aircraft. The observer/spotter must be able to immediately get the attention of the operator and direct equipment beyond the setback lines. Equipment must be in position to immediately respond.
2. It is determined by DAA and Engineering personnel that the height of the equipment and materials is safely below any part of the aircraft using the AOA that might overhang those areas.
3. Vehicles and equipment are under escort by DAA or Engineering personnel that are in contact with the air traffic control tower or if equipment is being directed by a DAA approved flagger or observer/spotter.

If the above-stated provisions cannot be met, construction activity will not be allowed until a taxiway/apron closure can be scheduled with Air Traffic Control.

B. Trenches, Excavations, and Stockpiled Material

Open trenches exceeding 3 inches in depth and 3 inches in width or stockpiled material will not be permitted within the limits of safety areas of operational runways. Coverings for open trenches or excavations shall be of sufficient strength to support the weight of the heaviest aircraft operating on the runway or taxiway. Lightweight barricades and/or flagging should be used to identify the limits of construction near open trenches or excavations.

C. Equipment Height

Construction activity shall be prohibited when equipment penetrates any obstacle free zone (OFZ) as defined in the FAA's AC 150/5300-13, current edition, unless a favorable airspace finding has been made by the FAA and the DAA, and approved by

the DAA. Equipment must display a checkered flag during daytime use and a yellow flashing beacon during nighttime use.

D. Proximity of Construction Activity to Navigational Aids

Construction activity in the vicinity of navigational aids requires special consideration. The effect of the activity and its permissible distance and direction from the aid must be evaluated in each instance. A coordinated evaluation by DAA and the FAA is necessary. Technical involvement by FAA airports, air traffic, and airway facilities specialists is needed as well as construction engineering and management input. Particular attention needs to be given to stockpiling materials and movement and parking of equipment that may block the line of sight from the tower or interfere with electronic signals.

E. Construction Vehicle Traffic

Because each construction situation differs, the Contractor must coordinate construction vehicle traffic with the DAA.

F. Limitations of Construction

1. Open-flame welding or torch-cutting operations will be prohibited unless adequate fire and safety precautions are provided.
2. Open trenches, excavations, and stockpiled material at the construction site should be prominently marked and lighted by barricades (acceptable to the DAA and the FAA) during hours of restricted visibility and/or darkness. Under no circumstances are flare pots to be used for airport lighting.

Some temporary back filling of open trenches may be required.

3. Stockpiled material should be constrained in a manner to prevent movement resulting from aircraft blast or wind conditions. Material should not be stored near aircraft turning areas.

G. Marking and Lighting of Closed or Hazardous Areas on the Airport

When areas on the Airport are closed or present hazards due to construction activities, they should be marked and lighted according to AC 150/5340. Marking and lighting must be approved by the DAA.

If construction involves an extended closure of a runway, an illuminated cross ("X") shall be required at each end and shall be serviced and maintained by the Contractor. (The lighted cross ["X"] shall be provided by the Contractor.)

The dimensions of the safety area and obstacle free zones vary and will be stipulated in the specifications. If runway and taxiway closures are necessary, construction may be limited to nighttime, requiring 24-hour prior coordination.

All work in the AMA and safety area is to be coordinated with the DAA.

VI. AIRCRAFT SAFETY CONSIDERATIONS

The Contractor will be required to coordinate work so as to satisfy clearance requirements for arrival and departure of scheduled aircraft and maintain compliance with the FAA's AC 150/5370-2 current edition, "Operational Safety on Airports During Construction." The AC sets forth guidelines for maintaining desired levels of operational safety during construction. All construction personnel should become familiar with the contents of this AC, including Appendix 1, "Special Safety Requirements During Construction."

A. Potential Hazards

Potential hazards include the following:

1. Excavation adjacent to runways, taxiways, and aprons.
2. Mounds of stockpiles of earth, construction material, temporary structures, and other obstacles in proximity to airport operations areas and approach zones.
3. Runway surfacing projects resulting in excessive lips greater than 1 inch for runways and 3 inches for edges between old and new surfaces at runway edges and ends.
4. Heavy equipment, stationary or mobile, operating or idle near the AOA or in safety areas.
- (6) Proximity of equipment or material that may degrade radiated signals or impair monitoring of navigational aids.
6. Tall but relatively low visibility units, such as cranes, drills, and the like, in critical areas such as safety areas and approach zones.
7. Improper or malfunctioning lights or unlighted airport hazards.
8. Holes, obstacles, loose pavement, trash, and other debris on or near the AOA.
9. Failure to maintain fencing during construction to deter human and animal incursion into the AOA.
10. Open trenches alongside pavement.
11. Improper marking or lighting of runways, taxiways, and displaced thresholds.

12. Attractions for birds, such as trash, grass seeding, or ponded water on or near airports.
13. Inadequate or improper methods of marking temporarily closed airport operations areas, including improper and unsecured barricades.
14. Obliterated markings on active operation areas.

NOTE: Safety area encroachments, improper ground vehicle operations, and unmarked or uncovered holes and trenches in the vicinity of aircraft operating surfaces are the three most recurring threats to airside safety during construction.

B. Aircraft Emergency

In the event of an aircraft emergency, the Contractor's personnel and/or equipment may be required to immediately vacate the area.

VII. GENERAL SAFETY ISSUES

A. General

1. The Contractor must, at all times, conduct the work in conformance with requirements of the DAA, the FAA, and the TSA.
2. Aircraft traffic will continue to use existing runways, aprons, and taxiways of the Airport during the time that work under a contract is being performed. The Contractor shall at all times so conduct the work as to create no hindrance, hazard, or obstacle to aircraft using the Airport.
3. Runway closures, when authorized, are coordinated and approved by the DAA. The Contractor will schedule and organize the work so that a minimum of closings or crossings of runways and taxiways will be required during this project.
4. All construction-related activity taking place within any active area of the AMA requires the presence of a DAA or Engineer escort having radio communication with the FAA control tower. Spotters and/or flaggers having radio or telephone contact with the DAA may be used with the approval of the DAA. Any command or instruction given by the control tower, the DAA, the Engineer, flaggers, or spotters shall be immediately obeyed.
5. The Contractor may be working in an active AOA in which jet takeoff noise can be as high as 120 decibels. All Contractors shall comply with industry standards for personnel hearing protection when working within these areas.
6. Airport environment requires a high degree of care to control debris and dust. Spilled material on active roadways, taxiways, runways, and aprons shall be

swept up immediately. The Contractor shall be aware that the AOA is subject to jet blasts, which are equivalent to wind velocities of 75 to 90 miles per hour; therefore, constant dust control measures will be required to prevent loose material from blowing across the airfield.

7. Sanitary facilities shall be provided at appropriate locations for the Contractor's employees. Public facilities at the Airport are not to be used.
8. The speed limit on all airside roadways is 25 miles per hour unless otherwise posted. The speed limit on the aprons is 15 mph. (speed limit within 50 feet of an aircraft is 5 mph.)
9. Peak hours for the AOA are from 06:00 to 23:00. Non-peak hours are defined as the period from 23:00 to 06:00.
10. All personnel operating a motor vehicle within the secured area shall have a valid, state issued drivers license.
11. Maximum convoy length shall not exceed three vehicles plus the escort vehicle. The three vehicles must be in the immediate control of the escort vehicle.
12. Use of audio earphones and headsets are prohibited on the AOA unless directly related to job requirements.
13. All Contractor vehicles and equipment operating in the AOA not being escorted must display checkered flags during daytime use and yellow flashing beacons during nighttime use. The flag should be on a staff attached to the vehicle and should be at least a 3 foot square having a checkered pattern of International Orange and White squares at least one (1) foot on each side.
14. Approved Airport, tenants or Contractor vehicles properly equipped may be used to escort up to three vehicles onto the AOA. The vehicle providing the escort must lead and is responsible for the trailing vehicle(s).

It is acceptable for a person displaying an airport-issued ID to provide pedestrian escort for vehicles; however, this is only allowed within 100 feet of the gate. Under no circumstances may a badge employee provide an escort from inside an unmarked vehicle.

15. Beacons and flags must be maintained in good working condition, and flags will be replaced if they become faded, discolored, or ragged.
16. Construction projects affecting any aircraft operation area will be inspected by DAA prior to construction personnel and cleanup equipment leaving the area.
17. All electrical wire, cable, rope, trenches, holes, or any other object or surface variation that may interfere with or be damaged by airport field mowers or other

equipment must be marked and/or barricaded to clearly denote the object or area.

18. Manholes, drain inlets and junction boxes must have approved covers in place at all times or they must be barricaded to clearly denote the uncovered opening.

B. Fines and Warnings

Safety and security precautions are necessary at Airports. Failure of the Contractor to adhere to prescribed requirements may have consequences that jeopardize the health, safety or lives of customers and employees at the Airport. Therefore, if the Contractor is found to be in violation of safety, security or badging/licensing requirements, the Contractor may be shutdown or removed from the Airport.

The DAA has the option to issue warnings on an offense based upon the circumstances of the incident. Individuals involved in non-compliance violations may be required to surrender their DAA ID badges pending investigation of the matter.

Penalties for violations related to DAA procedures may include the following:

1. Warning, DAA ID badge confiscation, retraining, and a letter from the employer stating what action if any has been taken to prevent reoccurrence.
2. Project shutdown and/or removal of personnel involved from the AOA.

Project shutdown or personnel removal may be issued on a first offense.

C. Signs

All permanent signs affected by construction shall be replaced by temporary signs acceptable to the DAA. The Contractor shall submit a sign relocation plan to the DAA for approval prior to any relocation of any existing signs. When construction takes place near the AMA and at the discretion of DAA and Engineering personnel, signs stating "ACTIVE RUNWAY/TAXIWAY DO NOT ENTER" may be required.

D. Barricades and Channelizing Devices

Airside construction sites shall be barricaded and lighted to delineate the work area by using Railroad Tie Barricades with lights and flags placed at 10-foot intervals; taxiway areas shall be barricaded using low-profile lights with flags at 10-foot intervals.

Hazardous areas, those in which no part of an aircraft may enter, shall be defined by the placement of low-profile barricades with reflective markings, and flashing red beacons.

Construction areas on temporarily closed taxiways, runways, or ramp areas shall be defined by the placement of approved Type II Construction Barricades with flashing

yellow beacons and shall be secured in place with sandbags as directed by the DAA. During daylight hours, rubber-based upright delineators may be used. All lights and batteries used to delineate construction and hazardous areas shall be constantly maintained by the Contractor during periods of nighttime use.

E. Lighting

Temporary light plants used in conjunction with nighttime work cannot be located in such a manner as to be an obstruction or hazard. In addition, these light plants cannot be located where the glare of the light will cause visual or physical interference to operating aircraft and the FAA Air Traffic Control tower.

When existing edge lighting are rendered inoperable on an active runway or taxiway, the Contractor must install temporary edge lights. The lights and wiring shall meet National Electrical Code (NEC) Article 300, and AC 150/5340-24 "Runway and Taxiway Edge Lighting System," latest edition, for permanent lighting. Any active runway or taxiway lights requiring temporary removal shall be replaced by a temporary installation.

A temporary connection shall be made to connect all remaining active runway or taxiway lights in a construction area where several lights may have been decommissioned. Contractor shall have prior approval by the DAA before temporarily connecting lights.

"Temporary edge lights shall be securely fastened down and the electrical power cable shall not be driven across. Airfield lighting cables operate at high voltage. They have the potential of 5000 volts and should have only qualified personnel working with them".

The Contractor **shall provide** red obstruction lights for all stationary cranes erected on the construction site. All moveable cranes shall be provided with red obstruction lights if the boom cannot be lowered during hours of darkness. The DAA will issue NOTAMs on obstruction lighting; the Contractor shall notify the Engineer if any relocation takes place.

All construction personnel that are working on the AOA during hours of darkness will wear clothing with reflective markings.

F. Pavement Markings

All existing pavement markings requiring removal shall be obliterated by means approved by the DAA.

Temporary markings consist of paint or temporary preformed marking tape (removable).

All permanent pavement markings shall be restored at project completion.

G. Haul Routes

Where haul routes cross active taxiways, traffic control with a flagger or Engineer escort approved by the DAA shall be implemented.

Traffic control is defined as a flagger or DAA approved escort by the DAA.

Haul routes crossing active taxiways will not be permitted unless authorized by the DAA.

If the Contractor's haul road crosses any area used by aircraft for taxiing, takeoff, or parking, a power broom and/or hand sweeping shall be used to keep this area clean of debris, which could damage aircraft engines or propellers. The Contractor shall be liable for any damages that occur.

Contractor's haul routes must be restored to their original condition at the completion of the project.

H. Transition Ramps

Construction projects on airside may involve overlays and/or milling operations on runway or taxiway surfaces. This operation will require the construction of temporary ramps to allow runway or taxiway use between actual work shifts during the airside non-peak hours.

I. Grade and Vegetation

Unless specified, all construction grades and vegetation must be restored to their original condition and be free of ruts and depressions. Appropriate seed shall be planted.

J. Closures/Interruptions

If any roadway or taxiway is interrupted because of the means and/or methods used by the Contractor, an alternate detour roadway or taxiway must be provided. The Contractor shall submit a plan to the Engineer for approval prior to use. All alternate routes must be properly delineated for AOA/AMA use.

K. Staging Areas and Environmental Compliance

The staging area cannot be located in high traffic areas within the AOA.

Any staging areas used must be left environmentally clean during and at completion of the construction project. This includes keeping the area clean of debris, oil spills, and other undesirable elements. Any hazardous or regulated waste material produced by the Contractor must be properly disposed of at the Contractor's expense according to all local, state, and federal regulations.

The Contractor may be required to provide test results to confirm an area has been left environmentally clean with any contamination removed.

L. Debris Hazards

Each construction project will have a procedure for regular cleanup and containment of construction material and debris. Special attention will be given to the cleaning of cracks and pavement joints. All taxiways, aprons, and runways must remain clean.

Secured waste containers with attached lids shall be required on construction sites.

Special attention should be given to securing lightweight construction material (concrete insulating blankets, tarps, insulation, etc.). Specific securing procedures and/or chain-link enclosures may be required.

Vehicle and equipment washing and clean up will not be allowed on the Airport unless approved by the DAA.

When working in an airport environment, immediate access to a power sweeper is required when construction occurs on any aircraft pavement area unless an appropriate alternative has been approved by the DAA and Engineer.

M. Airport Assistance Form

DAA has a construction "Airport Assistance Form" that may be utilized if necessary. The DAA may determine that the Contractor involved in a construction project will hinder operations, and if the contractor is not equipped or unable to rectify the problem within the established timeframe, the Airport Assistance Form will be implemented (Exhibit #1). The process for this work is as follows:

1. DAA or Engineer will initiate work;
2. Airport Maintenance will note the details involved and distribute completed copies;
3. Airport Finance will be notified of the pending cost claim;
4. The Engineer will receive notification of the action taken; and
5. Contractor is given a copy.

If anything that may affect aircraft operations, violations, or noncompliance of FAA or any other requirements is observed, the DAA must be notified.

DAA Telephone Numbers:

Office: (218) 727-2968
Airport Security: (218) 391-5631

VIII. SECURITY REQUIREMENTS

A. Airport Access and Identification (ID) Badge Requirements

1. All contractor employees working at a construction site in restricted areas of the Duluth Airport must obtain an Airport ID Badge. The badge must always be displayed on the outermost garment while inside restricted areas. Failure to do so may result in criminal and civil penalties, revocation of the badge and the individual being barred from the Airport.
2. Registration
 - a) The Engineer or sponsoring tenant must complete a construction fact sheet outlining the duration of the contract, the specific door and/or gate numbers for which access is requested, and the name of the Contractor and all subcontractors associated with the project.
Construction personnel will only access the points as specified by Construction Fact Sheet. If additional access points are required, the Engineer must coordinate with the DAA Operations Director and/or the Airport Security Office. **No access changes will be negotiated with Contractors.**
 - b) The Contractor must complete a Unescorted Access/ DAA ID Badge Request Letter and Signature Authentication Form as shown in Exhibits #2 or #3 and #4.
 - c)
 - (1) The Contractor will designate an Authorized Certifier/s on company letterhead, who is/are responsible for signing all identification badge applications, including those for sub-contractor employees. Authorized certifier must undergo the same background checks as those he/she is certifying. Sample signatures on the Signature Authentication Form must be included with the letter. This is to insure badge applications are signed only by the Authorized Certifier/s.
 - (2) If the name of the sub-contractor company does not appear on the letter issued by the Contractor, no ID badges will be issued until an amended list is received.
- c) Application

- (1) An application must be completed for each individual requesting access and Airport ID badge.
- (2) Airport ID badge applications are available from the Airport Security Office located in the Main Terminal.

Telephone Number: (218) 727-2968
Fax Number: (218) 727-2960

- (3) All applications must be an original; no copies will be accepted.

d) Background checks

- (1) A favorable FBI Fingerprint Criminal History Records Check (CHRC) must be conducted on employees requesting access / Airport ID Badge for work conducted in the Security Identification Display Area (SIDA)/Secured Area. (The employment background section of the application is not applicable.) *See Exhibit #3 for costs associated with the CHRC.

A five (5) year employment background check must be conducted on employees requesting access / Airport ID Badge for all other airport restricted areas. The background verification section of the application must be completed by the applicant and verified by the Certifier or his/her representative prior to a badge being issued. The verification form must include employment history for the required number of years, and all time must be accounted for.

The Airport Security Office may audit the background check information to ensure it is complete and accurate. If any discrepancies are found, the badge will be revoked until the information has been corrected. *NOTE: Any Transportation Security Administration (TSA) fines levied against the Airport for falsification of background information will be passed on to the Contractor. Additionally, any individual who falsifies background information can be held personally responsible and is subject to civil penalties levied by the TSA.

- (2) Guidelines for submitting background information are included with this document as Exhibit #3. If the background information is not accurate or complete, the application will be returned, and an ID badge will not be issued until corrected.
- (3) To allow adequate time for processing and verifying the background information, Required CHRC / background information and application must be submitted to the Airport Security Office a minimum of two business days before the badge is to be issued.

- (4) Badge application instructions contain a list of disqualifying crimes. If an applicant has been convicted of any of these crimes within the last ten years, he/she is not eligible to obtain a badge for access to airport restricted areas. The applicant must indicate whether or not he/she has been convicted of any of the crimes listed.
- (5) A warrants check may be run on the applicant. Individuals with warrants are subject to arrest, and the badge will not be issued until the warrant(s) is/are resolved.
- (6) The application must be signed by an authorized company certifier.

e) Training

- (1) All employees requesting unescorted re required to undergo security training, pursuant to Federal Regulations. This training must be scheduled through the Airport Security Office. Training time is approximately one hour.
- (2) If project size dictates, a construction class specific to the project will be conducted. A time for this class must be coordinated with the Airport Security Coordinator at (218) 727-2968.

f) Issuance of badges

- (1) There is a \$50 fee for the initial issue of each airport ID badge.
- (2) The fee must be submitted by the Contractor only. **Fees shall** not be accepted from subcontractor companies. The DAA will periodically bill the contractor for the fees. Fees should not be paid in cash by the applicants to submit a copy of a drivers license or other picture ID.

g) ID badge renewal/replacement procedures

- (1) Replacement of Lost/Stolen badges
 - (a) If a badge is lost or stolen, it must be reported to the Airport Security Office immediately (218-391-5631), so the badge can be deactivated.
 - (b) A replacement application must be completed and signed by an authorized company certifier.
 - (c) \$50 replacement fee must be paid.

(d) If the badge is later found, the employee must bring in the found badge to the Airport Security Office.

(2) Renewal of Expired Badge

(a) The Engineer must submit, in writing, a request to extend the expiration date of the badges and provide a new expiration date.

(b) A replacement application signed by an authorized company certifier must be completed for each employee still required on the project (Exhibit #5).

(3) Replacement of Inoperable or Damaged Badge

If for any reason the ID badge becomes damaged, the badge holder shall return the badge to the Airport Security Office, and a replacement badge will be issued at no cost.

(4) Replacement of a Defaced Badge

No stickers, pins drawings, etc. may be placed on the front of the Airport ID badge. No fee will be charged to replace a badge which has been defaced or altered if the badge is returned to the Airport Security Office.

h) Termination of employee

(1) Upon voluntary or involuntary termination of the unescorted access privileges of the Applicant, the Company is required to notify the Airport Security Office (218-391-5631) immediately and surrender the identification badge as soon as possible. If the Applicant is convicted of any of the crimes after unescorted access is granted, the conviction must be reported by the Company immediately to Airport Security and the identification badge returned within 24 hours.

The Contractor shall notify the Airport Security Office, in writing, when a subcontractor is no longer under contract. The Contractor shall collect all badges and return them to the Airport Security Office within 72 hours. Failure to return a badge will result in a \$50.00 fine per badge.

i) Escort procedures: An employee possessing a valid Airport ID badge may escort other individuals into the secure area under the following conditions:

- Individuals **under escort** must have an operational need to access the secure area.

- The employee providing the escort must remain within line of sight, and close enough to monitor the actions of the escorted person.

(1) Haul Routes

Contractor may use designated haul routes for deliveries if approved by the DAA, if the following conditions are met:

- (a) Delivery drivers are allowed to go to and from the delivery point only. Any other work or activity requires driver to be properly escorted or badged.
- (b) Spotters may be required to position along the route at intervals (from starting to ending points) to maintain a line of sight and direct the vehicles.
- (c) All delivery vehicles are properly equipped with flags and/or beacons to operate on the Airport.

If the above stated conditions cannot be met, delivery vehicles must be escorted by a vehicle properly equipped to operate on the Airport.

B. Vehicle Requirements

1. Vehicle markings

All Contractor vehicles and equipment operating in the AOA must display checkered flags during daytime use and yellow flashing beacons during nighttime use. The flag should be on a staff attached to the vehicle and should be at least a 3 foot square having a checkered pattern of International Orange and White squares at least one (1) foot on each side.

2. Vehicle Escort

- a) Only approved Contractor vehicles may be used to escort other vehicles onto the AOA. The vehicle providing the escort must lead and is responsible for the trailing vehicle(s).

It is acceptable for a person displaying an Airport ID Badge to provide pedestrian escort for vehicles; however, this is only allowed within 100 feet of the gate.

- b) Equipment (backhoes, graders, etc.) that remain at the job site will be stored in the staging area. Staging areas located within the AOA are not for contractor employee parking unless approved by the DAA.

C. Access Points/Gates

1. When non-automated gates are unlocked, they must be staffed at all times by a badged employee to control access. This individual must have the ability to contact Airport Security via phone in the event of a security breach. This individual is required to check each person entering Airport restricted areas through the gate for a valid ID badge. Anyone not in compliance will be denied access.
2. All employees performing gate guard duties are required to attend a briefing with Airport Security to obtain instruction on their responsibilities.
3. If a problem is encountered, the gate guard must notify Airport Security (218-391-5631) immediately. The guard will be asked to describe the problem and give a description of the vehicle or individual involved.
4. While not actively being used, the gate must be kept **closed and locked**.
5. Access to construction sites through manual gates must be coordinated with Airport staff. **Contractor locks will be placed on gates interlocked with DAA locks ensuring DAA access at all times.**

D. Fencing

If a temporary fence is erected, displacing a portion of the airport perimeter fence, it must meet permanent fence standards, which are 6 feet of chain link with 3 strands of barbed wire angled away from the secure area at 45 degrees, with poles cemented in place.

E. Security Violations

1. Any employee who commits a security violation shall be immediately escorted out of the restricted area and his/her ID badge will not be returned until remedial actions have been taken (retraining, etc.). Based on the nature of the violation, the DAA may permanently revoke an Airport ID badge and deny access to restricted areas. The individual may also be responsible for any TSA penalties or fees levied for the violation.
2. Construction project may be shut down and delayed at the expense of the contractor if security violations persist.
3. Security violations include the following:
 - a) Loaning an airport ID badge to another individual or using another individual's badge.
 - b) Failure to actively control a vehicle gate providing access to a secure area.

- c) Leaving an escorted individual unattended in a secure area.
- d) Failure to possess and properly display a valid Airport ID badge while in the secure area.
- e) Propping open a door or gate that leads to a secure area and leaving it unattended.
- f) Leaving a door or gate unlocked that leads to a secure area.
- g) Allowing an unauthorized individual to follow you through a door leading to a restricted area, with the exception of individuals under approved escort.
- h) Using the Airport ID badge to enter secure areas of the airport that are not related to the construction job.
- i) Working with an expired badge.
- j) Failure to use the access card when entering a security controlled gate or door.
- k) Failure to challenge or report an un-badged individual or other security violations in Airport restricted areas.

IX. GLOSSARY

Advisory Circular (AC):

Documents produced by the FAA providing guidelines. The Advisory Circular is available at Internet address www.faa.gov/circdir.htm

Aircraft Movement Area (AMA):

The taxiways and runways controlled by the FAA ATCT.

Aircraft Operating Area (AOA):

The AMA expanded to include ramps/aprons and all areas inside the airport perimeter fence.

Air Traffic Control Tower (ATC, Control Tower, or Tower):

Controls all aircraft and vehicular movement on the aircraft movement area.

Apron:

The area near the buildings where aircraft load/unload and are serviced also referred to as the ramp.

Contractor:

The entity responsible for the completion of a contract or portion of a contract.

Duluth Airport Authority (DAA):

An Authority of the city of Duluth that is responsible for the Duluth International Airport as well as Sky Harbor Airport.

Duluth International Airport (Airport) (DLH):

Located approximately 5 miles west of the city of Duluth, consisting of approximately 3,000 acres, 2 runways.

Federal Aviation Administration (FAA):

Federal agency that governs aviation and activities at civilian airports.

Foreign Object Debris (FOD):

Unwanted, dangerous items on the ramps, taxiways, and runways that could damage an aircraft.

Object Free Area (OFA):

An area centered on a runway, taxiway, or taxilane centerline provided to enhance the safety of aircraft operations by having the area free of objects, except for objects that need to be located in the OFA for air navigation or aircraft ground maneuvering purposes.

Obstacle Free Zone (OFZ):

The OFZ is (45m) above the established airport elevation and along the runway and extended runway centerline that is required to be clear of all objects, except for frangible visual NAVAIDs that need to be located in the OFZ because of their function, in order to provide clearance protection for aircraft landing or taking off from the runway, and for missed approaches.

Primary Surface:

A surface longitudinally centered on a runway extending 200' beyond each end of the runway. The width varies from 250' for utility runways having only visual approaches to 1000' for precision instruments runways.

Restricted Area:

This area of the Airport refers to the acreage around the runways, protected by the secure exits from buildings, secure gates, and chain-link fences.

Safety Areas:

Runway: 9/27 and Runway 3/21 are 260 feet each side of the centerline, 1,000 feet off each end.

Taxiways: 80 feet each side of the centerline.

Security Identification Display Area (SIDA) / Secured Area:

SIDA / Secured Area means any area identified in the Airport Security Program as requiring each person to have completed a favorable FBI Fingerprint based CHRC and continuously display, on their outmost garment, an airport approved identification medium unless under an airport-approved escort.

The SIDA / Secured Area at the Duluth International Airport includes the entire area of the Main Terminal Ramp and its access points including the Airline's bag makeup areas.

Transportation Security Administration (TSA):

The Federal branch of Homeland Security responsible for oversight of airport security.

Transitional Surface:

A surface that extends outward and upward at right angles from the sides of the primary surface and the approach surface at a slope of 7 to 1.

Construction Gate Procedures

The gate that you are assigned is designed for your construction project only, it is not designated for the use of other employees. **Do not allow employees who are not working**

on your construction project to enter through your gate. Law Enforcement, Fire and Ambulance Emergency vehicles are an exception; however they will usually be met and escorted by an Airport Authorized person, for direction and safety reasons.

Stop List: The Stop List provides you with the names of badge holders who lost, had revoked, or did not return their badge at the end of their employment. If you come in contact with someone who shows you a badge that is listed on the Stop List, **DO NOT** permit them to enter. Call Security or DAA Administration for clarification (218-391-5631 or 218-727-2968 extension 10). TSA Inspectors may check to see that you have a Stop List and ask you to explain your responsibilities. Become familiar with the Stop List and how to use it.

Entry Procedures:

- **Only valid SIDA / SECURE / AOA badge holders or workers can be allowed unescorted entry on to the Airport.** Insure each badge holder is displaying the badge on their outer most clothing, above the waist.
- **Each vehicle entering the Airport through your gate MUST be inspected each and every time they enter.** This inspection includes you visually inspecting the interior, exterior and cargo area to insure no prohibited items are being transported (Explosives, Improvised Explosive Devices or components, Firearms and ammunition, Incendiaries excluding matches and lighters, Hazardous materials not consistent with the individual's construction duties; or forged or altered, expired or false Airport media).
- **Contractors must provide the Duluth Airport Authority (DAA) a list of persons that will require escort.** If not on the Escort Access List, an individual must be verified through the contractor before escorted entry is allowed. The escort list is to be made available to TSA on request.
- **All persons requiring escort must be identified through a valid government issued photo ID** (driver's license, military ID, passport, etc). Entry Control Guards must physically handle the ID presented and compare it to the person presenting it.
- **The person under escort must be logged in and out daily** (see DAA Escorted Entry Control Form). These forms are to be turned into DAA Operations weekly.
- **Entry Control Guards must have a radio or cell phone** that allows them to contact Airport Security and/or 911 is an emergency exists or if an unauthorized entry is attempted.
- If at any time you have questions or concerns that are not an emergency, please contact the Director of Operations (218-590-8606) or Security Manager (218-391-7403) or Uniformed Security Officer (24/7 number is 391-5631).

X. APPENDIX

AIRPORT ASSISTANCE FORM

Date: _____ Project Number: _____

DAA Personnel Requesting Assistance _____
(Name)

(Signature)

Assistance For: _____
(Contractor/Company)

(Authorized Certifier)

Type Of Work Requested: _____

Area Where Assistance Is Needed: _____

Reason For Requesting Assistance: _____

Was This Activity Part of the Contract Work? () Yes () No

Equipment and Labor Used: _____
(Maintenance Department) _____

Start Time: _____ Completion Time: _____

Cost: _____

NOTES: _____

DISTRIBUTION: Airfield Operations, Maintenance, Finance, Engineering, and Contractor.

Exhibit #1 (Continued)

TYPE OF ASSISTANCE	COST/HOUR
EQUIPMENT	
Front End Loader	\$350
Oshkosh 18' Sweeper	\$450
Grader	\$500
Skidsteer	\$200
Labor (included in the above services)	\$125
PAVEMENT REPAIR	
Painting (pavement marking)	To be determined
Asphalting	" "
Concrete	" "
Shoulder Repair (class 5-gravel)	" "
Labor (included in the above services)	\$100
ELECTICAL ASSISTANCE	
Ditch Witch Trencher	\$250
Underground Locator	\$200
Install / Remove Temporary / Permanent Lights	\$250
Labor (included in the above services)	\$125
ESCORT	
Labor With Truck / Radio	\$100

*Billing in one-hour increments rounded to the next hour: one-hour minimum charge.

Exhibit #2

POLICY REGARDING REQUESTS FOR UNESCORTED ACCESS FOR AOA RESTRICTED AREAS

- A. Purpose: The purpose of this document is to set forth the rules and regulations at the Duluth International Airport, in compliance with FAA/TSA Security Requirements (FAR Part 1542), for tenants, contractors or other business entities seeking authorization for unescorted access privileges in the Air Operations Area (AOA) secure areas at Duluth International Airport for themselves or their employees. Such tenants, contractors and other entities shall be referred to hereafter as Company. The Duluth Airport Authority shall be referred to hereafter as DAA.
- B. Applicability: The provisions listed below are applicable to all Companies seeking unescorted access for themselves or their employee(s) inside secure areas at Duluth International Airport. No such request will be honored unless the Company has a lease, permit, service, construction or other such contract with DAA or is specifically authorized for entry by federal regulation.
- C. Designation of Certifier: For each project, contract, permit or lease, each company shall formally designate and authorize a person (known hereafter as the Certifier) to sign written requests and written certifications verifying background investigations for unescorted access privileges for themselves or their employees working inside the Airport's AOAs, as well as respond to the DAA's audits of such privileges. **The designation must be written on company letterhead, and include the name and title of the Certifier, as well as his/her business address, and shall contain a statement that a satisfactory five (5) year employment history background check has been accomplished for access to AOA secure areas.**
- D. Responsibilities: The Duluth Airport Authority (DAA) through its Executive Director and other airport staff is responsible for the overall security of the Airport. All Companies and their Certifiers are responsible for complying with the airport security requirements contained in FAR Part 1542, this policy, and the Airport Security Program.

- E. FAR Part 1540.103: “Fraud and Intentional Falsification of Records”: Federal regulations specify that no person may make, or cause to be made, any of the following:
1. Any fraudulent or intentionally false statement in any application for any security program, access medium, or identification medium, or any amendment thereto, under this part.
 2. Any fraudulent or intentionally false entry in any record or report that is kept, made, or used to show compliance with this part, or exercise any privileges under this part.
 3. Any reproduction or alteration, for fraudulent purpose, of any report, record, security program, access medium, or identification medium issued under this part.
- F. FAR Part 1542.207 “Access Investigation”: Federal regulations require that the following minimum access investigation procedures be undertaken by a Company in order to request and obtain unescorted access privileges for itself and its employee(s) (“Applicants”) working at Duluth International Airport and to designate a “Certifier”:
1. The Company must require the Applicant/Certifier to complete a written application that includes:
 - a) The Applicant’s full name, including any aliases or nicknames;
 - b) Dates, names, phone numbers and addresses of previous employers with explanations for any gaps in employment of more than 12 months, during the previous **5 year period**.
 - c) Any convictions during the above time period of crimes listed in Section IX; and
 - d) Notification that the Applicant/Certifier will be subject to employment history verification and possibly a criminal history records check.

2. The Company must confirm the identity of the Applicant/Certifier through the presentation of two forms of identification, one of which must bear the Applicant's/Certifier's photograph.

3. The company must verify the employment information of the Applicant/Certifier regarding the most recent 5 years of employment history by written documentation, by telephone interview, or in person with a representative of the prior employer(s). Written notes and/or documents concerning the name of the representative, date of verification, and the information verified must be created, maintained and presented to DAA upon request. In the event:
 - a) An Applicant/Certifier cannot satisfactorily account for and document a period of unemployment of 12 months or more; or

 - b) The Applicant/Certifier cannot support his/her statements made in the application or there are inconsistencies discovered; or

 - c) Information becomes available indicating a possible conviction for one of the disqualifying crimes listed in Section IX;

The Company will be required to request a FBI fingerprint based Criminal History Records Check (CHRC) on the individual. This request must be made through DAA for all Companies. The criminal check will be processed by the FBI through the use of fingerprint cards. There will be a \$75.00 processing fee (checks payable to the DAA) that must be submitted with the criminal history request. Cost of the fingerprinting is additional.

- G. Termination: Upon voluntary or involuntary termination of the unescorted access privileges of the Applicant, the Company is required to notify Airport Security within 8 hours by written notification and surrender the identification badge as soon as possible. If the Applicant is convicted of any of the crimes listed in Section IX after

unescorted access is granted, the conviction must be reported by the Company immediately to Airport Security and the ID badge returned within 24 hours.

- H. Records: Company must keep verification records for each Applicant for 180 days after termination of unescorted access privileges. Company, through the Certifier, shall respond promptly and completely to periodic audits of persons whose access authority is to be continued.
- I. Disqualifying Criminal Offenses: An individual has a disqualifying criminal offense if the individual has been convicted, or found not guilty of by reason of insanity, any of the disqualifying crimes listed below in any jurisdiction during the last 5 years before the date of the individual's application for unescorted access authority, or while the individual has unescorted access authority. The disqualifying criminal offenses are as follows:
1. Forgery of certificates, false making of aircraft, and other aircraft registration violations;
 2. Interference with air navigation;
 3. Improper transportation of a hazardous material;
 4. Aircraft piracy (hijacking);
 5. Interference with flight crew members or flight attendants;
 6. Commission of certain crimes aboard aircraft in flight;
 7. Carrying a weapon or explosive aboard an aircraft;
 8. Conveying false information and threats;
 9. Aircraft piracy outside the special aircraft jurisdiction of the United States;
 10. Lighting violations involving transporting controlled substances;
 11. Unlawful entry into an aircraft or airport area that serves air carriers or foreign air carriers contrary to established security requirements.
 12. Destruction of an aircraft or aircraft facility.
 13. Murder.

14. Assault with intent to murder.
15. Espionage.
16. Seditious
17. Kidnapping or hostage taking.
18. Treason
19. Rape or aggravated sexual abuse.
20. Unlawful possession, use, sale, distribution, or manufacture of an explosive or weapon.
21. Extortion
22. Armed or felony armed robbery.
23. Distribution of, or intent to distribute, a controlled substance.
24. Felony arson.
25. Felony involving a threat.
26. Felony involving – Willful destruction of property;
27. Importation or manufacture of a controlled substance;
28. Burglary;
29. Theft; Dishonesty, fraud, or misrepresentation;
30. Possession or distribution of stolen property;
31. Aggravated assault;
32. Bribery;
33. Illegal possession of a controlled substance punishable by a maximum term of imprisonment of more than 1 year.
34. Violence at international airports.
35. Conspiracy or attempt to commit any of the aforementioned criminal acts.

J. The Cost of ID Badges / Access Cards: The cost of Airport ID Badges and Access Cards issued to individuals or organizations on an initial or replacement basis is \$65.00 each. This price reflects the cost of materials (photo supplies/card stock) and labor to include training, data entry, and the making and issuing the cards. Airport ID Cards and Access Cards will be paid for at the time of issuance. Exception to this policy will be major tenants that have an established account with the Airport Authority Bookkeeping Office. ID Cards and Access Cards will be issued through the Airport Security Office. Checks can be made out to the Duluth Airport Authority (DAA) with the type of badge or card annotated in the memo section of the check. A receipt will be issued.

In the event an ID Badge or Access Card is lost, the individual will be assessed \$50.00 per item in addition to replacement cost of \$50.00 per item.

I, _____, _____
(Print Name) (Print Title)

have been authorized by the above company to request employee I.D. cards for security identification and access purposes at Duluth International Airport. I have reviewed the DAA Policy regarding my responsibilities and agree that in making such request, I am certifying that my company and I understand and have fully complied with the Federal Aviation Administration, The Transportation Security Administration, DAA Airport Security Program requirements, and the rules and regulations regarding background checks and verification. I also understand that I may be criminally or civilly prosecuted for providing false or fraudulent information.

Signature

City / County of _____, State or Commonwealth of _____

The foregoing document was acknowledged before me this _____ day of _____ 201_

by _____
(Name of person seeking acknowledgement)

Notary Public

My commission expires: _____

CHECKLIST FOR AOA BADGE PAPERWORK.

- **PAGE 1. HAVE APPLICANT COMPLETE AND SIGN/DATE.**

- **PAGES 2 & 3. APPLICANT COMPLETES 5 YEAR WORK HISTORY. CERTIFIER AUTHENTICATES AND SIGNS OFF ON INFORMATION PROVIDED.**

- **PAGE 4. AUTHORIZED CERTIFIER ANNOTATES TIMES OF ACCESS, IF AIRFIELD DRIVING IS REQUIRED, AND SIGNS APPLICATION AUTHORIZING THE BADGE. IN ADDITION, APPLICATION MUST INDICATE SECURITY TRAINING IS CURRENT. APPLICANT MUST SIGN FOR BADGE WHEN IT IS RECEIVED.**

- **APPLICATION MUST ALSO CONTAIN:**
 - **COPY OF DRIVERS LICENSE & ONE OTHER FORM OF ID: SOCIAL SECURITY CARD, PERMIT TO CARRY A WEAPON, PILOTS LICENSE, COMPANY ID, ETC.**

 - **IF APPLICANT REQUIRES AN ACCESS CARD, THEY MUST HAVE COMPLETED AND SIGNED AN ACCESS CARD RECEIPT FORM.**

EXHIBIT #3

POLICY REGARDING REQUESTS FOR UNESCORTED ACCESS FOR THE SECURITY IDENTIFICATION DISPLAY AREA (SIDA)

- A. Purpose: The purpose of this document is to set forth the policies and procedures for the Duluth International Airport, in compliance with FAA/TSA Security Requirements (FAR Part 1542), for tenants, contractors or other business entities seeking authorization for unescorted access privileges in the Security Identification Display Area (SIDA) at Duluth International Airport for themselves and/or their employees. Such tenants, contractors and other entities shall be referred to hereafter as Company. The Duluth Airport Authority shall be referred to hereafter as DAA.
- B. Applicability: The provisions listed below are applicable to all Companies seeking unescorted access for themselves or their employee(s) in the SIDA at Duluth International Airport. No such request will be honored unless the Company has a lease, permit, service, construction or other such contract with DAA or is specifically authorized for entry by federal regulation.
- C. Designation of Certifier: For each project, contract, permit or lease, each company shall formally designate and authorize a person (known hereafter as the Certifier) to sign written requests and written certifications verifying background investigations for unescorted access privileges for themselves or their employees working inside the Airport's SIDA / Secured Area. As well as respond to the DAA's audits of such privileges. **The designation must be written on company letterhead, and include the name and title of the Certifier, as well as his/her business address, and shall contain a statement that a satisfactory FBI fingerprint based Criminal History Records Check (CHRC) has been accomplished and indicates no unfavorable information was disclosed so access may be granted to the SIDA/Secured Area.**
- D. Responsibilities: The Duluth Airport Authority (DAA) through its Executive Director and other airport staff is responsible for the overall security of the Airport. All

Companies and their Certifiers are responsible for complying with the airport security requirements contained in FAR Part 1542, this policy, and the Airport Security Program.

- E. FAR Part 1540.103: “Fraud and Intentional Falsification of Records”: Federal regulations specify that no person may make, or cause to be made, any of the following:
1. Any fraudulent or intentionally false statement in any application for any security program, access medium, or identification medium, or any amendment thereto, under this part.
 2. Any fraudulent or intentionally false entry in any record or report that is kept, made, or used to show compliance with this part, or exercise any privileges under this part.
 3. Any reproduction or alteration, for fraudulent purpose, of any report, record, security program, access medium, or identification medium issued under this part.
- F. FAR Part 1542.207 “Access Investigation”: Federal regulations require that the following minimum access investigation procedures be undertaken by a Company in order to request and obtain unescorted access privileges for itself and its employee(s) (“Applicants”) working at Duluth International Airport and to designate a “Certifier”:
1. The Company must require the Applicant/Certifier to complete a written application that includes:
 - a) The Applicant’s full name, including any aliases or nicknames;
 - b) Any convictions during the above time period of crimes listed in Section IX; and
 - c) Notification that the Applicant/Certifier will be subject to a FBI Criminal History Records Check (CHRC).
 2. The Company must confirm the identity of the Applicant/Certifier through the presentation of two forms of identification, one of which must bear the Applicant’s/Certifier’s photograph.

The Company will be required to request an fingerprint based Criminal History Records Check (CHRC) on the individual. This request must be made through DAA for all companies except air carriers. The CHRC will be processed by the FBI through the use of fingerprint cards. There will be a \$75.00 processing fee (checks payable to the DAA) that must be submitted with the criminal history request. Cost of the fingerprinting is additional.

- G. Termination: Upon voluntary or involuntary termination of the unescorted access privileges of the Applicant, the Company is required to notify Airport Security within 8 hours by written notification and surrender the identification badge as soon as possible. If the Applicant is convicted of any of the crimes listed in Section IX after unescorted access is granted, the conviction must be reported by the Company immediately to Airport Security and the ID badge returned within 24 hours.
- H. Records: Company must keep verification records for each Applicant for 180 days after termination of unescorted access privileges. Company, through the Certifier, shall respond promptly and completely to periodic audits of persons whose access authority is to be continued.
- I. Disqualifying Criminal Offenses: An individual has a disqualifying criminal offense if the individual has been **convicted**, or **found not guilty of by reason of insanity**, any of the disqualifying crimes listed below in any jurisdiction during the last ten (10) years before the date of the individual's application for unescorted access authority, or while the individual has unescorted access authority. The disqualifying criminal offenses are as follows:
1. Forgery of certificates, false making of aircraft, and other aircraft registration violations;
 2. Interference with air navigation;
 3. Improper transportation of a hazardous material;
 4. Aircraft piracy (hijacking);
 5. Interference with flight crew members or flight attendants;
 6. Commission of certain crimes aboard aircraft in flight;
 7. Carrying a weapon or explosive aboard an aircraft;
 8. Conveying false information and threats;
 9. Aircraft piracy outside the special aircraft jurisdiction of the United States;
 10. Lighting violations involving transporting controlled substances;

11. Unlawful entry into an aircraft or airport area that serves air carriers or foreign air carriers contrary to established security requirements.
12. Destruction of an aircraft or aircraft facility.
13. Murder
14. Assault with intent to murder.
15. Espionage.
16. Sedition
17. Kidnapping or hostage taking.
18. Treason
19. Rape or aggravated sexual abuse.
20. Unlawful possession, use, sale, distribution, or manufacture of an explosive or weapon.
21. Extortion
22. Armed or felony armed robbery.
23. Distribution of, or intent to distribute, a controlled substance.
24. Felony arson.
25. Felony involving a threat.
26. Felony involving –
 - Willful destruction of property;
 - Importation or manufacture of a controlled substance;
 - Burglary;
 - Theft;
 - Dishonesty, fraud, or misrepresentation;
 - Possession or distribution of stolen property;
 - Aggravated assault;
 - Bribery;
 - Illegal possession of a controlled substance punishable by a maximum term of imprisonment of more than 1 year.
27. Violence at international airports.
28. Conspiracy or attempt to commit any of the aforementioned criminal acts.

J. The Cost of ID Badges / Access Cards: The cost of Airport ID Badges and Access Cards issued to individuals or organizations on an initial or replacement basis is \$50.00 each. This price reflects the cost of materials (photo supplies/card stock) and labor to include training, data entry, and the making and issuing of cards.

Airport ID Cards and Access Cards will be paid for at the time of issuance. Exception to this policy will be major airport tenants that have an established account with the Airport Authority bookkeeping office. ID Cards and Access Cards will be issued through the Airport Security Office. Checks can be made

out to the Duluth Airport Authority (DAA) with the type of badge or card annotated in the memo section of the check. A receipt will be issued.

In the event an ID Badge or Access Card is lost, the individual will be assessed \$50.00 per item in addition to the replacement cost of \$50.00 per item.

Authorized Badge Color: _____

I, _____, _____
(Print Name) (Print Title)

have been authorized by the above company to request employee I.D. cards for security identification and access purposes at Duluth International Airport. I have reviewed the DAA Policy regarding my responsibilities and agree that in making such request, I am certifying that my company and I understand and have fully complied with the Federal Aviation Administration, Transportation Security Administration, the DAA Airport Security Program requirements, and the rules and regulations regarding background checks and verification. I also understand that I may be criminally or civilly prosecuted for providing false or fraudulent information.

Signature

City / County of _____, State or Commonwealth of _____

The foregoing document was acknowledged before me this _____ day of _____ 201____

by _____
(Name of person seeking acknowledgement)

Notary Public

My commission expires: _____

EXHIBIT #4

(SAMPLE)

CONSTRUCTION BADGE REQUEST LETTER

(COMPANY LETTERHEAD)

(To include name, address, and telephone number)

(Date)

Blaine Peterson
Director of Operations
Duluth Airport Authority
4701 Grinden Dr.
Duluth, MN 55811

RE: Project Name: _____
Project No: _____

Dear Mr. Peterson:

The purpose of this letter is to advise you of *(company's name)* activities at Duluth International Airport and request authorization to apply for security identification badges. The badges will be needed until *(date project expires)*.

(Company name) is engaged in... (a brief description of your activities at Duluth International Airport to include locations on the Airport where proposed activities will occur, a point of contact, and the reason why your employees will require access to the restricted area of the Airport).

Attached is a list of all subcontractors authorized to work on this project.

To fulfill the requirements of the Duluth International Airport Security Program policies and procedures, the following individual(s) is (are) designated as certification official(s) (must be a company officer or their local management representative with the authority to bind the company) and their sample signature(s) appear on the attached, notarized document:

Blane Peterson
(Date)
Page 2

The individual(s) are familiar with the Airport's attached "Rules and Regulations Regarding Requests For Unescorted Access at Duluth International Airport". They will sign all applications for ID cards, act as a liaison for verification of employment history and or Criminal History Records Checks (CHRCs) for anyone whom they request access to the restricted areas of the Airport and will ensure *(company name)* employees who are issued Duluth International Airport ID badges comply with the Program. *(Company name)* will ensure a strict accounting of all ID badges is maintained, to include prompt reporting of any lost badges and return of ID badges upon termination or transfer of any employee. I understand that all Airport ID badges are, and remain, the property of the DAA and that failure on the part of my company or employees to abide by Airport rules and regulations may result in revocation of access privileges and confiscation of all outstanding ID badges.

As a condition of any such grant of access, I agree that any Transportation Security Administration fine levied against **the Airport** as a result of the actions or omissions of anyone for whom one of the certification official(s) has requested access to the restricted area **of Duluth** International Airport will be paid by *(company name)*.

I certify that I have authority to bind *(company name)* to this agreement.

Sincerely,

(Signature)
(Company officer or local manager)

CC: Project Engineer
Project File

EXHIBIT #5



4701 Grinden Drive, Duluth International Airport
Duluth, Minnesota 55811

**DULUTH AIRPORT AUTHORITY
REPLACEMENT ID BADGE APPLICATION**

(Please type or print legibly in ink)

Employee Information

Last Name		First Name		Mid Initial	
Social Security Number		Home Phone Number			
Home Address		City		State	Zip
Company Name				Work Phone Number	

Reason For Replacement

<input type="checkbox"/> Expired Tenant Badge	<input type="checkbox"/> Normal Wear	<input type="checkbox"/> Defaced
<input type="checkbox"/> Lost	<input type="checkbox"/> Name Change Only (Proof Required)	<input type="checkbox"/> Other _____

Authorized Company Certifier

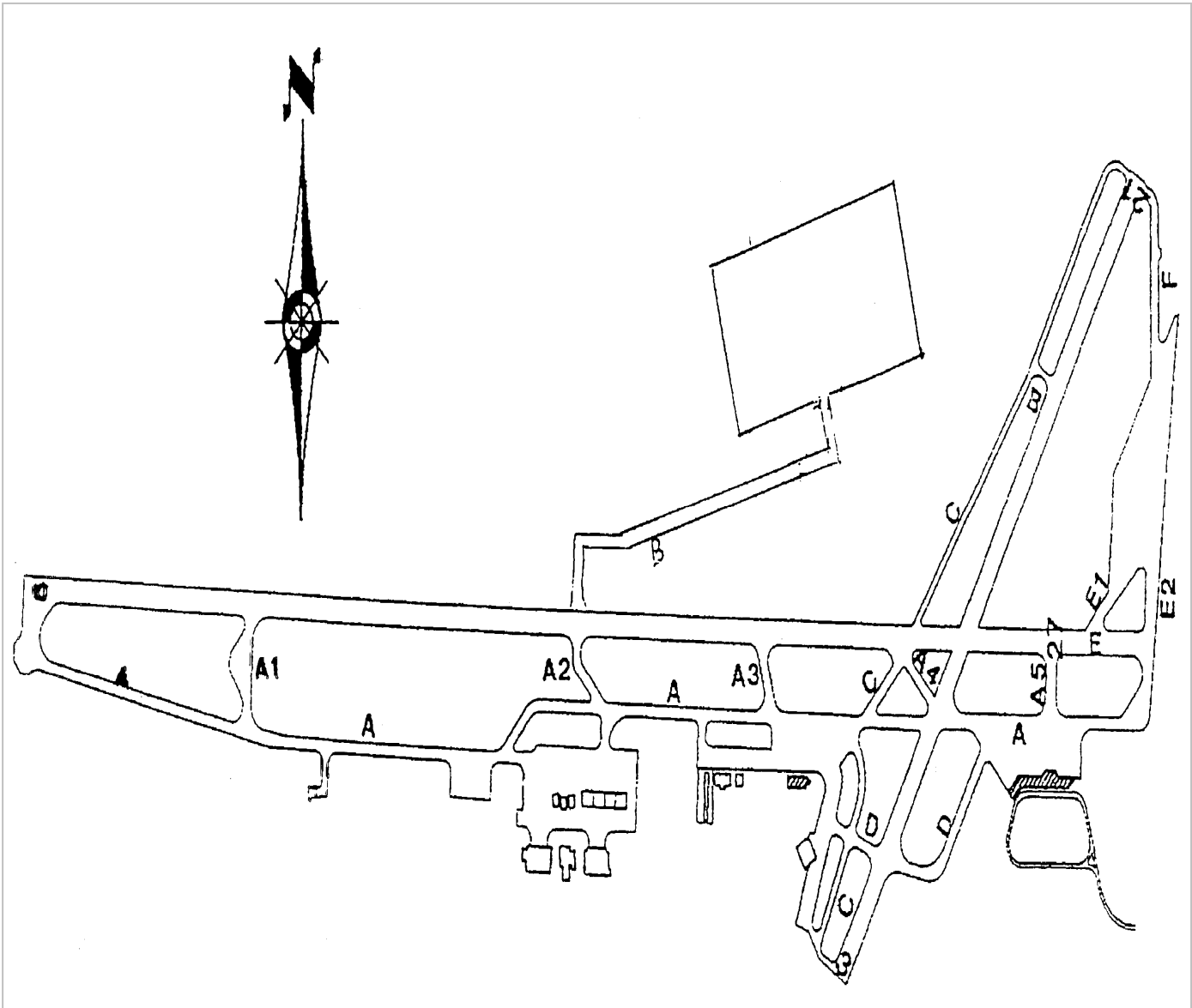
Last Name	First Name	Signature	Date
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Office Use Only

Badge Number		Lost Badge Number	
Comments			
Issued By	Date Issued	Entered By	Date Entered

Identification Badge Received By Signature	Employ	Date
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EXHIBIT-6



AIRFIELD LIGHTING CIRCUIT ELECTRICAL SAFETY PROGRAM

Airfield lighting at the Duluth International Airport presents a unique electrical hazard that requires specialized knowledge of *series circuits*, as opposed to the more common parallel circuits on which most electricians are trained. Once trained on series circuits, qualified electricians are more capable of performing their tasks with tolerable levels of risk. To obtain and maintain this level of tolerability, however, a detailed airfield lighting electrical safety program (separate from any general electrical safety program) must be developed, implemented, and maintained so that new employees and contract electricians can work on or near the airfield lighting circuits with minimal risk of injury. The program should be updated when new hazards are introduced so that experienced electricians (in addition to new and contract electricians) will have a resource from which to gather information.

The existing electrical safety program has served the Duluth International Airport in numerous ways, but given the unique nature of airfield lighting circuits (ungrounded circuits; sophisticated, remotely-controlled constant current regulators with 3,000 volts on taxiways and 5,000 volts on runways), a specific program designed for airfield lighting is warranted. Along with such a program, a new role should be established, that of electrical safety manager (ESM). The ESM will be responsible for overseeing the development and maintenance of the airfield lighting electrical safety program.

This program is the first draft of such an airfield electrical safety program. The goals of this program are as follows:

Airport Electrical Safety Goals

- 1. Place all electrical circuits in an *electrically safe work condition* prior to any work on or near them.**
- 2. When it is not possible to place a circuit in an *electrically safe work condition* prior to working on or near the circuit, provide additional safeguards (such as voltage-rated gloves and blankets) so that an equivalent level of protection is provided.**
- 3. Provide meaningful electrical safety training for airfield maintenance employees, including contractors, newly-hired DAA maintenance employees, and experienced/qualified electricians (when new tasks/hazards are introduced).**
- 4. Provide guidance for airfield maintenance in the specific safe work practices associated with airfield lighting systems.**
- 5. Provide guidance regarding the proper personal protective equipment (PPE) to wear for various airfield lighting electrical tasks.**
- 6. To minimize airfield lighting down-time due to safety-related incidents**
- 7. To ensure that the best airfield lighting safety practices are incorporated into the Duluth Airport Authority's electrical safety program to keep pace with the ever-increasing aviation knowledge base, thus facilitating the airport's response to the rapid growth and change in the aviation industry.**

These are obtainable goals, but it is critical that airport upper management concur with them lest they not be embraced at all levels of the organization.

This electrical safety program has the following components:

- Section I: Scope & Philosophy
- Section II: Personal Responsibility
- Section III: Electrical hazards and other definitions
- Section IV: Creating an *Electrically Safe Work Condition*, including Lockout Program (Control of Hazardous Energy)
- Section V: Approaching Live Parts (Hazard Boundaries & Limits of Approach)
- Section VI: Energized Electrical Work Permit Program
- Section VII: Personal Protective Equipment
- Section VIII: Contractors and Vendors
- Section IX: Identification of Hazardous Tasks and Jobs
- Section X: Procedures
- Section XI: Program Administration
- Section XII: Training
- Section XIII: Budget
- Section XIV: Audit and Recordkeeping
- Appendix A: Annual Observation of LOTO
- Appendix B: Airfield Bulb Training

SECTION I: SCOPE and PHILOSOPHY

The basic philosophy on which this program is based is that all airfield electrical work must be performed with electrical circuits and systems in an ***electrically safe work condition***. This means that the circuits are de-energized, locked out, tested dead, and in some cases, grounded. Although there will be some circumstances when this is not possible, those circumstances should be minimized, performed only when:

- A. De-energizing the circuit introduces additional hazards or,
- B. De-energizing is infeasible due to equipment design or operational limitations (such as the hazard that would be introduced to an aircraft on approach if the lighting system was inoperable).

In cases when a circuit or system will be worked on while energized, the airfield foreman must be aware of and approve the work (this is typically done via a work-permit system, although a permit is not required for tasks done routinely).

This airfield lighting electrical safety program must be read and understood by all maintenance employees at the Duluth Airport Authority who are or may be exposed to the airfield lighting circuits. Compliance with this program is a condition of employment. This includes electricians, contractors, vendors, servicing personnel, and employees other than electricians who may be exposed to the dangers of the airfield lighting circuits in the course of their normal work. Portions of the program will apply to airfield tower personnel, who must understand that their actions may endanger airfield electricians doing repairs on lighting circuits.

This program should also be read and understood by others who, although not directly exposed to the hazards of airfield lighting circuits, have a need to know about the associated hazards.

The Duluth Airport Authority's Safety Director is responsible for administering this program, although significant assistance will be provided by the SRE supervisory staff.

SECTION II: PERSONAL RESPONSIBILITY

- Each employee must take responsibility for working safely on or around electrical equipment. If you do not understand the job or task, ask your supervisor for a job briefing
- If you are designated as a *qualified electrician* (see definition below), you must know how to execute the emergency procedures to release someone from a live circuit and to perform first aid/CPR
- For all electrical work, particularly energized-electrical work, HAVE A PLAN to perform the work safely. Anticipate unexpected events.
- Use the following safety-related work practices at all times:
 - o Never break a live series circuit, as the voltage will rapidly increase, possibly up to 10,000V. Short circuits through YOU are the result. There is no overcurrent protection.
 - o Never handle cables or transformers in light base cans while there is current present. Cables or connectors can have cracked insulation that is not visible.
 - o Never enter a manhole containing exposed energized conductors without donning the proper protective equipment.
 - o Never handle cables or
- It should always be assumed that a circuit is energized until proven otherwise.
- Employees must be aware that de-energizing an electrical conductor or circuit part and making it safe to work on is, in itself, a potentially hazardous task.
- Do not work on electrical circuits or systems unless they are in an *electrically safe work condition* (de-energized, locked out, tested dead). Exceptions are permitted as allowed in this program.
- If an electrical circuit or system is not in an *electrically safe work condition*, additional precautions must be taken (e.g. voltage-rated gloves, blankets, mats).
- If a circuit is locked out, your lock should be on the lockout device.
- Only *qualified electricians* can perform high voltage work (>600V), and must always work with another *qualified electrician*.
- No bare-hand contact is to be made with exposed energized electrical conductors or circuit parts above 50 volts
- Know what constitutes a *confined space*. A confined space is defined as follows:
 - o Is large enough and so configured that an employee can bodily enter and perform assigned work; and
 - o Has limited or restricted means for entry or exit (for example, tanks, vessels, silos, storage bins, hoppers, vaults, and pits); and
 - o Is not designed for continuous employee occupancy. (from OSHA 1910.146)

SECTION III: ELECTRICAL HAZARDS and other DEFINITIONS

Electrically Safe Work Condition:

A state in which the conductor or circuit part to be worked on or near has been disconnected from energized part, locked/tagged in accordance with established standards, tested to ensure the absence of voltage, and grounded if determined necessary. Achieving an *electrically safe work condition* is the underlying principle of all electrical work. Performing work when a circuit is not rendered safe should be done only when necessary.

Hazards

The hazards associated with the airport lighting system, while unique, remain the same when discussing how they will injure and kill. Electrical hazards are:

- **Electric shock** – the primary hazard
- **Arc flash** and **arc blast** – typically hazardous only when working on the 480V side of the CCR or on any other non-series circuit, such as motor control centers, switchgear, and electrical distribution panels
- **Fire**

Electric Shock

To eliminate the hazards of electric shock, we need to know:

- The source of the hazard
- How the exposure could occur
- How severe the shock would be to the human body
- What action is necessary

Mitigating the Exposure to Electric Shock

- Can the circuit be de-energized?
- If not, what must be done to minimize the hazard?
- What personal protective equipment (PPE) will minimize the exposure?

Arc Flash

Arc flash is not as likely to occur on the low current series lighting circuits, but can occur on other non-lighting circuits on the airfield. This is because on non-lighting circuits, fault currents can increase significantly before over-current protective devices operate (in series lighting circuits, no such increase in current should occur, since the constant current regulator will maintain the current at its prescribed current).

Arc flash is defined as follows:

When an electric current passes through air between ungrounded conductors or between ungrounded conductors and grounded conductors, the temperatures can reach 35,000°F. Exposure to these extreme temperatures both burns the skin directly and causes ignition of clothing, which adds to the burn injury. The majority of hospital admissions due to electrical accidents are from arc-flash burns, not from shocks. Each year more than 2,000 people are admitted to burn centers with severe arc-flash burns. Arc-flashes can and do kill at distances of 10'. – Annex K, NFPA 70E

Arc Blast

Arc blast is not as likely to occur on the low current series lighting circuits, but can occur on other non-lighting circuits on the airfield. This is because on non-lighting circuits, fault currents can increase significantly before over-current protective devices operate (in series lighting circuits, no such increase in current should occur, since the constant current regulator will maintain the current at its prescribed current).

Arc blast is defined as follows:

An arc blast occurs when the tremendous temperatures of the arc cause the explosive expansion of both the surrounding air and the metal in the arc path. For example, copper expands by a factor of 67,000 times when it turns from a solid to a vapor. The danger associated with this expansion is one of high pressures, sound, and shrapnel. The high pressures can easily exceed hundreds or even thousands of pounds per square foot, knocking workers off ladders, rupturing eardrums, and collapsing lungs. The noise can exceed 160 dB. Finally, material and molten metal is expelled away from the arc at speeds exceeding 700 mph, fast enough for the shrapnel to penetrate the body. – Annex K, NFPA 70E

Fire

Electrical systems are a significant source of fire. This electrical safety program will not address this hazard directly, since fire hazards are broadly addressed in other sections of airport safety policies

Qualified Electrician

One who has the knowledge and skills related to the construction and operation of the electrical equipment and installations and has received safety training on the hazards involved.

Limited Approach Boundary

An approach limit at a distance from an exposed live part within which a shock hazard exists

Restricted Approach Boundary

An approach limit at a distance from an exposed live part within which there is an increased risk of shock, due to electrical arc over combined with inadvertent movement, for personnel working in close proximity to the live part.

Prohibited Approach Boundary

An approach limit at a distance from an exposed live part within which work is considered the same as making contact with the live part.

Flash Protection Boundary

An approach limit at a distance from exposed live parts within which a person could receive a second degree burn if an electrical arc flash were to occur.

Confined Space

- i. Is large enough and so configured that an employee can bodily enter and perform assigned work; and
- ii. Has limited or restricted means for entry or exit (for example, tanks, vessels, silos, storage bins, hoppers, vaults, and pits are spaces that may have limited means of entry.); and
- iii. Is not designed for continuous employee occupancy. (from OSHA 1910.146)

SECTION IV: ESTABLISHING AN ELECTRICALLY SAFE WORK CONDITION INCLUDING LOCKOUT PROGRAM (Control of Hazardous Energy)

The underlying principle in all airfield electrical work, whether on airfield lighting circuits or any other system greater than 50 volts, is to place the system in an *electrically safe work condition*. This means de-energizing the system through a physical disconnect switch (as opposed to an electronic switch, push button switches, selector switches, or other shutdown means that does not physically separate the electrical supply from the part or circuit you will be working on); locking the circuit out; testing the circuit dead (de-energized), and; grounding the circuit, where appropriate.

The steps in achieving an *electrically safe work condition* are as follows:

1. Determine all possible sources of electrical supply to the equipment or circuit on which you will be working. Check applicable up-to-date drawings, diagrams, and ID tags.
2. After properly interrupting the load current, open the disconnecting device(s) for each source identified in Step 1 above
3. Wherever possible, visually verify that all blades of the disconnecting devices are fully open or that drawout-type circuit breakers are withdrawn to the fully disconnected position.
4. Apply lockout devices in accordance with the lockout program below
5. Use voltage and current detection equipment to test each phase conductor or circuit to verify they are de-energized. Only a true RMS clamp-on ammeter should be used to test a series lighting circuit dead (voltage detection devices can read zero on such circuits). **Voltage testing (or current testing) is, in itself, a hazardous activity.** You should test the circuit dead after lunch, at the start of a new shift, or any time conditions change so that energy may be present on the circuit. Each and every time you test for the presence of hazardous energy:
 - a. Test the meter on a known energized source
 - b. Test the locked out circuit for zero energy
 - c. Verify the function of the meter again on the known energized source
6. Safeguard the circuit against induced voltages. Airfield lighting circuits are subject to such induced voltages. Use local procedures to protect yourself against such voltages. When grounding is appropriate, use grounding wires with ample capacity, such as in cases where the circuit on which you are working could contact other exposed energized conductors.

Lockout Program and Procedure

A system cannot be considered in an *electrically safe work condition* unless it is locked out. The steps below must be used to ensure that the circuit on which you are working is not only de-energized but will remain de-energized until you remove your lock or otherwise relinquish control of the circuit.

Circuit lockout implies that whoever is working on the circuit has his or own lock on the power supply disconnecting means. You should never work under the protection of someone else's lock. If numerous employees are working on a circuit, multi-lock hasps or group lock boxes are available so that each employee can put his own lock on the circuit.

Employees other than electricians, such as contractors and other trades, should be included in the lockout. Only qualified persons, however, trained in the lockout program as well as any specific lockout procedures may apply a lockout.

Locks used in the lockout program must be uniquely identified and must be used for system lockout only. The lock must be linked to a particular employee or group lockbox. Keyed or combination locks are allowable, provided the key or combination is in the control of the person whom the lock is protecting.

Machine- or System-Specific Lockout Procedures

Each task, circuit, or system having one of the following characteristics requires its own, unique lockout procedure:

- a. Multiple energy sources
- b. Multiple disconnecting means
- c. Multiple crews or crafts working on the equipment
- d. Multiple locations
- e. Unique or unusual shutdown or re-start sequences
- f. A job or task that continues for more than one week

The procedures must inform the qualified person how and through what disconnecting means the energy sources can be identified, including drawings; how energy sources can be isolated; sources of stored/residual energy; must identify who might be exposed; who is in charge;

Steps to Perform in a Lockout

1. Determine if this will be an *individual employee control lockout*, a *simple lockout*, or a *complex lockout*.
 - a. **Individual Employee Control Lockout Procedure** – Permitted for a single employee when equipment with exposed conductors and circuit parts is de-energized for minor maintenance, servicing, adjusting, cleaning, inspection, and similar low-hazard activities. A lock need not be placed on the disconnecting means, provided the disconnecting means is adjacent to the conductor or equipment being worked on and is clearly visible to the employee working on it. The work cannot extend beyond one shift. Machine or equipment specific lockout procedures are not required for this type of lockout.
 - b. **Simple Lockout Procedure** – All lockouts not considered an *individual employee control lockout* or a *complex lockout* are *simple lockouts*. A simple lockout involves one or more qualified employees (trained in the lockout program) locking out one set of conductors. Machine or equipment specific lockout procedures are not required for this type of lockout.
 - c. **Complex Lockout Procedure**
 - i. Requires that a single qualified person be in charge of all energy sources and their lockout status as well as all personnel working under the protection of the lockout. The means of accounting for all personnel must be identified.
 - ii. Requires a written procedure which identifies the person in charge. The written procedure must identify how the circuit is verified dead (de-energized).
 - iii. A complex lockout procedure is required when:
 - g. There are multiple energy sources
 - h. Multiple disconnecting means
 - i. Multiple crews or crafts
 - j. Multiple locations
 - k. Particular shutdown or re-start sequences
 - l. A job or task that continues for more than one week
2. Record the Circuit or items to be locked out on the dry erase board in the vault office including all info asked for on the board. Fill out a LOTO log sheet and post on the CCR for the duration of the work and then file on the LOTO binder.
3. Determine how each source of energy is to be physically controlled. A specific lockout procedure is required for any gear that has more than one energy source, can regain energy after lockout, or cannot be locked out with one device. Refer to the specific lockout procedure. If the procedure has not been audited in the last year, review it with a knowledgeable person.
4. Open the disconnect switches or other disengaging means. Place the lockout device on the disconnecting means (e.g. circuit breaker/disconnect switch covers; rackout circuit breakers and bag them in lockable bags).
5. Place your lock and identifying tag on the locking device

6. Remove any stored voltage or other energy (e.g. capacitors, steam pressure, residual heat, springs, gravity, chemical energy)
7. Verify that all energy has been removed with the appropriate test equipment. For airport series lighting circuits, only a true RMS ammeter should be used to test for the absence of current.
8. Using the normal starting means, attempt to start the equipment to verify that no energy is available on the circuit.
9. Work on the circuit as necessary. Check for the presence of hazardous voltages at frequent intervals, particularly after lunch, at the start of a new shift, or whenever you suspect energy on the circuit.
10. Shift Changes: At no time should a locked out circuit have its protective locks removed. Shift changes should be planned so that before one or more of the off-going shift's locks are removed, someone (the supervisor is best) from the oncoming shift should place his lock on the disconnecting means.
11. Never remove someone's lock until it can be confirmed that they are not somewhere on the airfield subject to injury. If another's lock is removed, ensure they are notified before they return to work.

SECTION V: APPROACHING LIVE PARTS (HAZARD BOUNDARIES & LIMITS OF APPROACH)

All live parts greater than 50 volts must be placed in an *electrically safe work condition* before work on or around them can be done. There are exceptions, however, if it can be demonstrated by electrical supervision or airport management that de-energizing the circuit:

1. Introduces additional or increased hazards, or;
2. Is infeasible due to equipment design or operational limitations.

For example, if de-energizing a circuit places aircraft on approach or on the ground in danger, airport management or electrical supervision may decide that the risks of working on a circuit energized are worthwhile. Another example demonstrating when it may be acceptable to allow energized work is when a circuit must be tested when it is running, including voltage testing on live circuits. **Note that it should be airport management or electrical supervision that makes such a determination, and an energized electrical work permit should be obtained!**

Boundaries around energized electrical parts and circuits should be established:

- 1) When working near exposed energized electrical parts. This includes work that is done close enough to energized electrical circuits or conductors such that a person who is not knowledgeable about such circuits could be injured if he or she inadvertently touched or came near the circuit. This could include the general public, other employees on the airfield, other electricians, or contractors. Such work will not require an *energized electrical work permit* if the employees involved will not be crossing the *limited approach boundary*, which is, at a minimum, 3'6" from the energized part. If at any time employees who are not classified as *qualified electricians* will be crossing the *limited approach boundary*, an *energized electrical work permit* (see next section) must be pulled from electrical supervision, and the job must be overseen by a qualified electrician, even if no electrical work is to be done. A better alternative to this is to de-energize the circuit, but if this is not possible, boundaries must be established, a permit pulled, and a qualified electrician enlisted to oversee the job. **At no time is an unqualified person permitted beyond the limited approach boundary without a qualified electrician escorting him! Unqualified persons are never permitted beyond the *restricted approach boundary!***
- 2) Boundaries must also be established when purposely working on or near exposed energized electrical parts. This includes all work, whether by a qualified electrician or not, done inside the *restricted approach boundary* (see definitions below). All work of this type also requires an *energized electrical work permit* (with some exceptions as noted in the next section). **Unqualified persons are never permitted beyond the *restricted approach boundary!***

The boundaries established in the table below should be adhered to when working on or near exposed energized electrical conductors. The table is taken from NFPA 70E, Standard for Electrical Safety in the Workplace (2004) (the NFPA table goes up to values of 800 kV and should be consulted if needed for higher voltages).

<u>Voltage</u>	<i>Limited Approach Boundary</i> ¹	<i>Restricted Approach Boundary</i>	<i>Prohibited Approach Boundary</i>	<i>Arc Flash Protection Boundary</i>
Less than 50	Not specified	Not specified	Not specified	See <i>Flash Protection Boundary</i> definition below
50 to 300	3'6"	Avoid contact	Avoid contact	
301 to 750	3'6"	1'0"	0'1"	
751 to 15 kV	5'0"	2'2"	0'7"	
15.1 kV to 36 kV	6'0"	2'7"	0'10"	

Table Notes

- 1) The *limited approach boundary* increases to 10' if the part being worked on can move (for example, energized rotors, wires, and other conductors that can be blown or pushed into an employee)

Limited Approach Boundary

An approach limit at a distance from an exposed live part within which a shock hazard exists. Persons who are not classified as *qualified electricians* may not breach this boundary without:

- 1) being briefed by a *qualified electrician* about the hazards of the space;
- 2) an escort by a *qualified electrician*, and;
- 3) wearing the appropriate flash protection equipment if an arc flash hazard exists.

Restricted Approach Boundary

Only *qualified electricians* may breach this boundary, and only when insulated or guarded from the energized part. The electrician must not only be qualified generally, but specifically qualified to do the task at hand. No conductive tools or parts may be brought closer than this boundary unless the electrician is insulated or guarded from shock. This boundary is an approach limit at a distance from an exposed live part within which there is an increased risk of shock, due to electrical arc over combined with inadvertent movement, for personnel working in close proximity to the live part.

Prohibited Approach Boundary

Crossing this boundary is considered the same as making contact with the live part. An electrical shock is probable simply by crossing this boundary without insulation or other protective measures.

Flash Protection Boundary

An approach limit at a distance from exposed live parts within which a person could receive a second degree burn if an electrical arc flash were to occur. The arc flash hazard while working on series airfield lighting circuits powered by a constant current regulator is minimal, since there is little bolted fault current available. For other airfield work, such as work done on the 480V supply to the constant current regulators and other non-lighting circuits, there is a significant arc flash/arc blast hazard. For voltages < 600 volts, the arc flash boundary will be at least four (4') feet (this is based on circuit interruption clearing time of 6 cycles (0.1 second) and

the available bolted fault current of 50,000 A – other clearing times will require a flash hazard analysis in accordance with NFPA 70E, section 130.3).

Observing a safe approach distance from exposed energized electrical conductors or circuit parts is an effective means of maintaining electrical safety. As the distance between a person and the exposed energized conductors or circuit parts decreases, the potential for electrical accident increases.

Unqualified persons can ensure their safety when they maintain the distances specified in the *Limited Approach Boundary* of table above. They must increase the distance if they are carrying long parts or tools (for example, if carrying a 1' pipe wrench, a plumber who happens to be working near a 120V exposed circuit should maintain a *Limited Approach Boundary* of 4'6" (3'6" + 1' (wrench) = 4'6").

Note that if this is a lighting circuit, there is no significant arc flash hazard. If this is any other type of non-lighting circuit, however, there is a possibility of arc flash, so that the arc flash boundary of 4' should be observed. Within 4' of such a circuit, all employees should be wearing flash protection gear.

SECTION VI: ENERGIZED ELECTRICAL WORK PERMIT PROGRAM

When Must an Energized Electrical Work Permit be Pulled?

All live parts greater than 50 volts must be placed in an *electrically safe work condition* before work on or around them can be done. There are exceptions, however, if it can be demonstrated by electrical supervision or airport management that de-energizing the circuit:

1. Introduces additional or increased hazards, or;
2. Is infeasible due to equipment design or operational limitations.

For example, if de-energizing a circuit places aircraft on approach or on the ground in danger, airport management or electrician supervision may decide that the risks of working on a circuit energized are worthwhile. **Note that it should be management or supervision that makes such a determination, and an energized electrical work permit should be obtained!**

Exceptions to Work Permit

Work performed on or near live parts by *qualified electricians* for testing, troubleshooting, voltage measuring, and similar tasks may be permitted without a permit, provided appropriate safe work practices and personal protective equipment is used. **Note that it should be management or supervision that allows such exceptions. These exceptions should never be allowed unless additional precautions are taken, such as using insulated gloves and other protective gear.**

Initiating an Energized Electrical Work Permit

1. Unless a task has been pre-approved as one that is allowed to be done energized without a permit, complete an *Energized Electrical Work Permit* form, items 1-11. Use the *Job Briefing and Planning Checklist* below to assist you. On some occasions, you may need input from someone outside the electrical maintenance group to complete items 1-3, since it is they who are telling you that the equipment or circuit cannot be de-energized.
2. Once complete, have the form approved by the Airside Manager.
3. If approved, establish the shock and flash protection boundaries, keeping in mind that they must be sturdy enough to keep unqualified people away. Unqualified people usually do not know what live bussing, cable, and circuits look like.
4. In addition to the shock hazards, remember the arc flash/arc blast hazards! This usually calls for arc flash clothing and protective gear whenever you are within 4' of an energized circuit < 600V. See the Personal Protective Equipment chapter of the electrical safety program for the right protective gear to wear.
5. Perform the work as outlined on the form, but plan for the unexpected.
6. After the work is complete, notify the supervisor who authorized the work

ENERGIZED ELECTRICAL WORK PERMIT

PART I: To be completed by the requestor (may or may not be an electrician)

Job/Work Order Number: _____

1. Description of circuit/equipment/job location:

2. Description of work to be done:

3. Justification of why the circuit/equipment cannot be de-energized or the work deferred until the next scheduled outage: _____

Requestor – Print

Requestor - Sign

Date

PART II: TO BE COMPLETED BY THE QUALIFIED ELECTRICIAN DOING THE WORK

4. Detailed procedure to be used in performing the above detailed work:

5. Description of the safe work practices to be employed:

6. Determine boundary distances: *limited approach; restricted approach; prohibited approach; flash:*

7. Is there an arc flash/arc blast hazard (there is no arc flash/blast hazard if the work will be done on constant current circuits; if work is done on any other circuit, including the 480V side of the CCR, there **is** dangerous arc flash/arc blast current available)

8. Personal protective equipment to be used:

9. Means employed to restrict the access of unqualified persons from the work area:

10. Did you complete a job briefing (when and with whom)? _____
11. Do you agree that this work can be performed safely (if not, return to requester)? _____

Electrically Qualified Person – Print

Sign

Date

PART III: APPROVALS TO PERFORM THE WORK WHILE HOT (ENERGIZED)

Airside Manager – Print

Sign

Date

Job Briefing and Planning Checklist

Identify

- Hazards
- Voltage levels
- Skills required
- Any secondary voltage sources?
- Any unusual work conditions
- Number of people needed to do the job

- Shock protection boundaries
- Is this series lighting, powered by a CCR? If so, no significant arc flash hazard
- If this is not an airfield lighting circuit, an arc flash/arc blast hazard is available

Ask

- Can the equipment be de-energized?

- Are backfeeds to the circuit possible?

Check

- Job Plans
- Single-line diagrams, as-builts, vendor diagrams

- Status board
- Safety procedures
- Vendor information/tech manual

Know

- What the job is
- Who else needs to know

- Who is in charge

Think

- About the unexpected...what if...?
- Lock-tag-test-try
- Test for voltage or current first
- Use the right tools and equipment, including protective gear

- Install and remove grounds, when required
- Install barriers and boundaries

Prepare for an emergency

- Is the standby person CPR trained?
- Is the required emergency equipment available?
- Where is the nearest telephone or communication equipment?

- Where is the fire alarm and fire extinguisher?
- Is confined space rescue available?
- What is the exact work location?
- How is the equipment shut off in an emergency?

SECTION VII: PERSONAL PROTECTIVE EQUIPMENT

General Principles

- Fire-resistant (FR) safety eyewear is required at all times
- Protective equipment is worn to protect against two major categories of electrical injury:
 - o Electrical shock – insulating gloves, mats, blankets. The primary feature of this protective equipment is that it insulates the wearer from electric shock
 - o Arc flash and arc blast – usually clothing, coveralls, hoods, etc., designed to withstand the arc flash and blast. The primary feature of this protective equipment is that it insulates the wearer from the high-energy electrical plasma, the heat, and to a lesser extent, the blast of a high-energy bolted fault. **It is critically important to protect the head, neck, and chest.**
- You must wear rubber insulating gloves where there is danger of hand and arm injury from electric shock due to contact with live parts. Gloves are categorized as follows:
 - o Class 00 up to 500V
 - o Class 0 up to 1,000V
 - o Class 1 up to 7,500V
 - o Class 2 up to 17,000V
 - o Class 3 up to 26,500V
 - o Class 4 up to 36,000V
- **Insulated tools**
 - o Insulated tools rated for the task being done must be used whenever working within the *restricted approach boundary*.
 - o Note that the *restricted approach boundary* must be increased by the length of tools, parts, and materials used. For example, if a two foot long pipe wrench is needed in the work zone, the restricted approach boundary must be increased by two feet.
 - o Fuse or fuse holding equipment must be insulated for the circuit voltages being worked on.
 - o Ropes and cables must be non-conductive
 - o Ladders must be non-conductive
- All protective equipment should be inspected before use. Do not use damaged gear or gear contaminated with oil or grease.
- Flame resistant clothing must be worn whenever there is a chance for arc flash or arc blast. Arc flash and arc blast, although unlikely to occur when working on lighting circuits, are frequent occurrences on other circuits, including simple 120V, 480V, and 277V circuits. Do not wear clothing that does not meet the FR requirements in the Table 2 below.
- Fibers that can melt, such as acetate, nylon, polyester, polypropylene, and spandex, shall never be worn against the skin (exception: small amounts of elastic used on underwear or socks is permitted). Fibers that can melt will greatly increase any burn injury incurred in an arc flash incident.

- When head, neck, face, and chin protection are required, ensure that the equipment is worn correctly. It is very common for electricians to leave their hoods up and their neck protection undone.
- When flame resistant (FR) clothing is worn to protect an employee, it shall cover all ignitable clothing and shall allow for movement and visibility.
- Tight-fitting clothing should be avoided. Loose-fitting clothing provides additional insulation because of air spaces.
- Flash Suits – required for some high hazard tasks (see Hazard/Risk Categories 3 and 4 in Table 1 below)
 - o Must be easy to put on and remove
 - o The entire flash suit, including the hood's face shield, must have an arc rating that is suitable for potential arc flash exposure of the task (see arc rating data in Table 3 below)
- Face shields must have an arc rating exposure suitable for the potential arc flash exposure of the task (see arc rating data in Table 3 below)
- Any outer garments such as rainwear or jackets must also be made of FR material
- Insulated soles on shoes should never be used as the sole protection against electrical shock.

Personal Protective Equipment When Working Within the Flash Protection Boundary

When inside the flash protection boundary, only fire resistant clothing and equipment can protect employees from arc flash and arc blast. Arc flash and arc blast hazards are a significant hazard for electrical work done on the airfield, including on the 480V supply side of constant current regulators, in circuit breaker panels, in switchgear, in motor control centers, and in numerous other places on the airfield. Arc flash and arc blast cause severe injuries to the head, neck, and chest area. Arc flash and arc blast occur when bolted faults generate thousands of amps, vaporizing the conductors making contact. These short-term, high current events happen very quickly, before the overcurrent protective devices operate.

For equipment and circuits less than 600V, the *flash protection boundary* should be established no closer than four (4') feet from the exposed energized part (this is based on circuit interruption clearing time of 6 cycles (0.1 second) and the available bolted fault current of 50,000 A – other clearing times will require a flash hazard analysis in accordance with NFPA 70E, section 130.3). Arc flash/arc blast boundaries do not need to be established on or around constant current airfield lighting tasks, since there is no significant bolted fault current to cause such an increase in energy.

Section X below contains common procedures done on the airfield in which arc flash and arc blast are a hazard. In each of those procedures, the protective equipment required to assist in surviving arc blast and arc flash are provided. Some other common tasks, their *Hazard/Risk Categories*, and their associated protective systems are listed below. First find the task you wish to do and the *Hazard/Risk Category* associated with it. Then determine what protective system matches the *Hazard/Risk Category*. Note that this is to protect you only against arc flash and arc blast. Insulated gloves and tools should be used to prevent against shock whenever working on or near the equipment. You will note that constant current airfield lighting work is not included because during normal constant current regulator (CCR) operation, dangerous bolted fault currents will not develop. By definition, arc flash and arc blast occur when bolted fault currents in the kA range develop. Since CCR's maintain constant current, even in ground fault conditions, arc flash and arc blast are not expected to occur in most situations.

TABLE 1

<u>Task</u> (assumes equipment is energized and work is done within the <i>flash protection boundary</i>)	Hazard/ Risk Category
Panelboards rated 240V and below	
Circuit breaker (CB) or fused switch	0
Opening hinged covers (to expose bare, energized parts)	0
Work on energized parts, including voltage testing	1
Remove/install circuit breakers or fused switches	1
Removal of bolted covers (to expose bare, energized parts)	1
Panelboards or Switchboards Rated > 240V and up to 600V	
CB or fused switch operation with covers on	0
CB or fused switch operation with covers off	1
Work on energized parts, including voltage testing	2*
600V Class Motor Control Centers (MCC)	
CB or fused switch or starter operation with enclosure doors closed	0
Reading a panel meter while operating a meter switch	0
CB or fused switch or starter operation with enclosure doors open	1

Task (assumes equipment is energized and work is done within the <i>flash protection boundary</i>)	Hazard/ Risk Category
Work on energized parts, including voltage testing	2*
Work on control circuits with energized parts 120V or below, exposed	0
Work on control circuits with energized parts > 120V, exposed	2*
Insertion or removal of individual starter “buckets” from MCC	3
Application of safety grounds, after voltage test	2*
Removal of bolted covers (to expose bare, energized parts)	2*
Opening hinged covers (to expose bare, energized parts)	1
600V Class Switchgear (with power circuit breakers or fused switches)	
CB or fused switch operation with enclosure doors closed	0
Reading a panel meter while operating a meter switch	0
CB or fused switch or starter operation with enclosure doors open	1
Work on energized parts, including voltage testing	2*
Work on control circuits with energized parts 120V or below, exposed	0
Work on control circuits with energized parts > 120V, exposed	2*
Insertion or removal (racking) of CBs from cubicles, doors open	3
Insertion or removal (racking) of CBs from cubicles, doors closed	2
Application of safety grounds, after voltage test	2*
Removal of bolted covers (to expose bare, energized parts)	3
Opening hinged covers (to expose bare, energized parts)	2
Other 600V Class Equipment (277V through 600V)	
Removal of bolted covers (to expose bare, energized parts)	2*
Opening hinged covers (to expose bare, energized parts)	1
Work on energized parts, including voltage testing	2*
Application of safety grounds, after voltage test	2*
Cable trough or tray cover removal or installation	1
Miscellaneous equipment cover removal or installation	1
Insertion or removal	2*
Motor Starters - NEMA E2 (fused contactor): 2.3 kV through 7.2 kV	
Contactors operation with enclosure doors closed	0
Reading a panel meter while operating a meter switch	0
Contactors operation with enclosure doors open	2*
Work on energized parts, including voltage testing	3
Work on control circuits with energized parts 120V or below, exposed	0
Work on control circuits with energized parts > 120V, exposed	3
Insertion or removal (racking) of starters from cubicles, doors open	3
Insertion or removal (racking) of starters from cubicles, doors closed	2
Application of safety grounds, after voltage test	3
Removal of bolted covers (to expose bare, energized parts)	4
Opening hinged covers (to expose bare, energized parts)	3
Metal Clad Switchgear, 1 kV and above	
CB or fused switch or starter operation with enclosure doors closed	2
Reading a panel meter while operating a meter switch	0

Task (assumes equipment is energized and work is done within the <i>flash protection boundary</i>)	Hazard/ Risk Category
CB or fused switch or starter operation with enclosure doors open	4
Work on energized parts, including voltage testing	4
Work on control circuits with energized parts 120V or below, exposed	2
Work on control circuits with energized parts > 120V, exposed	4
Insertion or removal (racking) of starters from cubicles, doors open	4
Insertion or removal (racking) of starters from cubicles, doors closed	2
Application of safety grounds, after voltage test	4
Removal of bolted covers (to expose bare, energized parts)	4
Opening hinged covers (to expose bare, energized parts)	3
Opening voltage transformer or control power transformer compartments	4
Other Equipment 1 kV and Above	
Switch operation, doors closed	2
Work on energized parts, including voltage testing	4
Removal of bolted covers (to expose bare, energized parts)	4
Opening hinged covers (to expose bare, energized parts)	3
Outdoor disconnect switch operation (hookswitch operated)	3
Outdoor disconnect switch operation (gang-operated, from grade)	2
Insulated cable examination, in manhole or other confined space	4
Insulated cable examination, in open area	2

This table is derived from NFPA70E, Table 130.7(C)(9)(a)

Notes

2* - means that a double-layer switching hood and hearing protection are required for this task in addition to the other Hazard/Risk Category 2 requirements

TABLE 2

	Protective Systems for Hazard/Risk Category				
	0	1	2	3	4
Protective Clothing and Equipment					
<u>Non-melting or untreated natural fiber</u>					
a. T-shirt (short sleeve)			X	X	X
b. Shirt (long sleeve)	X				
c. Pants (long)	X	X ⁴	X ⁶	X	X
<u>Fire Resistant (FR) Clothing</u>					
a. Long-sleeve shirt		X	X	X ⁹	X
b. Pants		X ⁴	X ⁶	X ⁹	X
c. Coverall		₅	₇	X	₅
<u>Fire Resistant (FR) Protective Equipment</u>					
a. Flash suit jacket (multilayer)					X
b. Flash suit pants (multilayer)					X
c. Hard hat		X	X	X	X
d. Eye protection (safety glasses or safety goggles)	X	X	X	X	X
e. Face and head area protection					
1. Arc-rated face shield or flash suit hood			X ⁸		
2. Flash suit hood				X	X
3. Hearing protection (ear canal inserts)			X ⁸	X	X
f. Leather gloves (note 2)			X	X	X
g. Leather work shoes			X	X	X

Notes (table derived from NFPA 70E Table 130.7(C)(10))

2. Leather gloves must be worn in some cases, even if insulated voltage-rated gloves are not worn underneath
4. Regular weight untreated denim cotton blue jeans are acceptable in lieu of FR pants. The FR pants used for Hazard/Risk Category 1 shall have a minimum arc rating of 4
5. If desired, use FR coveralls instead of FR shirt and pants
6. If the FR pants have a minimum arc rating of 8, long pants of non-melting or untreated natural fiber are not required beneath the FR pants
7. If desired, use FR coveralls with a minimum arc rating of 4 over non-melting or untreated natural fiber pants and T-shirt
8. A faceshield with a minimum arc rating of 8, with wrap-around guarding to protect not only the face, but also the forehead, ears, and neck (or alternatively, a flash suit hood) is required
9. Alternate is to use two sets of FR coveralls (the minimum with an arc rating of 4 and outer coverall with a minimum arc rating of 5) over non-melting or untreated natural fiber clothing, instead of FR coveralls over FR shirt and FR pants over non-melting or untreated natural fiber clothing

TABLE 3

Hazard/Risk Category	Clothing Description (typical number of clothing layers given in parentheses)	Required Minimum Arc Rating of the Personal Protective Equipment cal/cm ²
0	Non-melting, flammable materials (i.e. untreated cotton, wool, rayon, or silk, or blends of these materials) with a fabric weight at least 4.5 oz/yd ² (1 layer)	n/a
1	FR shirt and FR pants or FR coverall (1 layer)	4
2	Cotton underwear – conventional short sleeve and brief/shorts, plus FR shirt and FR pants (1 or 2 layers)	8
3	Cotton underwear plus FR shirt and FR pants plus FR coverall, or cotton underwear plus two FR coveralls (2 or 3 layers)	25
4	Cotton underwear plus FR shirt and FR pants plus multilayer flash suit (3 or more)	40

This table is from NFPA 70E, table 130.7(C)(11)

- clothing, tools, barricades
- vault safety boards (see long list in other document)

SECTION VIII: CONTRACTORS and VENDORS

All contractors and vendors performing electrical work, on the airfield, must review this procedure and confirm that their policies and procedures are at least as stringent. Contractors will be given a copy of this program via email for their review in advance of the projected start date. No electrical work will be authorized to commence without the contents of this section being adhered to.

Upon completion of review, by all employees working on the airfield or in the electrical vault, the contractor must provide a letter of compliance. The contents of the letter will include the following:

A.. Assurance that all employees who will work on the airfield or in electrical vault have read and understand the procedures outlined in this program.

B. Assurance that all employees will comply with the procedures explained in this program.

C. Any request to deviate from the policies and procedures in this program will be done in writing to the DAA Safety Manager explaining the need to deviate and control measures that will be put in place to ensure a safe operation.

SECTION IX: IDENTIFICATION OF HAZARDOUS TASKS AND JOBS

This section lists jobs and tasks on the airfield that present significant electrical hazards.

- A. Placing a Circuit in an *Electrically Safe Work Condition* and Testing for the Presence of Hazardous Energy, including Circuit **Lockout**
- B. Hot Re-Lamping
- C. Re-Lamping with Circuits De-Energized
- D. Constant Current Regulator (CCR) Maintenance with CCR Energized
- E. Electrical Work in 30' Pit
- F. Ground Fault Detection Using the CCR
- G. Jumpering Circuits
- H. Continuity Testing of Series Lighting Circuits
- I. Manual Meggering® of Series Lighting Circuits
- J. Output Voltage Measurements on CCR
- K. Work at Heights from Bucket Truck
- L. Switching Leads from One CCR to Another

In the following section, procedures are written for each of these tasks

SECTION X: PROCEDURES

A. Placing a Circuit in an *Electrically Safe Work Condition* and Testing for the Presence of Hazardous Energy, including Circuit Lockout

Purpose

One of the most common causes of airfield lighting injuries is failing to test a circuit for energy before breaking the circuit. **Every time** a circuit is broken, it should be tested for the presence of hazardous energy. In a series lighting circuit, testing is a straightforward process, but it is unique and therefore presents hazards to inexperienced electricians and contractors. Series circuits can register zero or near-zero levels of voltage on sections of the circuit, so that the only sure way to verify the presence of hazardous energy is via the use of a true RMS ammeter.

Most airfield lighting maintenance tasks, including series circuits and other more traditional electrical machinery and distribution systems, should be performed under the protection of a circuit lockout. A lockout is one element in placing an electrical system in an ***electrically safe work condition*** (a state in which the conductor or circuit part to be worked on or near has been disconnected from energized parts, locked in accordance with the DAA lockout program, tested to ensure the absence of voltage, and grounded if determined necessary).

If a circuit cannot be worked in an *electrically safe work condition*, then an *Energized Electrical Work Permit* must be pulled (see Section VI).

Qualifications and Number of Employees to be Involved: Qualified electricians only – a minimum of two.

Hazards

- 1) 5 kV shock hazard should an electrician begin working on an airfield lighting circuit after mistakenly testing for the presence of energy by using a voltage testing device instead of a true RMS clamp-on ammeter or by otherwise not properly testing for the presence of hazardous energy.
- 2) 5 kV shock hazard to SRE employees and contract electricians from incomplete execution of circuit lockout

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2" for 5 kV circuits
Prohibited Approach Boundary:	0'7" for 5 kV circuits

Flash Protection Boundary: Typically 4' for voltages under 600V, but not applicable for lighting circuits, since constant current at 6-20 amps does not generate significant bolted fault current)

Safe Work Practices:

1. **Never remove or override a lockout** without positively verifying the whereabouts of all crew members, including contract personnel.

2. The electrician performing the work must have received specific training on how to perform the tasks, including the machine- or circuit-specific shutdown, lockout, and testing for the presence of current tasks.
3. A second, qualified electrician who is trained in emergency procedures must be standing by for any work on systems greater than 600V.
4. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'), which exists until the circuit is verified dead (de-energized). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2" for 5 kV circuits).
5. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2" for 5 kV circuits).
6. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2" for 5 kV).
7. If it is possible for you to contact exposed energized parts before you verify that the circuit is dead (de-energized), wear voltage-rated insulated gloves and other insulating materials when inside the *restricted approach boundary*. (2'2" for 5 kV). For protection up to 7.5 kV, Class 1 gloves should be worn. Insulating gloves should be covered with leather outer-gloves.
8. **DANGER: Do not use a voltage meter as the primary means of testing a series lighting circuit for the presence of hazardous energy! A true RMS clamp-on ammeter must be used.** A series lighting circuit may indicate low and zero volts at numerous points in the circuit, even though the full electrical energy of the circuit is present.
9. All tools used prior to the circuit being verified dead (de-energized) must be insulated.
10. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
11. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.
12. Never work under a contractor's lockout procedure unless you have verified the lockout yourself and have placed your lock on the lockout devices.

Personal Protective Equipment Needed

1. Voltage-rated gloves with leather protective covers if exposed to energized conductors prior to testing the circuit dead (de-energized).
2. Fire-resistant safety glasses
3. Non-melting/untreated natural fiber t-shirt (long sleeve)
4. Non-melting/untreated natural fiber long pants

Insulating Tools and Equipment: All tools should be insulated if, prior to verifying the circuit dead, they are exposed to energized electrical conductors.

Special Precautionary Techniques: Beware of stored energy in capacitors in REIL's and beacons. Beware of secondary sources of voltage such as control voltage.

Electrical Diagrams: In many cases, multiple sources of electrical power are available in a circuit, including stored energy in capacitors (REILs and beacons), control voltage (typically 120 VAC or 48 VDC), and induced voltages from other circuits. For complex systems, it is

critical that accurate as-built drawings be consulted when placing a circuit in an *electrically safe work condition*.

Equipment Details: Electricians should be trained on the equipment they will be placing in an *electrically safe work condition*.

Other Reference Documents or Materials: none

Steps to Take When Placing a Circuit in an *Electrically Safe Work Condition*, including Locking it Out

1. Plan your work and work your plan. Expect the unexpected
2. De-energize the circuit using the normal shutdown procedure. To qualify as an *electrically safe work condition*, a physical disconnect mean must be used. Electronic circuitry cannot be used as a lockout means. Circuit breakers, disconnect switches, and pulled fuses are examples of disconnecting means that provide a physical break of the electrical circuitry.
3. Use accurate technical manuals or as-built drawings to de-energize machinery or circuits. Even simple machines and circuits may have multiple sources of energy such as control voltage and capacitors. Verify that the system will not have stored energy once shut down, such as charged capacitors, compressed springs, fluids under pressure, etc.
4. Protect against induced voltages (*how is this achieved on the airfield?*)
5. Some circuits require that stored or residual energy be dissipated. For example, capacitors must be discharged, springs disconnected, and flywheels allowed to coast to a stop. Using the procedure recommended by the manufacturer of the equipment or in accordance with other best practices, discharge the stored energy.
6. Place your lock and tag that identifies you on the disconnecting device (energy isolating device). In many cases, numerous locks and locking devices may be required to isolate all power sources.
7. If this is a group project, each person working on the system or equipment should place his or her lock and identifying tag on a group hasp or in a group lock box. Do not work under the protection of another's lock.
8. Always do the three steps below when using your test equipment on a circuit:
 - a. Test your meter on a known source to verify that it is functioning properly.
 - b. Test your meter on the circuit on which you will be working. **THIS IS A HAZARDOUS STEP!** You must not assume that the circuit is dead. Disconnect switches and circuit breakers can and do fail, leaving hazardous energy on the circuit.
 - c. After testing the circuit dead, re-test your meter on the known source again to verify that it is working.

9. If the circuit can be re-energized inadvertently via contact with adjacent circuits (such as falling wires) or via induced voltages, connect grounding rods or cables to the circuit being worked on (or otherwise protect the circuit) so that no potential can be created between you and the circuit).
10. Perform the work on the circuit. If you are leaving the site and must remove your lock, someone should place his or her lock and identifying tag on the lockout devices before you remove yours to ensure the continuity of the lockout.
11. Prior to clearing the lockout, verify that all personnel (including contractors) are clear of any danger.
12. Remove the locks and tags from the energy isolating devices.
13. Restart the system in accordance with the manufacturer's instructions, verify that the system is operating within allowable specifications.

B. Hot Re-Lamping

Purpose

Re-lamping airfield lights while the system is energized is a frequent cause of injury and death on airfields around the world. Additionally, physical damage to the fixtures occurs when they are re-lamped while energized. Hot re-lamping is usually done when the need to correct a lighting deficiency is urgent.

If de-energizing a lighting system will endanger an aircraft on approach or on the ground, or if it is operationally unsafe or infeasible to de-energize a lighting circuit, it may be worked on energized (*hot re-lamping*). The hazards discussed here also include the simple cleaning tasks on glass lenses, since the use of cleaning fluids will greatly increase the electrical shock hazard as body resistance will be lowered. If a lighting circuit will be worked in an energized state, additional precautions should be used to compensate for the increased risk.

Because the re-lamping is done without having the system in an *electrically safe work condition*, the practice should be eliminated, if possible, or at least minimized.

Qualifications and Number of Employees to be Involved: Qualified electricians only with specific training in this procedure – a minimum of two electricians due to work on energized circuits

Hazards: Secondary shock hazards up to 200V and primary-to-secondary short circuits, exposing electricians to voltages as follows:

1. On taxiways – 3 kV, with up to 6 kV if an electrician mistakenly attempts to break an energized circuit
2. On runways – 5 kV, with up to 10 kV if an electrician mistakenly attempts to break an energized circuit.

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	Not applicable (constant current at 6-20 amps – no significant bolted fault current)

Safe Work Practices:

1. Prior to starting the work, a determination must be made as to why this re-lamping procedure must be done with the circuit energized. A supervisor should make the determination that the task must be done while energized.
2. An energized electrical work permit should be issued, time permitting
3. The electrician performing the work must have received specific training on how to perform the hot re-lamping task
4. A second, qualified electrician who is trained in emergency procedures must be standing by
5. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no

- time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
6. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
 7. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").
 8. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn when inside the *restricted approach boundary* (2'2"). These insulating gloves should be covered with leather outer-gloves.
 9. The secondary side of the lamp should be tested to verify that a primary-to-secondary short does not exist. A VOM or DMM capable of testing up to the maximum expected voltage (3 kV on taxiways, 5 kV on runways) must be used.
 10. All tools must be insulated.
 11. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
 12. No energized electrical work may be done without proper illumination.
 13. No conductive jewelry or clothing may be worn
 14. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Personal Protective Equipment Needed

1. Class 1 voltage-rated gloves (for protection up to 7.5 kV) with leather protective covers;
2. Fire-resistant safety glasses
3. Non-melting/untreated natural fiber t-shirt (long sleeve)
4. Non-melting/untreated natural fiber long pants

Insulating Tools and Equipment: All tools should be insulated

Special Precautionary Techniques: None

Electrical Diagrams: If time permits, refer to available hardcopy or computer-based as-builts or blueprints, if necessary.

Equipment Details: The lamp is typically a 200V bulb, but is powered via a lighting transformer whose primary can be 5 kV.

Other Reference Documents or Materials: none

Steps to Take When Doing Hot Re-Lamping

1. Plan your work and work your plan. Expect the unexpected
2. Determine why the lamp needs to be replaced while energized and communicate this reason to your supervisor.

3. Obtain an Energized Electrical Work Permit (see Section VI). If there is not enough time to pull a permit, verbally review the steps of the permit with the supervisor, obtaining verbal approvals and confirmations on each step.
4. Proceed to the lamp that must be replaced. You must be a qualified electrician and must have received training in this procedure.
5. You must be accompanied by another qualified electrician.
6. Prior to breaching the *restricted approach boundary* (2'2"), inspect your Class 1 insulated gloves and put them on (do not use the gloves if they are ripped or damaged). Cover the gloves with leather outer gloves.
7. Repair the lamp, remaining aware of the possibility of the high voltage hazards associated with primary to secondary shorts.
8. Do not remove your gloves until you are finished working inside the *restricted approach boundary*.

C. Re-lamping Circuits while De-Energized but with CCR NOT Locked Out

Purpose

Re-lamping airfield lights is typically done without the power supply (the constant current regulator (CCR)) locked out due to the infeasibility of such a lockout. It is infeasible because for most re-lamping tasks, electricians on the airfield would need to lock out the CCR in the vault and then drive long distances to the airfield to do the re-lamping. The electrician would then need to drive back to the vault, clear the lockout, and drive back to the lamp to ensure that it is working.

By definition, performing work on electrical circuits without a system lockout means that the circuit is NOT in an *electrically safe work condition*. As such, **significant hazards remain with this task**. Therefore, additional precautions must be taken to provide a level of protection equivalent to an *electrically safe work condition*. An electrician who does not maintain control of the circuit on which he works by placing his or her own lock on the CCR disconnect is placing himself at additional risk.

Note: Although it is rarely possible to do re-lamping tasks with the circuit in an *electrically safe work condition* (that is, with the CCR locked out by the electrician doing the re-lamping), it remains the preferred method of doing re-lamping tasks. When re-lamping is done with the circuit in an *electrically safe work condition*, this procedure need not be followed. Only the procedure to place the circuit in an *electrically safe work condition* need be followed.

Qualifications and Number of Employees to be Involved

1. Qualified electricians only – a minimum of two - with specific training on this procedure.
2. If a tower employee will be overseeing the CCR while an electrician is working on the circuit it supplies, the tower employee must be trained on this procedure.

Hazards

Secondary shock hazards up to 200V and primary-to-secondary short circuits, exposing electricians to voltages as follows:

1. On taxiways – 3 kV, with up to 6 kV if an electrician mistakenly attempts to break an energized circuit
2. On runways – 5 kV, with up to 10 kV if an electrician mistakenly attempts to break an energized circuit.

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	Not applicable (constant current at 6-20 amps – no significant bolted fault current)

Safe Work Practices:

1. Because you will not have direct control over the power source of the lighting circuit on which you will be working, you must complete this task as quickly and safely as possible. Planning is essential.
2. Establish radio contact with the person overseeing the CCR in the vault or tower. A headset or other hands-free device should be used. Radio communications should be constant.
3. If the CCR cannot be locked out, it is preferable to do re-lamping tasks by de-energizing the CCR from the vault, as opposed to the tower. Tower personnel are not trained electricians and may have numerous other airfield tasks to consider including aircraft on approach and on the ground
4. A second, qualified electrician who is trained in emergency procedures is standing by during the re-lamping task.
5. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
6. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
7. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").
8. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn when inside the *restricted approach boundary* (2'2"). These insulating gloves should be covered with leather outer-gloves.
9. The secondary side of the lamp should be tested to verify that a primary-to-secondary short does not exist. A VOM or DMM capable of testing up to the maximum expected voltage (3 kV on taxiways, 5 kV on runways) must be used.
10. All tools must be insulated.
11. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
12. No energized electrical work may be done without proper illumination.
13. No conductive jewelry or clothing may be worn
14. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Personal Protective Equipment Needed

1. Class 1 voltage-rated gloves (for protection up to 7.5 kV) with leather protective covers;
2. Fire-resistant safety glasses
3. Non-melting/untreated natural fiber t-shirt (long sleeve)
4. Non-melting/untreated natural fiber long pants

Insulating Tools and Equipment: All tools should be insulated

Special Precautionary Techniques

1. If the CCR cannot be locked out, it is preferable to do re-lamping tasks by de-energizing the CCR from the vault, as opposed to the tower. Tower personnel are not trained electricians and may have numerous airfield tasks to consider.
2. Establish hands-free radio communications with the vault or tower so that constant contact can be maintained during the procedure

Electrical Diagrams: If time permits, refer to available hardcopy or computer-based as-builts or blueprints, if necessary.

Equipment Details: The lamp is typically a 200V bulb, but is powered via a lighting transformer whose primary can be 5 kV.

Other Reference Documents or Materials: none

Steps to Take When Doing Re-Lamping of De-Energized Circuits without CCR Lockout

1. Plan your work and work your plan. Expect the unexpected
2. This procedure should only be done if it is infeasible to lock out the constant current regulator (CCR). If possible, do the re-lamping tasks by de-energizing the CCR and locking it out with your own lock. If this is not feasible, continue with the steps below.
3. Establish radio contact with the person overseeing the shutdown of the CCR in the vault or tower (using another trained, qualified electrician in the vault is preferable to using tower personnel). A headset or other hands-free device should be used. Radio communications should be constant.
4. Proceed to the lamp that must be replaced. You must be a qualified electrician and must have received training in this procedure.
5. You must be accompanied by another qualified electrician.
6. Prior to breaching the *restricted approach boundary (2'2")*, inspect your Class 1 insulated gloves and put them on (do not use the gloves if they are ripped or damaged). Cover the gloves with leather outer gloves.
7. Test the circuit for the presence of current using a true RMS ammeter. If no current is detected, proceed with the re-lamping task. Be aware that because the CCR is not locked out, power could inadvertently be turned on at any time. Test the circuit for the presence of current each time you return to the task after walking away from it.

8. Repair the lamp, remaining aware of the possibility of the high voltage hazards associated with primary to secondary shorts.
9. When repair is complete, step outside the *restricted approach boundary* and ask the tower or vault to energize the circuit. Visually confirm that the lamp is lit.
10. Ask the tower or vault to de-energize the CCR
11. Do not remove your gloves until you are finished working inside the *restricted approach boundary*.
12. When outside the *restricted approach boundary*, inform the vault or tower that it is safe to re-energize the circuit. Visually verify that the lamp

D. Constant Current Regulator Maintenance with CCR Energized

Purpose

Basic maintenance on constant current regulators (CCR) presents 480 volt, 120 volt, and 48 VDC **shock, arc flash, and arc blast** hazards.

For most maintenance tasks, the CCR cabinet remains completely closed with no exposed electrical conductors. Calibration is typically done from control panels on or around the outside of the CCR. This procedure does not apply to those tasks if they are done with the CCR in an *electrically safe work condition*.

There are some tasks, however, that expose electricians to energized conductors inside the CCR cabinet. This procedure applies to those tasks that are done on or around CCR's when energized conductors are exposed.

The procedure for output voltage measurement tests on the CCR is a separate procedure. See item J later in this section.

Qualifications and Number of Employees to be Involved: Qualified electricians only with specific training in CCR maintenance

Hazards:

- 1) 480 VAC shock hazard from supply voltage in CCR
- 2) 120 VAC and 48 VDC shock hazard from control voltage
- 3) Arc flash and arc blast hazards

Limits of Approach:

	<u>480 VAC</u>	<u>120 VAC/48 VDC</u>
Limited Approach Boundary	5'	3'6"
Restricted Approach Boundary	1'	Avoid contact
Prohibited Approach Boundary	0'1"	Avoid contact
Flash Protection Boundary	4'	4'

Safe Work Practices:

1. Prior to starting the work, a determination must be made as to why this re-lamping procedure must be done with the circuit energized. A supervisor should make the determination that the task must be done while energized.
2. An energized electrical work permit should be issued, time permitting
3. The electrician performing the work must have received specific training on how to perform the hot re-lamping task
4. A second, qualified electrician who is trained in emergency procedures must be standing by
5. Exposed energized conductors are hazardous during even the simplest procedures, such as opening cabinet doors and voltage testing. Personal protective equipment must be worn as noted in the table below.
6. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *flash protection boundary*(4').
7. Do not cross the flash protection boundary without wearing the protective equipment as noted in the table below.
8. No un-insulated body parts are permitted past the *restricted approach boundaries*.
9. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundaries*.
10. Class 00 voltage-rated gloves (for protection up to 500V) must be worn when inside the *restricted approach boundary* (1'). These insulating gloves should be covered with leather outer-gloves.
11. All tools must be insulated when working on energized electrical equipment.
12. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
13. No energized electrical work may be done without proper illumination.
14. No conductive jewelry or clothing may be worn
15. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Personal Protective Equipment Needed

The table below addresses the hazards of working on the live supply side of a CCR, where there are high bolted fault currents available (as opposed to low fault currents available on the lighting side of the airfield lighting system). With high bolted fault currents come arc blast and arc flash hazards necessitating the use of personal protective equipment to protect electricians. **Note that even some simple tasks such as opening cabinets to expose live conductors are hazardous.** For these simple tasks, **dangerous** arc flash/arc blast potential exists, so that arc flash protective equipment must be worn.

For exposure to the voltages and conditions below, wear the protective equipment outline in the column below:

<u>120 VAC/48 VDC</u>	<u>480 VAC</u> - Removal of bolted covers - Work on energized parts - Applying grounds - Insert/remove parts, equip	<u>480 VAC</u> - Removal of hinged covers - Cable trough/tray removal or installation - Equipment cover removal or installation
<p>Note 1: assumes no exposure to the live 480 V circuit</p> <ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses 	<ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses or goggles 7. Arc rated face shield or flash hood (minimum arc rating of 8) 8. Hearing protection (in ear canal) 	<ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses

Insulating Tools and Equipment: All tools should be insulated

Special Precautionary Techniques: There are numerous CCR types on the airfield, so refer to the specific CCR tech manual for guidance

Electrical Diagrams: Refer to the CCR technical manual to ensure that all energy sources are properly considered.

Equipment Details: There are numerous CCR types on the airfield, so refer to the specific CCR tech manual for guidance

Other Reference Documents or Materials: none

Steps to Take When Performing Maintenance on an Energized CCR

1. Plan your work and work your plan. Expect the unexpected
2. Determine why the CCR needs to be maintained while energized and communicate this reason to your supervisor. This procedure should only be done if it is infeasible to lock out the constant current regulator (CCR). If possible, do the maintenance tasks by de-energizing the CCR and locking it out with your own lock. If this is not feasible, continue with the steps below
3. Obtain an Energized Electrical Work Permit (see Section VI). If there is not enough time to pull a permit, verbally review the steps of the permit with the supervisor, obtaining verbal approvals and confirmations on each step.
4. Proceed to the CCR to be worked on. You must be a qualified electrician and must have received training in this procedure.
5. You must be accompanied by another qualified electrician if the work is done while the CCR is energized
6. Prior to breaching the *flash protection boundary (4')*, don the flash protective equipment as noted in the table above. Simply opening CCR panels to expose 480V conductors presents an arc flash/arc blast hazard. Note that for some of the 480 V exposures, a flash hood and hearing protection is required in addition to other fire resistant gear. Arc flash protective equipment, including FR coveralls, an FR hardhat, ear canal hearing protection, and an FR arc-rated face shield or flash hood with a minimum arc flash rating of 8 (see the table above), should be provided in each of the vaults
7. Prior to breaching the *restricted approach boundary (1')*, inspect your Class 00 insulated gloves and put them on (do not use the gloves if they are ripped or damaged). Cover the gloves with leather outer gloves.
8. Repair/maintain the CCR in accordance with the manufacturer's instructions.
 - a. When performing the short circuit test across the leads, the CCR must be placed in an *electrically safe work condition* before removing the leads and hooking up the short circuit wiring
 - b. When performing the open circuit test, the CCR must be placed in an *electrically safe work condition* before removing the CCR leads.
9. Do not remove your gloves until you are finished working inside the *restricted approach boundary*.
10. Do not remove the arc flash protective gear until all energized conductors are covered by the CCR cabinet.

E. Electrical Work in 30' Pit- NOT APPLICABLE AT THIS TIME

Purpose

Some necessary electrical work is done in a 30' pit on the airfield, including pulling wire and installing circuits and equipment

Qualifications and Number of Employees to be Involved: Only electricians who have had specific training related to electrical tasks in this 30' pit, including confined space entry training.

Hazards: Confined spaces; energized electrical work in a confined space.

Confined space hazards. A confined space is defined as follows:

- i. Is large enough and so configured that an employee can bodily enter and perform assigned work; and
- ii. Has limited or restricted means for entry or exit (for example, tanks, vessels, silos, storage bins, hoppers, vaults, and pits are spaces that may have limited means of entry.); and
- iii. Is not designed for continuous employee occupancy. (from OSHA 1910.146)

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	4' - If tasks consist only of constant current circuitry, arc flash personnel protective equipment may not be necessary.

Safe Work Practices:

1. Prior to starting the work, a determination must be made as to why any work must be done with the circuit energized. Circuits to be considered include those circuits to be worked on as well as adjacent circuits to which an electrician might be exposed. A supervisor should make the determination that the task must be done while energized.
2. An energized electrical work permit should be issued, time permitting
3. Refer to the _____ AIRPORT/_____ Airport Confined Space Entry Procedure. A hazardous gas detector (sniffer) should be placed into the pit prior to entry. Readings should be logged until they are stable and within allowable limits. Ventilation should be provided into the pit during the electrical maintenance tasks. Sniffer readings should be taken continuously and logged at regular intervals to ensure that the sniffer is continuing to function. , but the sniffer is not left behind while work is being done. Ventilation is available during the task, but if the gas detector does not remain in the space, a hazard may develop while the work is being done.

4. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *flash protection boundary*(4').
5. Do not cross the flash protection boundary without wearing arc flash protective equipment . Such equipment will not be necessary if only airfield lighting circuits are in the pit.
6. No un-insulated body parts are permitted past the *restricted approach boundaries*.
7. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundaries*.
8. Voltage-rated gloves must be worn when inside the *restricted approach boundary* (1'). And when working on energized electrical equipment. Insulating gloves should be covered with leather outer-gloves.
9. All tools must be insulated when working on energized electrical equipment.
10. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
11. No energized electrical work may be done without proper illumination.
12. No conductive jewelry or clothing may be worn

Personal Protective Equipment Needed

The table below addresses the hazards of working near energized electrical circuits with potentially high fault currents (as opposed to low fault currents available on the lighting side of the airfield lighting system). With high bolted fault currents come arc blast and arc flash hazards necessitating the use of personal protective equipment to protect electricians. **Note that even some simple tasks such as opening cabinets to expose live conductors are hazardous.** For these simple tasks, dangerous arc flash/arc blast potential exists, so that arc flash protective equipment must be worn.

For exposure to the voltages and conditions below, wear the protective equipment outline in the column below:

<p align="center"><u>120 VAC/48 VDC</u></p> <p><u>Note 1:</u> assumes no exposure to the live 480 V circuit</p>	<p align="center"><u>480 VAC</u></p> <p align="center">- Removal of bolted covers - Work on energized parts - Applying grounds - Insert/remove parts, equip</p>	<p align="center"><u>480 VAC</u></p> <p align="center">- Removal of hinged covers - Cable trough/tray removal or installation - Equipment cover removal or installation</p>
<ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses 	<ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses or goggles 7. Arc rated face shield or flash hood (minimum arc rating of 8) 8. Hearing protection (in ear canal) 	<ol style="list-style-type: none"> 1. Untreated cotton long pants 2. Fire Resistant (FR) long-sleeved shirt 3. FR pants (if arc flash rating of FR pants > 8, long pants need not be worn below FR pants) 4. FR coveralls can replace FR pants and shirt (as long as arc rating is > 4) 5. FR hard hat 6. FR safety glasses

Insulating Tools and Equipment: All tools should be insulated when working on or near energized conductors.

Special Precautionary Techniques: In addition to electrical precautions, adhere to confined space precautions

Electrical Diagrams: Refer to as-built drawings

Equipment Details: None

Other Reference Documents or Materials: Constant current regulator technical manual

Steps to Take When Working in the 30' Pit

1. Plan your work and work your plan. Expect the unexpected
2. If energized electrical work is being considered, determine why the circuit needs to be worked on while energized and communicate this reason to your supervisor. This procedure should only be done if it is infeasible to lock out the circuit. If possible, do the maintenance tasks by de-energizing the circuit and locking it out with your own lock. If lockout is not feasible, continue with the steps below.
3. Obtain an Energized Electrical Work Permit (see Section ___ below). If there is not enough time to pull a permit, verbally review the steps of the permit with the supervisor, obtaining verbal approvals and confirmations on each step. You must be accompanied by another qualified electrician if the work is done while in the pit is energized
4. Prior to breaching the *flash protection boundary* (4'), don the flash protective equipment as noted in the table above. Simply opening CCR panels to expose 480V conductors Obtain a Confined Space Entry Permit (see the _____ AIRPORT/_____ Airport Confined Space Entry Program).
 - a. Calibrate the air testing equipment prior to dropping it into the pit
 - b. Obtain air quality readings from the readouts on the sniffer. When acceptable, proceed into the space. If acceptable readings cannot be obtained, introduce ventilation until acceptable readings are obtained. Once acceptable air readings are obtained, enter the pit.
 - c. The sniffer should continuously monitor the space and alarm if and when the air quality deteriorates. EXIT THE PIT IMMEDIATELY UPON HEARING A SNIFFER ALARM OR IF YOU FEEL FAINT OR NAUSEOUS!
 - d. Ensure that the rescue and buddy system procedures are in place
5. Presents an arc flash/arc blast hazard. Note that for some of the 480 V exposures, a flash hood and hearing protection is required in addition to other fire resistant gear. Arc flash protective equipment, including FR coveralls, an FR hardhat, ear canal hearing protection, and an FR arc-rated face shield or flash hood with a minimum arc flash rating of 8, should be provided.
6. Prior to breaching the *restricted approach boundaries*, inspect your insulated gloves and put them on (do not use the gloves if they are ripped or damaged). Cover the gloves with leather outer gloves.
7. Perform the required electrical maintenance tasks in the pit.
8. Do not remove your gloves until you are finished working inside the *restricted approach boundary*.
9. Do not remove the arc flash protective gear until all energized conductors are covered by the CCR cabinet.
10. Exit the pit immediately upon finishing the tasks.

F. Ground Fault Detection Using the CCR

Purpose

In some cases when the situation is urgent, the constant current regulator (CCR) is used to locate single ground faults. This presents a hazard to employees in the vault and on the airfield who are trying to locate the ground faults visually. Because there are safer methods by which to locate ground faults, using the CCR to locate them should be avoided as much as possible. Ground faults should be located by less hazardous techniques such as via the automated Megger® test system or by using volt-ohm-milliammeters (VOM) or digital multimeters (DMM). If one of these tests indicates the presence of a ground, but the ground fault cannot be found by inspecting the circuit visually, the ground can be located by using the CCR and a test setup.

Qualifications and Number of Employees to be Involved:

1. Qualified electricians— a minimum of two in the vault - with specific training on this procedure.
2. Electricians on the airfield to observe specific sets of lights during the test

Hazards:

- 1) 5 kV shock hazard in the vault due to the CCR output being grounded (via a 45 Watt isolation transformer and light fixture). Electricians must stay away from the immediate vicinity of the grounded lamp setup.
- 2) 5 kV shock hazard in the field should electricians locate the open circuit and begin working on it before the CCR is de-energized from the vault.

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	Not applicable (constant current at 6-20 amps – no significant bolted fault current)

Safe Work Practices:

1. Determine whether it is possible to locate ground faults using one of the safer methods employing a Megger®, volt-ohm-milliammeter (VOM), or digital multimeter (DMM). If not, proceed with the steps below.
2. A second, qualified electrician who is trained in emergency procedures is standing by in the vault during the test.
3. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
4. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
5. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").
6. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn when inside the *restricted approach boundary* (2'2"). These insulating gloves should be covered with leather outer-gloves.
7. All tools must be insulated.
8. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
9. No energized electrical work may be done without proper illumination.
10. No conductive jewelry or clothing may be worn
11. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Personal Protective Equipment Needed

- 1) Non-melting/untreated natural fiber t-shirt (long sleeve)
- 2) Non-melting/untreated natural fiber long pants
- 3) Fire resistant (FR) safety glasses

Insulating Tools and Equipment: All tools should be insulated

Special Precautionary Techniques

1. An electrician will need to work on the airfield itself to detect grounds by observing whether or not lights are on or off. This electrician **must not** attempt to conduct repairs on the circuit without first placing the circuit in an *electrically safe work condition*. Refer to the procedures for *Hot Re-Lamping* and *Re-Lamping with Circuits De-Energized* above

Electrical Diagrams: If available, a basic diagram depicting the lighting circuit being tested will assist with ground fault location.

Equipment Details: The lamp is typically a 200V bulb, but is powered via a lighting transformer whose primary can be 5 kV.

Other Reference Documents or Materials: Constant current regulator technical manual

Steps to Take When Doing Re-Lamping of De-Energized Circuits without CCR Lockout

1. Plan your work and work your plan. Expect the unexpected
2. Determine whether it is possible to locate ground faults using one of the safer methods employing a Megger®, volt-ohm-milliammeter (VOM), or digital multimeter (DMM). If not, proceed with the steps below.
3. Obtain permission to use the energized CCR to locate ground faults.
4. There must be two qualified electricians in the vault during this procedure.
5. Before rigging the test setup, place the CCR in an *electrically safe work condition*. Typically, a 45 watt isolation transformer and light fixture are connected between one of the regulator outputs and ground.
6. Clear the lockout and stand well clear of the test setup. If the test lamp lights, there is at least one ground fault on the circuit.
7. With the regulator energized, electricians on the airfield can locate the ground fault by observing the pattern of lamps that are lit or not lit. This test may be done numerous times to locate multiple ground faults. The test setup should be switched from one CCR output lead to another to verify that multiple ground faults do not exist.
8. Once the ground faults are located in the field, place the CCR in an *electrically safe work condition* prior to repairing the grounded equipment.
9. Once the circuit is in an *electrically safe work condition*, repair the ground by checking the cable, connector kits, splices, etc.

When repairs are complete and field electricians are clear of the equipment, re-test the circuit using steps 3-8 above. Specific training should be provided for grounded output test used to locate ground faults. Electricians should be advised of the need to stay away from the grounded test setup in the vault, since the CCR may generate high voltages as it attempts to overcome the resistance of any high resistance faults.

F. Jumpering Circuits

Purpose

Airfield lighting must sometimes be re-aligned using jumpers. The task requires both knowledge of the specific airfield circuits being jumpered, as well as a familiarity with the hazards of series circuits to avoid incidents related to improper disconnection of a series lighting circuit.

Qualifications and Number of Employees to be Involved:

Qualified electricians only – a minimum of two whenever working with voltages greater than 600V - with specific training on this procedure.

Hazards:

- 1) 5 kV shock hazard from disconnecting the wrong airfield lighting cable
- 2) 5 kV shock hazard while working with splices and other non-standard connections
- 3) Shock and arc flash/blast hazards while working in vaults (vaults contain numerous and varied circuit types, including lighting and non-lighting circuits).
- 4) Confined space hazards
 - a. Confined space hazards – Airfield spaces through which jumpering is done may need to be classified as *permit-required confined spaces*. A confined space is defined as follows:
 - i. Is large enough and so configured that an employee can bodily enter and perform assigned work; and
 - ii. Has limited or restricted means for entry or exit (for example, tanks, vessels, silos, storage bins, hoppers, vaults, and pits are spaces that may have limited means of entry.); and
 - iii. Is not designed for continuous employee occupancy. (from OSHA 1910.146)

Limits of Approach:

Limited Approach Boundary:	5'0" (may increase if circuit voltages encountered > 72.5 kV)
Restricted Approach Boundary:	2'2" (may increase if other circuit voltages encountered > 15 kV)
Prohibited Approach Boundary:	0'7" (may increase if other circuit voltages encountered > 15 kV)
Flash Protection Boundary:	Not applicable if only series circuits are encountered. If other non-lighting circuits exist in manholes, pits, or vaults, flash protection boundaries <u>will</u> be necessary. The voltage levels of the non-lighting circuits and the alignment of the space in which the jumpering is done will dictate the flash protection equipment required.

Safe Work Practices:

1. If spaces where the jumpering is to be done are classified as confined spaces, do not enter until the atmosphere in the space is tested clean. Refer to the DAA Confined Space Entry Program.
2. A second, qualified electrician who is trained in emergency procedures is standing by during all tasks.
3. Use only approved connector kits, splices, and glues
4. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
5. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
6. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").
7. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn when inside the *restricted approach boundary* (2'2"). These insulating gloves should be covered with leather outer-gloves.
8. All tools must be insulated when working on or near energized parts. No un-insulated tools inside the *restricted approach boundary*.
9. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
10. No energized electrical work may be done without proper illumination.
11. No conductive jewelry or clothing may be worn
12. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Personal Protective Equipment Needed

Depends on the flash hazards present in the manholes, vaults, and other spaces in which the jumpering is done. For example, if non-lighting cables carrying more than 1 kV must be handled, flash suits will be required. If any of the pits/manholes/vaults contain any exposed circuitry or bussing, flash protection will be required. At a minimum:

- 1) Non-melting/untreated natural fiber t-shirt (long sleeve)
- 2) Non-melting/untreated natural fiber long pants
- 3) Fire resistant (FR) safety glasses

Insulating Tools and Equipment: All tools should be insulated

Special Precautionary Techniques

1. Electrical: exposed energized conductors; high voltage cables; different types of electricity requiring different measuring devices (series circuits, parallel circuits, high-voltage circuits)
2. Confined space hazards (hazardous atmospheres, entrapment, engulfment)

Electrical Diagrams: As-built diagrams should be made available to field electricians performing the work.

Equipment Details: Use only approved connector kits and splices

Other Reference Documents or Materials: None

Steps to Take When Jumpering Circuits

1. Plan your work and work your plan. Expect the unexpected. Use as-built drawings to determine the circuits to be jumpered and the paths that will be taken. Obtain approved connector kits, splices, insulated tools, and safety equipment. If non-lighting circuits will be encountered, arc flash/arc blast protective equipment will be needed.
2. Place the circuits to be jumpered in an *electrically safe work condition*. There must be two qualified electricians working the tasks whenever working with voltages greater than 600V or when working with exposed energized conductors.
3. If entering any confined space, obtain a Confined Space Entry Permit (see the DAA Confined Space Entry Program).
 - a. Calibrate the air testing equipment prior to dropping it into the pit
 - b. Obtain air quality readings from the readouts on the sniffer. When acceptable, proceed into the space. If acceptable readings cannot be obtained, introduce ventilation until acceptable readings are obtained. Once acceptable air readings are obtained, enter the pit.
 - c. The sniffer should continuously monitor the space and alarm if and when the air quality deteriorates. EXIT THE PIT IMMEDIATELY UPON HEARING A SNIFFER ALARM OR IF YOU FEEL FAINT OR NAUSEOUS!

- d. Ensure that the rescue and buddy system procedures are in place
4. If any exposed conductors will be encountered during the jumpering work, arc flash/arc blast protective gear may be required. If working in pits, vaults, voids, or other tight enclosures, ensure that there are no other exposed conductors.
5. Using the proper testing equipment, verify that the circuits to be jumpered are dead (de-energized).

Leave any confined spaces immediately after completing the jumper

G. Continuity Testing of Series Lighting Circuits

Purpose

Continuity testing of airfield lighting circuits is done regularly. In all cases, the circuit is de-energized and locked out.

Qualifications and Number of Employees to be Involved:

1. Putting the circuit in an *electrically safe work condition*: Qualified electricians only
2. Other electricians may perform the actual continuity testing but must have received training on this procedure.

Hazards:

5 kV shock hazard should an electrician fail to de-energize the circuit prior to conducting a continuity test.

Limits of Approach:

Since this procedure is done with circuit in an *electrically safe work condition*, limits of approach are not applicable. **Note, however, that if adjacent electrical hazards exist, limits of approach for those hazards must be calculated and adhered to**

Protective Clothing and Equipment Required

Not needed if circuit is in an *electrically safe work condition*

Safe Work Practices:

1. Ensure that the test equipment is designed for and capable of testing the circuits being worked on
2. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
3. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Insulating Tools and Equipment: Not needed if circuit is in an *electrically safe work condition*

Special Precautionary Techniques: None

Electrical Diagrams: As-built diagrams should be made available to field electricians performing the work.

Equipment Details: None

Other Reference Documents or Materials: None

Steps to Take When Doing Continuity Tests on Airfield Lighting Circuits

1. Plan your work and work your plan. Expect the unexpected. Use as-built drawings to determine the circuits to be tested.
2. Place the circuits to be tested in an *electrically safe work condition*.
3. If entering any confined space, obtain a Confined Space Entry Permit (see the DAA Confined Space Entry Program).
4. If any exposed conductors will be encountered during the testing work, arc flash/arc blast protective gear may be required. If working in pits, vaults, voids, or other tight enclosures, ensure that there are no other exposed conductors.
5. Using the proper testing equipment, verify that the circuits to be test are dead (de-energized).
6. Perform the continuity testing in accordance with the test equipment manufacturer's instructions.

H. Manual Meggering® of Series Lighting Circuits

Purpose

Manual Meggering® of airfield lighting circuits is done regularly. In all cases, the circuit is de-energized and locked out.

Qualifications and Number of Employees to be Involved:

1. Putting the circuit in an *electrically safe work condition*: Qualified electricians only
2. Other electricians may perform the actual Meggering® but must have received training on this procedure.

Hazards:

5 kV shock hazard should an electrician Megger® the circuit while energized

Limits of Approach:

Since this procedure is done with circuit in an *electrically safe work condition*, limits of approach are not applicable. **Note, however, that if adjacent electrical hazards exist, limits of approach for those hazards must be calculated and adhered to**

Protective Clothing and Equipment Required

Not needed if circuit is in an *electrically safe work condition*

Safe Work Practices:

1. Ensure that the test equipment is designed for and capable of testing the circuits being worked on
2. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
3. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Insulating Tools and Equipment: Not needed if circuit is in an *electrically safe work condition*

Special Precautionary Techniques: None

Electrical Diagrams: As-built diagrams should be made available to field electricians performing the work.

Equipment Details: None

Other Reference Documents or Materials: None

Steps to Take When Doing Manual Meggering® on Airfield Lighting Circuits

1. Plan your work and work your plan. Expect the unexpected. Use as-built drawings to determine the circuits to be tested.
2. Place the circuits to be tested in an *electrically safe work condition*.
3. If entering any confined space, obtain a Confined Space Entry Permit (see the DAA Confined Space Entry Program).
4. If any exposed conductors will be encountered during the testing work, arc flash/arc blast protective gear may be required. If working in pits, vaults, voids, or other tight enclosures, ensure that there are no other exposed conductors.
5. Using the proper testing equipment, verify that the circuits to be test are dead (de-energized).
6. Perform the Meggering® in accordance with the test equipment manufacturer's instructions.

I. Output Voltage Measurements on CCR

Purpose

Airfield lighting electricians sometimes need to take output voltage measurements on constant current regulators (CCR) to troubleshoot an overheating or erratically operating CCR or to determine why a CCR is not maintaining design output current. CCR's develop high voltages that can cause severe injury and electrocution. Consequently, potential voltage transformers must be used to obtain voltage measurements.

Qualifications and Number of Employees to be Involved: Qualified electricians only - a minimum of two – trained in this procedure

Hazards:

1. High voltage electrical shock hazards from contact across the output terminals of CCR's.
2. Arc flash and arc blast hazards if maintenance is performed with cabinet doors or panels removed

Limits of Approach:

Limited Approach Boundary: 5'0"
Restricted Approach Boundary: 2'2"
Prohibited Approach Boundary: 0'7"
Flash Protection Boundary: Not applicable if cabinet doors remain closed and panels remain on, since only constant currents at 6-20 amps – no significant bolted fault current are expected for this task. If panel covers are off or CCR doors are open, the flash protection boundary should be established at four (4') feet.

Protective Clothing and Equipment Required

Only the basic protective clothing in #1-3 below is needed if circuit is in an *electrically safe work condition* and observations are done outside the restricted approach boundary. **Note that if the CCR cabinet is open, however, electricians are exposed to arc flash and arc blast hazards.** Refer to the CCR Maintenance procedure earlier in this section if CCR cabinets are to remain open during the test procedure.

- 2) Non-melting/untreated natural fiber t-shirt (long sleeve)
- 3) Non-melting/untreated natural fiber long pants
- 4) Fire resistant (FR) safety glasses

Safe Work Practices:

1. Use a voltage measurement transformer recommended by the CCR manufacturer. Typically this is a transformer with a 40:1 ratio and a primary voltage rating of 4800 volts.

2. **Never attempt to measure the voltage across the output terminals of a CCR without the load connected!** If an open circuit exists, voltages as high as 10 kV can be reached before an open circuit shutdown occurs.
3. Use only true RMS current measurement equipment to verify whether or not a series circuit is dead (de-energized).
4. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
5. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Insulating Tools and Equipment: Voltage measurement equipment must be insulated. Other equipment need not be insulated if circuit is in an *electrically safe work condition* and the *restricted approach boundary* is not breached.

Special Precautionary Techniques: The CCR can reach dangerous voltages (up to 10 kV) before protective features operate. Ensure the CCR is in an *electrically safe work condition* prior to attaching the potential voltage measurement transformer. Use a transformer having a 40:1 ratio and a primary voltage rating of 4800 volts.

Electrical Diagrams: None

Equipment Details: Review the specific voltage measurement procedure in the CCR technical manual

Other Reference Documents or Materials: None

Steps to Take When Taking Output Voltage Measurements on a CCR

1. Plan your work and work your plan. Expect the unexpected. Use the technical manual for the specific CCR on which you are working, since many CCR's are different.
2. Prior to starting the CCR output voltage measurement procedure, ensure that all lamps in the circuit supplied by the CCR are working (this is to ensure more accurate measurements of output voltage).
3. Place the CCR is in an *electrically safe work condition*. This includes keeping the CCR cabinet doors closed and panels on. If cabinet doors are to remain open or cabinet panels are to remain off during the test, arc flash/arc blast protective clothing must be worn if approaching within 4' of the CCR (see the CCR Maintenance procedure earlier in this section).
4. With the CCR in an *electrically safe work condition*, attach the output measurement transformer.
5. Re-energize the CCR and increase the brightness to the highest step.
6. Record the voltage measured and multiply it by the current associated with the brightness step of the CCR.

J. Work at Heights from Bucket Truck

Purpose

On occasion, electricians work from a bucket truck on series street lighting circuits around the airfield. Re-lamping airfield lights is typically done without the power supply (the constant current regulator (CCR)) locked out due to the infeasibility of such a lockout. It is infeasible because for most re-lamping tasks, electricians on the airfield would need to lock out the CCR in the vault and then drive long distances to the airfield to do the re-lamping. The electrician would then need to drive back to the vault, clear the lockout, and drive back to the lamp to ensure that it is working.

By definition, performing work on electrical circuits without a system lockout means that the circuit is NOT in an *electrically safe work condition*. As such, **significant hazards remain with this task**. Therefore, additional precautions must be taken to provide a level of protection equivalent to an *electrically safe work condition*. An electrician who does not maintain control of the circuit on which he works by placing his or her own lock on the CCR disconnect is placing himself at additional risk.

Note: Although it is rarely possible to do re-lamping tasks with the circuit in an *electrically safe work condition* (that is, with the CCR locked out by the electrician doing the re-lamping), it remains the preferred method of doing re-lamping tasks. When re-lamping is done with the circuit in an *electrically safe work condition*, this procedure need not be followed. Only the procedure to place the circuit in an *electrically safe work condition* need be followed.

Qualifications and Number of Employees to be Involved: Qualified electricians only - a minimum of two – trained in this procedure

Hazards:

- 1) Fall-from-heights while working from bucket
- 2) 5 kV electrical shock hazard from series circuit being worked on
- 3) Shock hazard from secondary side (lamps)

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	Not applicable (constant current at 6-20 amps – no significant bolted fault current)

Personal Protective Equipment Needed

1. Class 1 voltage-rated gloves (for protection up to 7.5 kV) with leather protective covers;
2. Fire-resistant safety glasses
3. Non-melting/untreated natural fiber t-shirt (long sleeve)
4. Non-melting/untreated natural fiber long pants

Safe Work Practices:

1. Refer to the DAA Fall Protection Program prior to commencing work.
2. Fall protection equipment must be worn and attached to the anchor inside the bucket at all times before raising the bucket, even if being raised to a height less than six (6') feet. This is to prevent you from being thrown from the bucket.
3. Use a full body harness only. Do not use a back belt – serious injuries can result if you fall and are arrested by a back belt.
4. If possible, all work from the bucket truck should be done with circuits in an *electrically safe work condition*.
5. Use only true RMS current measurement equipment to verify whether or not a series circuit is dead (de-energized).
6. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
7. Because you will not have direct control over the power source of the lighting circuit on which you will be working, you must complete this task as quickly and safely as possible. Planning is essential.
8. Establish radio contact with the person overseeing the CCR in the vault. A headset or other hands-free device should be used. Radio communications should be constant.
9. A second, qualified electrician who is trained in emergency procedures is standing by during the re-lamping task.
10. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
11. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
12. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").

13. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn when inside the *restricted approach boundary* (2'2"). These insulating gloves should be covered with leather outer-gloves.
14. The secondary side of the lamp should be tested to verify that a primary-to-secondary short does not exist. A VOM or DMM capable of testing up to the maximum expected voltage must be used.
15. All tools must be insulated.
16. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.
17. No energized electrical work may be done without proper illumination.
18. No conductive jewelry or clothing may be worn
19. If working in confined or enclosed spaces such as manholes or vaults, ensure there are no other exposed energized conductors in the vicinity.

Insulating Tools and Equipment: Required

Special Precautionary Techniques: Refer to the DAA Fall Protection Program. Fall protection equipment must be worn at all times, properly attached to the anchor in the bucket.

Electrical Diagrams: If available, use as-built drawings to confirm which lighting circuits are supplied by a specific CCR

Equipment Details: None

Other Reference Documents or Materials: None

Steps to Take When Performing Lamp Replacement from the Bucket Truck

1. Plan your work and work your plan. Expect the unexpected. Because you will not have direct control over the power source of the lighting circuit on which you will be working, you must complete this task as quickly and safely as possible. Planning is essential.
2. If possible, place the CCR powering the lighting circuit in an *electrically safe work condition*. If this is not possible, establish radio contact with the person overseeing the CCR in the vault or tower. A headset or other hands-free device should be used. Radio communications should be constant. A second, qualified electrician who is trained in emergency procedures is standing by during the re-lamping task.
3. Inspect your fall protection equipment. Put it on and attach it to the anchor in the bucket truck only if it is free of defects.

4. Prior to breaching the *restricted approach boundary* (2'2"), inspect your Class 1 insulated gloves and put them on (do not use the gloves if they are ripped or damaged). Cover the gloves with leather outer gloves.
5. Test the circuit for the presence of current using a true RMS ammeter. If no current is detected, proceed with the re-lamping task. Be aware that because the CCR is not locked out, power could inadvertently be turned on at any time. Test the circuit for the presence of current each time you return to the task after walking away from it.
6. Repair the lamp, remaining aware of the possibility of the high voltage hazards associated with primary to secondary shorts.
7. When repair is complete, step outside the *restricted approach boundary* and ask the electrician in the vault to energize the circuit. Visually confirm that the lamp is lit.
8. Ask the vault to de-energize the CCR
9. Do not remove your gloves until you are finished working inside the *restricted approach boundary*.
10. When outside the *restricted approach boundary*, inform the vault that it is safe to re-energize the circuit.
11. Lower the bucket to the ground before removing fall protection harness.

K. Switching Leads from One CCR to Another

Purpose

This task is done rarely, but there are instances where the leads from one constant current regulator (CCR) are switched to a backup CCR or to an adjacent CCR. The task is easily and safely accomplished when both CCR's are placed in an *electrically safe work condition*, but is hazardous if done improperly or if cable leads are improperly handled or identified.

Qualifications and Number of Employees to be Involved: Qualified electricians only - a minimum of two – trained in this procedure

Hazards:

1. Up to 10 kV shock hazard if leads are disconnected while the CCR is still energized (open circuit protective devices often do not function until voltage levels reach 10 kV)
2. 5 kV shock hazard from handling groups of cables that are not de-energized (such as those in the patch panel or behind the CCR's)

Limits of Approach:

Limited Approach Boundary:	5'0"
Restricted Approach Boundary:	2'2"
Prohibited Approach Boundary:	0'7"
Flash Protection Boundary:	Not applicable (constant current at 6-20 amps – no significant bolted fault current)

Personal Protective Equipment Needed

2. Class 1 voltage-rated gloves with leather covers
3. Fire-resistant safety glasses
4. Non-melting/untreated natural fiber t-shirt (long sleeve)
5. Non-melting/untreated natural fiber long pants

Safe Work Practices:

1. Place the CCR in an *electrically safe work condition* prior to switching leads
2. A second, qualified electrician who is trained in emergency procedures is standing by during the re-lamping task.
3. Class 1 voltage-rated gloves (for protection up to 7.5 kV) must be worn due to the nature of the task. Numerous cables must be handled behind the regulator and inside the patch panel when performing this task.

4. No one other than a qualified electrician is permitted within the *limited approach boundary* (5'). If an unqualified person needs to come within the *limited approach boundary*, he or she should be advised of the hazards and continuously escorted by a qualified person. At no time should the unqualified person be allowed within the *restricted approach boundary* (2'2").
5. No un-insulated body parts are permitted past the *restricted approach boundary* (2'2").
6. No un-insulated tools or materials (e.g. replacement parts) that are in contact with an un-insulated part of the electrician's body are permitted within the *restricted approach boundary* (2'2").
7. At no time should an electrician reach blindly into a can or other enclosure that may contain energized equipment.

Insulating Tools and Equipment: Not required if the CCR is in an *electrically safe work condition*

Special Precautionary Techniques:

1. De-energize the CCR before disconnecting the lead
2. Wear Class 1 voltage-rated gloves due to the potentially-energized cables that must be handled in patch panels and behind regulators

Electrical Diagrams: none

Equipment Details: None

Other Reference Documents or Materials: Refer to the cable tags on leads and other information provided in patch panels or other sources of cable path information.

Steps to Take When Switching the Leads on a CCR

1. Plan your work and work your plan. Expect the unexpected.
2. Place **BOTH** CCR's in an *electrically safe work condition*.
3. Don voltage-rated gloves prior to handling any cables.
4. Using an RMS clamp-on ammeter, verify that the circuit is dead before removing/switching leads.
5. Using cable tags, diagrams inside patch panels, and other sources of information, ensure that the leads to be switched are correct.
6. Switch the leads.
7. Re-energize the CCR's.

SECTION XI: PROGRAM ADMINISTRATION

- This program will be reviewed with SRE employees annually. At that time the program will be reviewed and changed to reflect changes in procedures due to safety or updated equipment.
- PPE inspection will be conducted in July annually as part of the overall review of the program. This does not preclude the pre-use inspections that must be conducted prior to using the PPE.
- Policies
 - Standards to use as references
 - Abandoned cables and conduit – marking and other decommissioning procedures
 - Excavation policy
 - Enforcement and discipline- refer to appendix C of this program

SECTION XII: TRAINING

- Safety Training Requirements
 - o Must include all hazards encountered, what types of injuries can occur, and how they affect the body
 - o May be done via classroom, on-the-job training, or both

- Training protocol for qualified electricians
 - o Must include general and task-specific safe work practices
 - o Must include training on specific equipment and tasks
 - o Must be trained in the hazards and protective equipment related to shock hazards and arc flash and arc blast hazards.
 - o Must be trained on how to determine nominal voltage
 - o Must be trained on how to test a circuit dead
 - o Must be trained how to recognize energized conductors
 - o Must be trained how to establish and work within approach boundaries
 - o Must include emergency procedures, including how to release someone from a live circuit as well as first aid/CPR

- Lockout Training
 - o Required for all personnel who are directly or indirectly exposed to the hazards of an improperly executed circuit lockout

 - o *Qualified electricians* must be trained on:
 - The contents of this program (when implemented, upon hire, or when transferred into the group).
 - The specific lockout procedures for each piece of equipment requiring its own lockout procedure (annually)

 - o Other persons exposed but not directly affected by a lockout must be trained on this program when the program is implemented, upon hire, or when transferred into the group. **Tower personnel should be trained on the basic components of the program.**

- Contractors must be trained to an equivalent or better level

SECTION XIII: BUDGET

- startup costs
 - o insulated tools cost
 - o gloves cost
 - o other protective equipment costs

- maintenance costs
 - o insulated tools cost
 - o gloves cost
 - o other protective equipment costs

SECTION XIV: AUDITS AND RECORDKEEPING

- **LOTO annual observations** will be conducted in July. Each employee whose duties require that they lock out equipment will be observed and recorded using the form in appendix A of this program. LOTO observation records will be maintained by the ASM in a separate file.
- **Airfield bulb training records** will be maintained in the SRE training file by the ASM.



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

Advisory Circular

**Subject: AIRPORT SAFETY
SELF-INSPECTION**

Date: 04/23/04

AC No: 150/5200-18C

Initiated by: AAS-300 **Change:**

- 1. PURPOSE.** This Advisory Circular (AC) provides information to airport operators on airport self-inspection programs and identifies items that airport operators should include in such a program.
- 2. FOCUS.** Development of a self-inspection program in accordance with this AC represents an acceptable means of compliance with the 14 Code of Federal Regulations (CFR) Part 139 (Part 139) requirements.
- 3. CANCELLATION.** Advisory Circular 150/5200-18B, Airport Safety Self-Inspection, dated 5/2/88, is cancelled.
- 4. RELATED READING MATERIAL.**
 - a. 14 CFR Part 139, Certification of Airports.** While Part 139 requirements are mandatory for a holder of a Part 139 Airport Operating Certificate, the regulation contains many safety practices that the Federal Aviation Administration recommends for use at all airports.
 - b. 14 CFR Part 77, Objects Affecting Navigable Airspace.**
 - c. Current editions of the following advisory circulars:**
 - (1)** AC 150/5200-33, Hazardous Wildlife Attractants on or near Airports
 - (2)** AC 150/5210-21, Airport Certification Manual (ACM). This reference is pertinent for certificated airports only.
 - (3)** AC 150/5210-20, Ground Vehicle Operations on Airports.
 - (4)** AC 150/5200-28, Notices to Airmen (NOTAMs) for Airport Operators.
 - (5)** AC 150/5200-30, Airport Winter Safety and Operations.
 - (6)** AC 150/5210-5, Painting, Marking, and Lighting of Vehicles Used on an Airport.
 - (7)** AC 150/5230-4, Aircraft Fuel Storage, Handling, and Dispensing on Airports.
 - (8)** AC 150/5300-13, Airport Design.
 - (9)** AC 150/5340-1, Standards for Airport Markings.
 - (10)** AC 150/5340-18, Standards for Airport Sign Systems.
 - (11)** AC 150/5340-21, Airport Miscellaneous Lighting Visual Aids.
 - (12)** AC 150/5340-24, Runway and Taxiway Edge Lighting System.

- (13) AC 150/5340-26, Maintenance of Airport Visual Aid Facilities.
- (14) AC 150/5370-2, Operational Safety on Airports During Construction.
- (15) AC 150/5370-10, Standards for Specifying Construction of Airports.

d. Obtain the latest version of the free Advisory Circular publications from the FAA on its Web site at www.faa.gov/arp/. In addition, these ACs are available by contacting the U.S. Department of Transportation, Subsequent Distribution Office, SVC-121.23, Ardmore East Business Center, 3341 Q 75th Avenue, Landover, MD 20785. All FAA ACs are listed in the Advisory Circular Checklist, AC 00-2.1, which is available on the internet. The Checklist also explains how to obtain the circulars.

5. BACKGROUND.

a. While some hazardous airport conditions develop virtually instantaneously, others are gradual. It is important that the airport operator have an airport safety self-inspection program that monitors specific airport conditions in order to identify unsatisfactory conditions for prompt corrective actions. A number of airport operators have some form of a safety self-inspection program. The programs vary in scope and effectiveness from verbal instructions and unscheduled and unrecorded inspections to very comprehensive inspection programs with multiple daily schedules and widely distributed responsibilities.

b. At airports certificated under 14 CFR Part 139, the self-inspection program is a key component of an airport operator's airport certification program and required under §139.327. An effective self-inspection program enables an airport operator to operate in compliance to Part 139 standards on a day-to-day basis. In accordance with Part 139, all airports must have an Airport Operating Certificate if serving—

(1) Scheduled or unscheduled passenger operations of an air carrier with aircraft having a seating capacity of more than 30 passengers, or

(2) Scheduled passenger operations with aircraft having a seating capacity of more than 9 and less than 31 passengers.¹

One of the requirements of Part 139 is that the operator of each certificated airport regularly conduct a daily safety self-inspection to ensure that prompt corrective action is taken to eliminate unsafe conditions on the airport. The specific requirements of the self-inspection program at each certificated airport are addressed in the airport certification manual.

c. This AC suggests components, responsibilities, and items for regularly scheduled, continuous surveillance, periodic condition and special inspections, and checklists for use during any of these airport safety self-inspections. This guidance can be modified as necessary to meet local situations. The information and guidance in this publication serve as a basis by which airports operators may develop their own safety self-inspection programs.

6. RESPONSIBILITIES.

a. **Safety Self-Inspection.** Self-inspection is a primary responsibility of the airport owner, operator, or a duly authorized representative. It is customary to assign the job of assuring overall airport ground safety to the airport manager or operations supervisor. Primary attention should be given to such operational items as pavement areas, safety areas, markings, signs, lighting, aircraft rescue and fire fighting, fueling operations, navigational aids, ground vehicles, obstructions, public protection, wildlife

¹ Part 139 is only applicable in the State of Alaska to airport operators serving scheduled or unscheduled passenger operations of an air carrier with aircraft having a seating capacity of more than 30 passengers.

hazard management, construction, and snow and ice control. Inspection of areas that have been assigned to individual air carriers, fixed base operators, or other tenants can be made the responsibility of the user. However, at Part 139 airports, the FAA will hold the certificate holder ultimately responsible for operating the airport safely.

b. Recommended Inspection Frequency.

(1) **Regularly scheduled inspection.** The airport should be inspected at least daily during times when aircraft activity is minimal in order to create the least impact on airport operations. Part of this inspection should be done during the hours of darkness at those airports that serve air carriers after dark.

(2) **Continuous surveillance inspection.** Those activities and facilities that have been identified to require continuous surveillance should be inspected any time personnel are in the air operations area. Hazardous conditions can occur at any time and in a short period of time.

(3) **Periodic condition inspection.** Periodic condition inspection of activities and facilities can be conducted on a regularly scheduled basis but less frequently than daily. The time interval could be weekly, monthly, or quarterly, depending on the activity or facility.

(4) **Special inspection.** Special inspections of activities and facilities should be conducted after receipt of a complaint or when an unusual condition or unusual event occurs on the airport, such as a significant meteorological event or an accident or incident. Special inspections should also be conducted at the end of construction activity to ensure that there are no unsafe conditions present related to the construction activity. A special inspection should be conducted prior to construction personnel leaving the airport in the event that corrective actions are necessary. Special inspections should be documented on the appropriate portions of the regularly scheduled inspection checklist.

c. Inspection Records. An effective safety self-inspection program includes procedures for reporting and correcting deficiencies. This means that the airport operator should have a work order system in place so that deficiencies can be corrected in an expeditious manner.

(1) The operator should issue a Notice to Airmen (NOTAM), as appropriate, through the appropriate Flight Service Station (FSS) reporting deficient conditions that could have an immediate and critical impact on the safety of aircraft operations. When corrective actions have been taken, the NOTAM should be cancelled. At Part 139 airports, other similar systems and procedures may be used if approved by the FAA.

(2) For even the smallest airport, it is desirable to use a safety self-inspection checklist that constitutes a written record of conditions noted, and acts as a check on follow-up actions taken. The scheduled use of a dated checklist will assure the regularity and thoroughness of safety inspections and follow-up. The checklist can be an important administrative tool for airport management. It can provide a snapshot of the condition of the airport, indicating trends, defining problem areas, indicating systems that are beginning to deteriorate and helping to define budgetary requirements. It is most desirable to use a format (see examples, Appendices 1–5) in which each inspected area of the airport complex is positively noted. Retain the checklist until indicated actions are completed. Airports certificated under Part 139 must retain the regularly scheduled inspection checklist for 12 months. Airports may use additional, specialized materials and forms, such as maintenance work orders, NOTAMs, fire station and first aid reports, etc. Some airport operators use computerized versions specifically designed to meet their self-inspection requirements. There are several vendors that have developed these computer programs that can use laptops and Personal Data Assistants (PDAs). However, the regularly scheduled inspection checklist should be the basic log documenting that safety inspection responsibilities are being met.

d. Follow-up. The airport operator should follow up on complaints or requests for corrective action and on all deficient items or problem areas noted during the daily inspection. Determine which problems

require immediate attention and treat those with highest priority, including developing appropriate NOTAM notification.

7. INSPECTION TECHNIQUES.

Inspectors should vary the pattern of the inspection. Fixed inspection patterns, while easy to learn, do not provide for an adequate inspection. The use of such fixed inspection patterns can lead to complacency and to the possibility of missing items that are in need of correction. When conducting an inspection on a runway and when there is time to do only one pass on that runway, inspection personnel, whenever practical, should drive towards the direction of landing aircraft with high intensity flashing beacon and headlights on day and night. This practice will enable self-inspection personnel to see approaching aircraft and improve visibility of the vehicle to pilots. However, it is recommended that a runway inspection be done in both directions. Inspection personnel should also drive the stub taxiways between the runway and parallel taxiway as these areas are commonly overlooked.

8. KNOWLEDGE AND EQUIPMENT FOR SELF-INSPECTION.

a. Airport personnel who conduct safety self-inspections (referred to as inspectors in this AC) should receive training in at least the following areas:

b. Inspectors should know the location and types of airport facilities, airport rules and regulations and, at Part 139 airports, be familiar with the FAA-approved Airport Certification Manual.

- (1) Airport familiarization, including airport signs, marking, and lighting;
- (2) Airport Emergency Plan (if the airport has one);
- (3) Notice to Airmen (NOTAM) notification procedures;
- (4) Procedures for pedestrians and ground vehicles in movement areas and safety areas;
- (5) Airport inspection procedures and techniques; and
- (6) Discrepancy reporting procedures.

c. Inspectors should know the FAA Advisory Circular standards applicable to the airport and have access to copies for reference. Some applicable standards can be found in the FAA Advisory Circulars listed in paragraph 3c. (This is not an all-inclusive list.). They can also be found on the Internet at www.faa.gov.

d. Inspectors should have a vehicle equipped with:

(1) a two-way ground control radio capable of communicating with the Airport Traffic Control Tower on controlled airports and on the Common Traffic Advisory Frequency (CTAF) or UNICOM at uncontrolled airports (or at controlled airports when the tower is closed);

(2) a beacon for nighttime (or inclement weather conditions) inspections; and

(3) either a beacon or checkered flag for daytime inspections.

e. Inspectors should know and use correct radio communication phraseology, procedures and techniques, as specified in the Aeronautical Information Manual. If the airport operator uses airport police to do all or part of the self-inspection, the police should use aviation terminology and not 10-4 codes.

f. Inspectors should be supplied with checklists covering the various inspection areas (sample airport safety self-inspection checklists are contained in Appendices 1–5). While format of checklists vary, it is important to develop a checklist that is useful for the airport and its operation. If certain

inspectors will be responsible for only certain items, separate checklists pertinent to those areas may be developed. A sketch of the airport should accompany the checklist so that the location of problems can be marked for easy identification.

g. Inspectors should review the most recently completed checklist from the previous inspection cycle prior to beginning the inspection.

h. If construction is in progress, inspectors should be familiar with the safety plan for the project.

i. If the airport is certificated under Part 139, inspectors should be familiar with the airport certification manual requirements concerning training and self-inspection.

9. COMPONENTS OF A SAFETY SELF-INSPECTION PROGRAM. A successful safety self-inspection program has four components:

a. A regularly scheduled inspection of physical facilities (which must be conducted daily at airports certificated under Part 139 or in accordance with the FAA-approved airport certification manual). If the airport serves air carriers after dark, there should also be a nighttime inspection of lighting;

b. Continuous surveillance inspection of certain airport activities, such as fueling operations, construction, airfield maintenance;

c. A periodic condition inspection program for such things as surveying approach slopes, obstructions, etc.; and

d. Special condition inspections during unusual conditions or situations, such as changing weather or days of unusually high number of aircraft operations.

10. REGULARLY SCHEDULED INSPECTION.

The regularly scheduled inspection consists of specific observations of airport physical facilities on at least a daily basis. This inspection should concentrate on the areas described in this section, which are also included in Appendix 1. If deficiencies exist, the inspector should indicate the deficient item and identify its location on a airport sketch, providing dimensions and depths, as necessary. If appropriate, the inspector should take photographs to document the condition.

a. Pavement Areas. The condition of pavement surfaces is an important part of airport safety. Pavement inspection should be conducted daily before flight operations commence to ensure pavement surfaces are clear. As a minimum, a daily inspection should be performed of all paved areas that are the responsibility of the airport operator or as specified in the FAA-approved Airport Certification Manual. During the pavement inspection, the inspector should:

(1) Check the pavement lips—the area between full-strength pavement and shoulders or paved shoulders and safety areas—to assure that they are no greater than necessary to allow water to drain off the pavement. A lip height no greater than 1 1/2 inches is usually sufficient to allow proper drainage. (At airports certificated under Part 139, pavement lips shall not exceed 3 inches as stated in § 139.305.)

(2) Determine if there are any cracks wide enough to cause directional control problems for an aircraft. Report and monitor these cracks.

(3) Determine if there are any holes that could cause directional control problems for an aircraft. (At airports subject to Part 139, any hole that cannot be covered by a 5-inch circle, and the side slope at any point in the hole that exceeds 3 inches in depth and is 45 degrees or greater, is a discrepancy. If the hole cannot be covered by a 5-inch circle but the side slope at any point in the hole that exceeds 3

inches in depth or is less than 45 degrees, it may be a discrepancy if it is determined to be a surface variation that could impair directional control of an air carrier aircraft.)

(4) Check the condition of pavement areas for cracks, scaling, spalling, bumps, low spots, and for debris that could cause foreign object damage to aircraft.

(5) Check for vegetation growth along runway and taxiway edges that may impede drainage from the pavement surface.

(6) Check for vegetation growth in cracks.

(7) Report and monitor any cracks, holes, variations and vegetation that can cause loss of aircraft directional control or may cause pavement damage, including damaged caused by damming or ponding water.

b. Safety Areas. The inspector should know the dimensions of the runway and taxiway safety areas at the airport. At airports certificated under Part 139, the dimensions of the safety areas should be documented in the airport certification manual. During the safety area inspection, the inspector should:

(1) Determine if there are any hazardous ruts, depressions, humps or variations from the normal smooth surface.

(2) Check to ensure no object is located in a safety area, except objects that must be in the safety areas because of their functions (such as runway lights, signs, or navigational aids). These objects must be constructed on frangibly mounted structures of the lowest practical height. At Part 139 airports, the frangible point must be no higher than 3 inches above grade.

(3) Determine if the base for any equipment in safety areas is at grade level (especially during the winter thaw) and equipment and NAVAIDs mounted on frangible couplings.

(4) Check to ensure that manhole and handhole covers are at grade level and can support vehicles and aircraft. Check to ensure that mounts for light fixtures are at grade level.

(5) Check for surface variation and other damage caused by rodents or other animals.

(6) Report any objects that are not frangible or not at grade level. Also report extraneous equipment and objects, such construction equipment, and surface variations that would cause damage to an aircraft or impede emergency response vehicles. At airports certificated under Part 139, issue a NOTAM regarding objects in the safety area contrary to § 139.309 (see § 139.339)

c. Markings. Airport markings provide important information to pilots during takeoff, landing, and taxiing. To avoid confusion and disorientation, airport markings should be in compliance with FAA marking standards specified in AC 150/5340-1, Standards for Airport Markings. (Compliance with these standards is mandatory for operators of airports certificated under Part 139 and for airport operators that have accepted Federal funds for runway and taxiway construction/rehabilitation.) The inspector should know the appropriate markings required at the airport. During the marking inspection, the inspector should:

(1) Check markings for correct color-coding, peeling, blistering, chipping, fading, and obscurity due to rubber buildup.

(2) Check to see if all runway hold position markings are clearly visible.

(3) During and after construction projects, check new markings for compliance with FAA marking standards.

(4) If the markings have glass beads, check markings during periods of darkness to determine if the reflectivity of glass beads is adequate at night.

(5) Report and monitor any nonstandard marking or markings that are obscured, faded or deteriorating.

d. Signs. Signs provide important information to pilots while taxiing. To avoid pilot confusion and disorientation, airport signs should be in accordance with FAA sign standards specified in AC 150/5340-18, Standards for Airport Sign Systems. (Compliance with these standards is mandatory for operators of airports certificated under Part 139 and for airport operators that have accepted Federal funds for runway and taxiway construction/rehabilitation.) The inspector should know the appropriate sign standards and specifications at the airport and at a Part 139 certificated airport, ensure signs comply with the FAA-approved Sign Plan.

(1) Check signs to ensure they are easy to read, in accordance with color standards, retro-reflective, and that all lighted signs are working and not obscured by vegetation, dirt, snow, etc.

(2) Check signs to ensure they are frangibly mounted and concrete bases are properly maintained at grade level.

(3) Check to see that sign panels are not missing or damaged, that they have the correct legend and arrow orientation, and that they are not cracked or broken.

(4) During and after construction projects, check new signs for compliance to FAA sign standards and, at Part 139 airports, in accordance with the FAA-approved Sign Plan.

(5) During periods of darkness, check signs to ensure they are properly illuminated. Ensure mandatory instruction signs are illuminated with the associated runway lighting system. Check signs for correct operations; that they are on the correct circuits, they do not flicker and that they follow the intensity setting of the runway or taxiway lights.

(6) Report and monitor any nonstandard sign or any sign that is not functioning, is faded or damaged. At airports certificated under Part 139, issue a NOTAM regarding any malfunctioning holding position sign or ILS critical are sign, as specified under § 139.339

e. Lighting. At night and during periods of low visibility, lighting is important for safe airport operations. Lights come in different shapes, sizes, colors, and configurations and can be located either in the pavement or along its edges. Inspection of lighting is best accomplished during periods of darkness in order to evaluate lighting systems when they provide the primary visual aid for pilots. The inspection should concentrate on the lighting owned by the airport operator. However, the inspector should observe any lighting owned or operated by others and report any observed problems immediately to the appropriate responsible owner. During the lighting inspection, the inspector should:

(1) Check to ensure that the following are operable, if installed, and that vegetation or deposits of foreign material do not obscure the light fixture.

(i) Runway and taxiway edge lights;

(ii) Apron edge lights;

(iii) Runway centerline and touchdown zone lights;

(iv) Taxiway centerline lights or centerline reflectors;

(v) Runway threshold/end lights; and

(vi) Runway guard lights (both elevated and in-pavement, if installed).

(2) Check that the following are operable, if installed:

(i) Ramp lights and floodlights used in construction to ensure they are properly shielded);

- (ii) Obstruction lights; and
- (iii) Lighting in fuel storage areas.
- (3) Report all fixtures missing and lights that are not working or appear dim.
- (4) Report any missing or broken light fixture lenses.
- (5) Ensure that runway and taxiway lights and runway threshold lights are the proper color and are oriented correctly.
- (6) Check that lights function properly through the manual or radio control features, and that photocell controls function properly.
- (7) Check the lights for proper alignment, aiming and correct changes in intensity, for correct height, erosion around the bases and the height of frangibility.

f. Navigational Aids (NAVAIDs). The inspection of NAVAIDs should concentrate on the visual navigational aids owned by the airport operator. However, the inspector should observe any navigational aids owned or operated by others, such as the FAA, and report any observed problems immediately to the NAVAID owner. During the inspection of NAVAIDs, the inspector should:

- (1) Determine if the segmented circle is clear of vegetation and that it can be seen easily from the air.
- (2) Determine if the airport rotating beacon is visible and working properly.
- (3) Check the wind cone(s) to ensure that it swings freely, the cone fabric is not faded or frayed, and, if lighted, that all lights are operating.
- (4) Determine if the Runway End Lights (RENs, formerly known as Runway End Identifier Lights) are flashing in proper sequence and mounted on frangible couplings.
- (5) Check Visual Glide Slope Indicators (VASIs, PLASIs, or PAPIs) to ensure that their lights are working and mounted on frangible couplings.
- (6) Determine if the Approach Lighting systems are functioning properly.
- (7) Report and monitor any NAVAID that is malfunctioning, inoperable or misaligned, damaged or missing.

g. Obstructions. The inspection of obstructions should concentrate on a visual check of construction underway on or near the airport that could affect aircraft operations. This also includes checking for any vegetation, especially, trees, that may penetrate the Part 77 surfaces. During the inspection of obstructions, the inspector should:

- (1) Check to ensure that construction equipment, especially tall cranes being used at construction sites, are not an obstruction. If construction is found and thought to create an obstruction, the airport operator should determine if proper notification to FAA, such as is required through Part 77 or Airport Layout Plan review, has been provided.
- (2) Determine if obstructions are properly marked and lighted.
- (3) Direct any person proposing construction near a public-use airport meeting the notice requirements contained in Part 77, Objects Affecting Navigable Airspace, to the Air Traffic Division or Airports District Office immediately if their construction has not been reported to the FAA.
- (4) Report and monitor any obstruction light that is missing, inoperative or damaged, and any object that appears to be an obstruction and is not properly marked or lit.

h. Fueling Operations. The daily inspection on aircraft fueling operations should concentrate on a quick inspection for the most common problems concerning compliance with local fire safety codes at fuel storage areas and with mobile fuelers. The inspection should also include security, fire protection, general housekeeping, and fuel dispensing facilities and procedures. A more detailed fueling operation inspection should be scheduled quarterly (see Quarterly Fueling Operations under Periodic Condition Inspection). During the daily inspection of aircraft fueling operations, the inspector should:

- (1) Determine if the fueling operator is permitting any unsafe fueling practices or is in violation of local fire code, such as failure to bond aircraft with the mobile fuelers during fueling operations or fueling personnel smoking while fueling aircraft.
- (2) Check to ensure that the appropriate signs for the fuel farm are installed and that all gates are locked except when the facility is occupied by an authorized user.
- (3) Report and monitor any unsafe fueling practices and violation of local fire codes. At Part 139 airports, report any noncompliance with fuel fire safety procedures specified in the FAA-approved Airport Certification Manual.

i. Snow and Ice. The inspector should be familiar with the airport's snow and ice removal procedures and guidance provided in AC 150/5200-30, Airport Winter Safety and Operations. At Part 139 certificated airports, the inspector should be familiar with the airport's FAA-approved Snow and Ice Control Plan. During the snow and ice control inspection, the inspector should:

- (1) Determine if any lights and signs are obscured by snow or damaged by snow removal operations.
- (2) Check to ensure that snow banks and drifts next to the runway and taxiways provide clearance for aircraft wing tips, engines, and propellers.
- (3) Check to ensure that snow is not piled across the runway threshold or across runway/runway intersections.
- (4) Check to be sure that no foreign objects are left on the pavement from snow removal operations.
- (5) Check to ensure that snow removal operations have not blocked any taxiways or access routes dedicated for aircraft rescue and fire fighting equipment.
- (6) Check to ensure that snow is not accumulated or piled in the critical areas for electronic NAVAIDs.
- (7) Check for and report slippery pavement conditions in terms of either braking action or MU values. If a friction measurement device is available, issue the appropriate numbers obtained from the equipment. (Do not attempt to correlate friction measurement numbers with braking action reports.)
- (8) Report and monitor any snow and ice accumulation that has been missed by the snow and ice removal operation, and any dangerous condition created by such operations, such as obscured signs or lights. At airports certificated under Part 139, issue a NOTAM regarding snow, ice, slush or water on the movement area or loading ramps, and parking areas, as specified under § 139.339.

j. Construction. The inspector should be familiar with the airport's construction safety procedures and guidance provided in AC 150/5370-2, Operational Safety on Airports During Construction. At Part 139 certificated airports, the inspector should be familiar with the airport's FAA-approved Construction Safety Plan. During the construction inspection, the inspector should:

- (1) Determine if stockpiled material and construction materials are properly stored to keep them from being moved by wind, jet blast, or prop wash, and is not left in safety areas or movement area.

- (2) Check all construction adjacent to movement areas to ensure areas are identified with conspicuous marking and lighting.
- (3) Determine if construction equipment (such as bulldozers, cranes, etc.) are marked and lighted and parked clear of the safety areas.
- (4) Ensure construction barricades are properly positioned to define the limits of construction and hazardous areas and, if barricades are lighted, check to ensure lights are working properly and are positioned correctly.
- (5) Check to ensure that debris and foreign objects are continuously being picked up around construction areas.
- (6) Check for open trenches in the safety areas or adjacent to movement areas.
- (7) Check operation of lighting in areas adjacent to construction daily before the construction crews depart for the day. In particular, ensure that mandatory instruction signs remain lit with the associated runway lights, even on taxiways that have been closed for construction.
- (8) Check NOTAMs daily during construction projects to ensure they accurately reflect the conditions on the airport.
- (9) Verify that closed taxiways or runways are properly marked and lighted.
- (10) Report and monitor any dangerous condition created by construction activity, including damage to signs, lights, markings and NAVAIDS or equipment and supplies left in movement areas and safety areas.

k. Aircraft Rescue and Fire Fighting. During the inspection of aircraft rescue and fire fighting (ARFF) capabilities, the inspector should:

- (1) Check the status of ARFF response, including the availability of equipment, fire fighters and extinguishing agent. At Part 139 airports, ensure that such ARFF capabilities comply with the FAA-approved Airport Certification Manual and that the airport's ARFF Index is still appropriate for air carrier aircraft served.
- (2) Ensure alarm and emergency notification communication systems are operable.
- (3) Determine the adequacy of available fire extinguishing agents.
- (4) Check for construction or maintenance activity on the movement area that could affect ARFF response routes. Ensure that the ARFF Department has been notified if construction or maintenance activity could affect emergency response routes.
- (5) Report and monitor any ARFF vehicle, equipment or extinguishing agent that is not available or inoperative; any ARFF personnel that are not available; and any changes to aircraft that may require a change to ARFF capabilities. At Part 139 airports, notify the FAA if ARFF vehicles is inoperative and cannot be replaced immediately, as specified under § 139.319(g) and issue a NOTAM regarding non-availability of any rescue and firefighting capability, as specified under § 139.339.

l. Public Protection. During the public protection inspection, check gates, fencing, locks, and other safeguards are in place and functioning properly to prevent inadvertent entry to movement areas by unauthorized persons and vehicles and offer protection from jet blast. Report and monitor any safeguards that are damaged or missing. In accordance with the airport's security plan, report unauthorized persons or vehicles in the movement area (airports regulated by the Transportation Security Administration may have additional requirements for reporting and responding to unauthorized persons and vehicles).

m. Wildlife Hazard Management. During the wildlife hazard inspection, the inspector should check for evidence of birds or animals on the runways, taxiways, aprons, and ramps or other signs that

wildlife problems may have developed - such as large flocks of birds on or adjacent to the airport. Wildlife hazards found during the daily self-inspection should be properly documented. All dead wildlife found and all wildlife aircraft strikes should be reported to the FAA on the FAA Form 5200-7, Bird/Other Wildlife Strike Report. This form may be obtained from the FAA Internet site, at www.faa.gov. Additionally, the inspector should check fencing and gates for wildlife accessibility and should ensure that wildlife control equipment is available and operational.

11. CONTINUOUS SURVEILLANCE INSPECTION. Continuous surveillance inspection consists of general observation of activities for compliance with regulations, procedures, etc., as well as abnormalities with physical facilities that are readily apparent. This is performed any time inspection personnel are on the air operations area. Continuous surveillance of airport physical facilities and activities should cover at least the areas described in this section, which are also included in Appendix 2.

a. Ground Vehicles. During the continuous surveillance inspection of ground vehicles, the inspector should:

(1) Determine if vehicle drivers are following the airport's procedures and arrangements for the orderly operations of ground vehicles (including mowing machines or other maintenance vehicles in the safety areas). Extra attention should be paid to ground vehicle activity during construction, winter operations, and other special events.

(2) Report and monitor any vehicle operator that is not complying with the airport's vehicle procedures and arrangements.

(3) Report any ground vehicle accident observed and any ground vehicle signs and markings that are damaged, missing or obscured.

b. Fueling Operations. The inspector should:

(1) Emphasize fire and explosion hazards inherent in aircraft refueling.

(2) Ensure proper bonding is being used, deadman controls are not blocked, and no smoking prohibitions are being observed, and aircraft are not being fueled inside hangars.

(3) Check for proper parking of mobile fuelers to ensure these vehicles are at least 10' apart and 50' from buildings.

(4) Check for fuel leaks or spills in the fuel storage area and around mobile fuelers.

(5) Determine if the fuel farm is free of flammable materials, including litter and vegetation.

(6) Report and monitor any of unsafe fueling conditions discussed above and other obvious violations of local fire code and airport fuel fire safety procedures.

c. Snow and Ice. During the continuous surveillance inspection of snow and ice removal operations, the inspector should check snow or ice covered pavements and report and monitor any surfaces where snow and ice may affect the safety of aircraft operations. In addition, the inspector should monitor snow and ice removal NOTAMS to ensure they remain current and issue timely corrections, as necessary. If the airport uses other means to notify tenants of snow and ice removal operations, e.g., faxed or electronic messages, the inspector should also monitor this information for accuracy. Check to ensure that snow or ice on pavement surfaces does not affect the safety of aircraft operations and that NOTAMS are current.

d. Construction. The Inspector should check construction projects to ensure that the contractor is following the construction safety plan. During the continuous surveillance inspection of construction activity, the inspector should check for, and report, any of the following conditions:

- (1) Unauthorized use of runways, taxiways, and aprons by construction personnel and equipment.
- (2) Conditions that may result in runway incursions and other irregularities. This includes ensuring that construction areas are delineated appropriately with barricades, cones, markings, etc.
- (3) Construction equipment is not operated in ILS/MLS critical areas unless coordination with FAA has been accomplished.
- (4) Perimeter gates are left open and unattended, unlocked or construction vehicles and personnel are not following access and escort procedures.
- (5) Construction vehicles not properly marked or missing appropriate flags and/or beacons.
- (6) Foreign object debris on haul roads adjacent to movement areas that can be tracked onto taxiways, aprons, and ramp areas.
- (7) Confusing or missing signs, markings or lighting that could potentially confuse or mislead pilots.
- (8) Barricades and lighting are in place and operational.

e. Public Protection. Pay special attention to public protection during construction and special events. During the continuous surveillance inspection of safeguards used to protect the public, the inspector should check for, and report, any of the following conditions:

- (1) Unauthorized personnel, vehicles, and animals, particularly in areas aircraft passengers and the general public are present on the air carrier ramp and other portions of the movement area, i.e, remote aircraft parking locations.
- (2) Inoperable or blocked gates, particularly those that would impede access by aircraft rescue and fire fighting equipment.
- (3) Open or unlocked gates and missing or damaged signs posted to prevent unauthorized access to the airfield.
- (4) Damaged or missing jet blast fences.

f. Wildlife Hazard Management. During the continuous surveillance inspection of wildlife hazards, the inspector should check for, and report, any of the following conditions:

- (1) Birds or animals, such as dogs, deer, etc., on or adjacent to the runways, taxiways, aprons, and ramps to determine if there is a potential wildlife hazard problem.
- (2) Potential hazard created by birds on or adjacent to the airport.
- (3) Wildlife strikes and carcasses found on the runways. Report these on FAA Form 5200-7, Bird/Other Wildlife Strike Report. This form may be obtained from the FAA Internet site at www.faa.gov.

g. Foreign Object Debris (FOD). The inspector should continuously check for, and remove any FOD in movement areas, aircraft parking areas and loading ramps.

12. PERIODIC CONDITION INSPECTION. Periodic condition inspections consist of specific checks of physical facilities on a regularly scheduled basis (but less frequently than daily). Checks may require use of equipment (e.g., Walker Bar to measure VASI glide slope angles or transit to survey approach slopes, or continuous friction measurement equipment) or checking specific features of physical facilities. Periodic inspection of airport physical facilities and activities should cover at least the areas described in this section, which are also included in Appendix 3.

a. Pavement Areas. The inspector should check pavement surfaces for rubber buildup, polishing, or other items affecting friction.

b. Markings. The inspector should:

(1) Check pavement markings to ensure they are correct and clearly visible. Markings on concrete and faded asphalt should be outlined with a black border.

(2) Determine if markings are visible at night, especially examine for rubber buildup in the touchdown zone areas.

c. Signs. The inspector should check signs faces for peeling and for fading or faded colors.

d. Quarterly Fueling Inspections. Airports certificated under Part 139 are required to establish fire safety standards for safe fueling operations and conduct quarterly inspections of the fueling facilities. The inspection procedures in this section are based on the NFPA 407 fire code for airport fueling operations, which is one of the more common fire codes in effect at certificated airports. The fire safety standards for fueling operations should be listed in the Airport Certification Manual (ACM) and the quarterly inspections should be conducted for compliance to the fueling fire safety standards listed in the ACM. Sample quarterly inspection checklists for fuel storage areas and mobile fuelers are included in Appendix 5. Typical fire safety standards to inspect quarterly are listed below. Airports certificated under Part 139 are required to maintain a record of this inspection for at least 12 months.

(1) **Fuel storage areas and loading/unloading stations.** The inspector should:

(i) Check fuel storage areas for adequate fencing and security to prevent unauthorized access or tampering.

(ii) Check for “No Smoking” signs that are clearly visible.

(iii) Check fuel storage areas for materials such as trash or vegetation that could contribute to the spread of fire. Also check for equipment, functions or activities that could be ignition sources.

(iv) Note if fueling equipment appears to be in good operating condition and free of fuel leaks.

(v) Check piping for reasonable protection from damage by vehicles if piping is above ground.

(vi) Check fuel storage areas for at least two accessible and serviceable fire extinguishers. Where the open hose discharge capacity of the equipment is more than 200 gallons per minute, at least one wheeled extinguisher with at least 125 lbs of agent is also required.

(vii) Check for explosion proof equipment, switches and wiring that is reasonably protected from heat, abrasion or impact, which could cause an ignition source.

(viii) Check for piping, filters, tanks and pumps being electrically bonded together and interconnected to an adequate grounding rod.

(ix) Check for a serviceable bond/ground wire with clip at each loading/unloading facility for grounding tankers and mobile fuelers.

(x) Check loading stations for deadman control features.

(xi) Look for a boldly marked emergency cutoff capable of stopping all fuel flow with one physical movement. The emergency cutoff should be located outside the probable fuel spill area near the route that normally is used to leave the spill area or to reach the fire extinguishers.

(2) **Mobile fuelers.** At least once every 3 months, inspect all fuel trucks to ensure they meet fire safety standards. The inspector should:

(i) Note if mobile fuelers appear to be in good operating condition and free of fuel leaks.

(ii) Check mobile fuelers for parking at least 50 feet from a building and at least 10 feet from each other. Note: Some airports have a mobile fueller maintenance building that is approved by the local fire marshal.

(iii) Check for flammability decals on all sides. Lettering should be at least 3 inches high. Also check for hazardous materials placards on all sides. The Hazmat number for Jet A trucks should be #1863 and #1203 for 100LL trucks.

(iv) Check the cab for a "No Smoking" sign and the presence of smoking equipment. Ashtrays and cigarette lighters are not to be provided.

(v) Check for two fire extinguishers, accessible from each side of the mobile fueller. Fire extinguishers should be charged, sealed and tagged from the last fire extinguisher inspection. Check dry chemical extinguishers to ensure they are only B-C rated. ABC rated multi-purpose dry chemical extinguishers are not to be used on mobile fuelers as they are highly corrosive to aircraft and can cause significant damage to aircraft engines.

(vi) Check emergency fuel cutoffs to ensure they are boldly marked and operable. There should be an emergency fuel cutoff accessible from each side.

(vii) Check electrical equipment, switches, wiring and tail light lens covers for explosion proof construction and reasonable protection from heat, abrasion or impact which could be an ignition source.

(viii) Check for serviceable bonding wires and clamps.

(ix) Check nozzles for deadman control feature.

(x) Check the vehicle exhaust system for exhaust leaks and for adequate shielding if it extends under the fuel tank portion of the vehicle.

e. **Navigational Aids.** Periodically check the aiming of REILs and Visual Glide Slope Indicators owned by the airport.

f. **Lighting.** The inspector should:

(1) Determine that power generator and circuit resistance tests are being conducted.

(2) Ensure lights with adjustable optical systems are checked for proper aiming.

g. **Obstructions.** The inspector should:

(1) Check to ensure there are no overhead power lines in the aircraft parking areas.

(2) Annually survey trees and other structures near the airport that could affect glide path angles, approach light lanes, or be an obstruction to Part 77 surfaces.

h. **Aircraft Rescue and Fire Fighting.** The inspector should:

(1) Periodically determine if the aircraft rescue and fire fighting equipment is capable of meeting response times, if it is required under Part 139.

- (2) Ensure that recurrent training and hot-fire drills are being conducted as required by Part 139.
- (3) Check to ensure the availability of adequate entry tools.

13. SPECIAL CONDITION INSPECTIONS. Special condition inspections occur after receipt of a complaint or as triggered by an unusual condition or event. A special inspection should be conducted after an accident or incident. Depending upon circumstances, special condition inspections may include the inspection of any of the specific facilities or activities under the other three components. A special condition inspection of airport physical facilities and activities should cover at least the areas described in this section, which are also included in Appendix 4.

a. Pavement Areas. After a rain or thunderstorm, the inspector should check the pavement areas for ponding and edge damming.

b. Markings and Signs. The inspector should:

(1) Determine if markings are visible at night especially when the pavement is wet following a rain.

(2) After construction or maintenance operations, ensure that pavement markings are correct.

c. Safety Areas. The inspector should:

(1) Ensure that the storm sewer system is checked to verify that inlets are not clogged and drainage channels are free of debris. Note any standing water.

(2) Ensure all inlet covers are in place and sewer covers are at grade level.

(3) Conduct a special inspection before reopening a runway or taxiway following any construction or maintenance that has been performed in or around that safety area.

(4) Any time an aircraft has left the pavement and entered a safety area, check to ensure that no ruts or holes have been made by the aircraft tires or by personnel and equipment during the recovery operation.

(5) Check for construction and maintenance activities to ensure that no hazardous conditions have been created (equipment left in safety areas, unacceptable pavement lips created by ground alteration work, ruts from mowing equipment, etc.).

(6) Inspect engineered materials arresting system (EMAS), if installed, for damage and for deterioration.

(7) Physically drive or walk the safety areas to check for any discrepancies.

d. Snow and Ice. Several special inspections may be needed during a winter storm until the airport is back to a normal operation. The inspector should:

(1) Check to ensure that all foreign objects have been picked up after snow and ice removal operations.

(2) If a friction measurement device is available, issue the appropriate numbers obtained from the equipment. Do not attempt to correlate friction measurement numbers with braking action reports. If a friction measurement device is not available, issue to Air Traffic braking action reports.

(3) Conduct a special sign inspection after snowstorms for signs that may have been damaged by plows or by snow thrown by blowers.

e. Construction. The inspector should:

(1) Ensure that construction areas are barricaded and lighted properly.

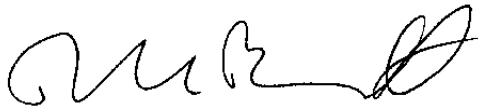
- (2) Check construction equipment to ensure that they are parked within the pre-arranged areas.
- (3) Conduct night inspections to ensure that barricades, warning lighting, and reflectors are adequate to keep aircraft away from the construction area.
- (4) Check the location of construction material and stockpiles to ensure that they are outside of safety areas and do not block any signs.
- (5) Check any movement areas adjacent to construction areas or movement areas traversed by construction vehicles to ensure there is no FOD present.
- (6) Check movement areas around construction sites for potentially confusing marking, lighting, and signs that could cause pilot confusion or result in a runway incursion.

f. Surface Movement Guidance and Control Systems (SMGCS).

(1) For operations below 1,200 feet runway visual range, the inspector should conduct an initial inspection of stop bar lights, runway guard lights, clearance bar lights, taxiway centerline lights, and taxiway edge lights installed on the low visibility routes in accordance with the airport's SMGCS plan.

(2) SMGCS lighting systems that are not electronically monitored should be periodically inspected every 2 to 4 hours for during operations below 1,200 feet to 600 feet. For operations below 600 feet, these inspections should take place every 2 hours. Such inspections should be detailed in the airport's SMGCS plan.

14. CONDITION REPORTING. Alert users of the airport to any unsafe conditions that exists and that could affect their operations. Ensure appropriate NOTAMS are issued for unsafe conditions that are identified during an inspection but cannot be corrected immediately. After reporting NOTAMS to the Flight Service Station, follow-up to ensure that the NOTAMS were processed and transmitted.



David L. Bennett
Director, Office of Airport Safety and Standards

APPENDICES 1–4**SUGGESTED AIRPORT SAFETY SELF-INSPECTION CHECKLISTS**

An airport safety self-inspection checklist should cover the condition of the facilities and equipment on the airport for it to be a part of a good safety inspection program. The checklist should be developed so that it is useful for the airport and its operation. A sketch of the airport is highly recommended to readily identify the location of problems found during the daily inspection.

The suggested checklists consist of a listing of facilities and equipment and a series of conditions that are inspected.

The blank squares indicate the conditions to be evaluated for each facility. A check (✓) in one of these squares would indicate that the condition of the facility and equipment was found to be satisfactory. On the other hand, an “x” in one of these squares would indicate that the condition of the facility and equipment was found to be unsatisfactory.

When an unsatisfactory condition is found:

1. An “x” for each applicable square should be entered;
2. A note provided in the Remark/Action Taken section;
3. The location of the condition should be identified in the airport sketch; and
4. Appropriate follow-up action including NOTAMs should be initiated. Corrective action should be documented on either the self-inspection checklists or on a separate work order system.

These checklists are ideal for electronic conversion to PDAs and laptop computers.

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**APPENDIX 1
AIRPORT SAFETY SELF-INSPECTION CHECKLIST**

DATE: _____ DAY: _____

✓ Satisfactory
X Unsatisfactory

Day Inspector/Time: _____ Night Inspector/Time: _____

FACILITIES	CONDITIONS	D	N	REMARKS	RESOLVED BY (Date/Initials)
Pavement Areas	Pavement lips over 3"				
	Hole – 5" diam. 3" deep				
	Cracks/spalling/heaves				
	FOD: gravel/debris/sand				
	Rubber deposits				
	Ponding/edge dams				
Safety Areas	Ruts/humps/erosion				
	Drainage/construction				
	Support equipment/aircraft				
	Frangible bases				
	Unauthorized objects				
Markings	Clearly visible/standard				
	Runway markings				
	Taxiway markings				
	Holding position markings				
	Glass beads				
Signs	Standard/meet Sign Plan				
	Obscured/operable				
	Damaged/retroreflective				

FACILITIES	CONDITIONS	D	N	REMARKS	RESOLVED BY (Date/Initials)
Lighting	Obscured/dirty/operable				
	Damaged/missing				
	Faulty aim/adjustment				
	Runway lighting				
	Taxiway lighting				
	Pilot control lighting				
Navigational Aids	Rotating beacon operable				
	Wind indicators				
	RENLS/VGSI systems				
Obstructions	Obstruction lights operable				
	Cranes/trees				
Fueling Operations	Fencing/gates/signs				
	Fuel marking/labeling				
	Fire extinguishers				
	Frayed wires				
	Fuel leaks/vegetation				
Snow & Ice	Surface conditions				
	Snowbank clearances				
	Lights & signs obscured				
	NAVAIDs				
	Fire access				

FACILITIES	CONDITIONS	D	N	REMARKS	RESOLVED BY (Date/Initials)
Construction	Barricades/lights				
	Equipment parking				
	Material stockpiles				
	Confusing signs/markings				
Aircraft Rescue and Fire Fighting	Equipment/crew availability				
	Communications/alarms				
	Response routes affected				
Public Protection	Fencing/gates/signs				
	Jet blast problems				
Wildlife Hazards	Wildlife present/location				
	Complying with WHMP				
	Dead birds				

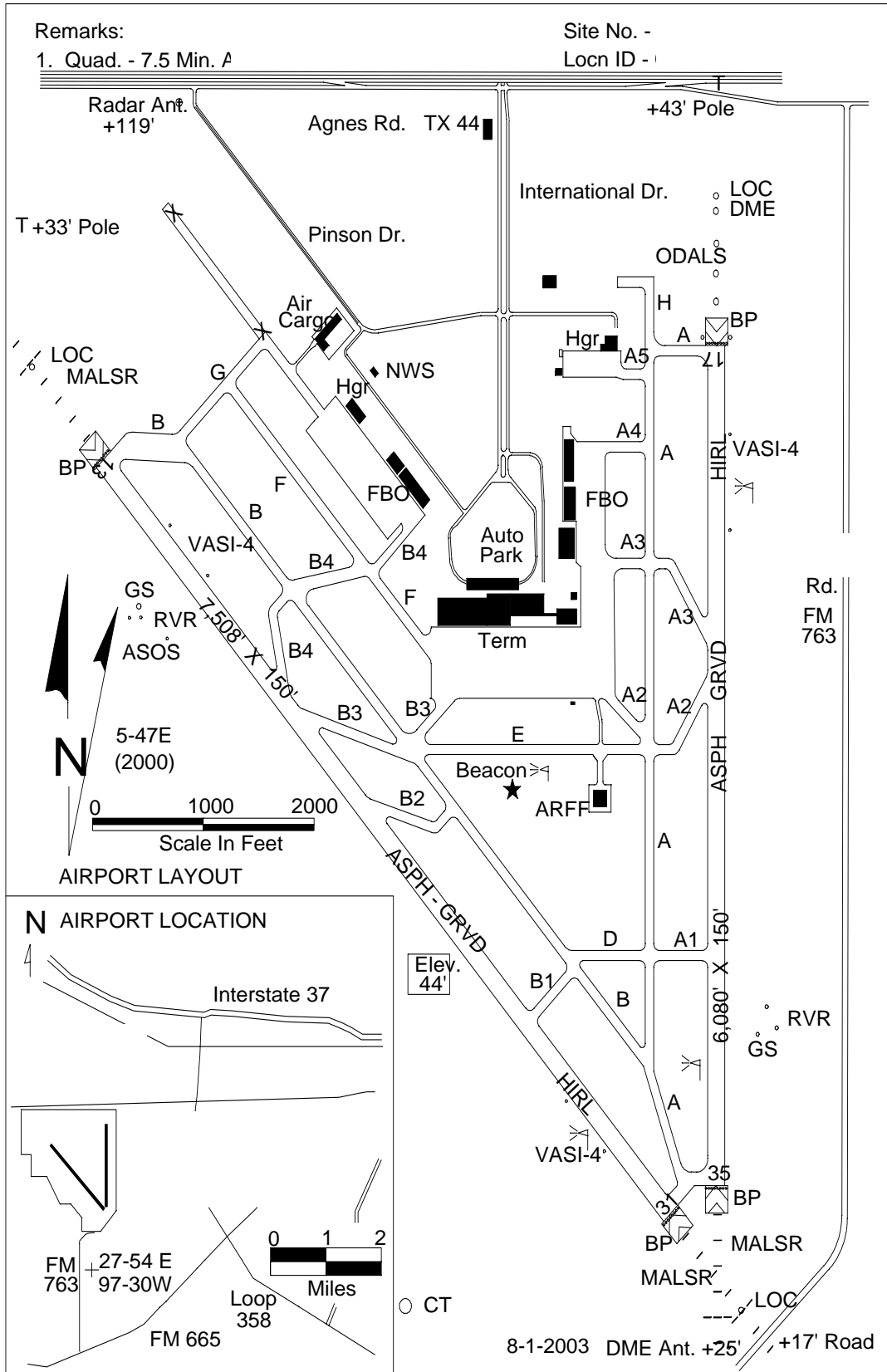
Comments/Remarks: _____

Airfield Map on Reverse Side

**APPENDIX 2
CONTINUOUS SURVEILLANCE CHECKLIST**

<input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory			
DATE: _____		DAY: _____	
TIME: _____		INSPECTOR: _____	
FACILITIES	CONDITIONS	√	REMARKS/ACTIONS TAKEN
Ground Vehicles	Rules/Procedures Followed	<input type="checkbox"/>	
		<input type="checkbox"/>	
Fueling Operations	Fire/Explosion Hazards	<input type="checkbox"/>	
	Signing/No smoking	<input type="checkbox"/>	
		<input type="checkbox"/>	
Snow & Ice	Surface Conditions	<input type="checkbox"/>	
		<input type="checkbox"/>	
Construction	Safety Plan	<input type="checkbox"/>	
	Runway Incursions	<input type="checkbox"/>	
	Runway & Taxiway Use	<input type="checkbox"/>	
	FOD	<input type="checkbox"/>	
Public Protection	Unauthorized Persons	<input type="checkbox"/>	
	Unauthorized Vehicles	<input type="checkbox"/>	
	Gates clear	<input type="checkbox"/>	
		<input type="checkbox"/>	
Wildlife Hazards	Birds/Animals	<input type="checkbox"/>	
		<input type="checkbox"/>	
Miscellaneous	Pedestrians in Movement Areas	<input type="checkbox"/>	
	Passenger Load/Unload	<input type="checkbox"/>	
	Debris in Movement Area	<input type="checkbox"/>	
		<input type="checkbox"/>	
Additional Remarks			

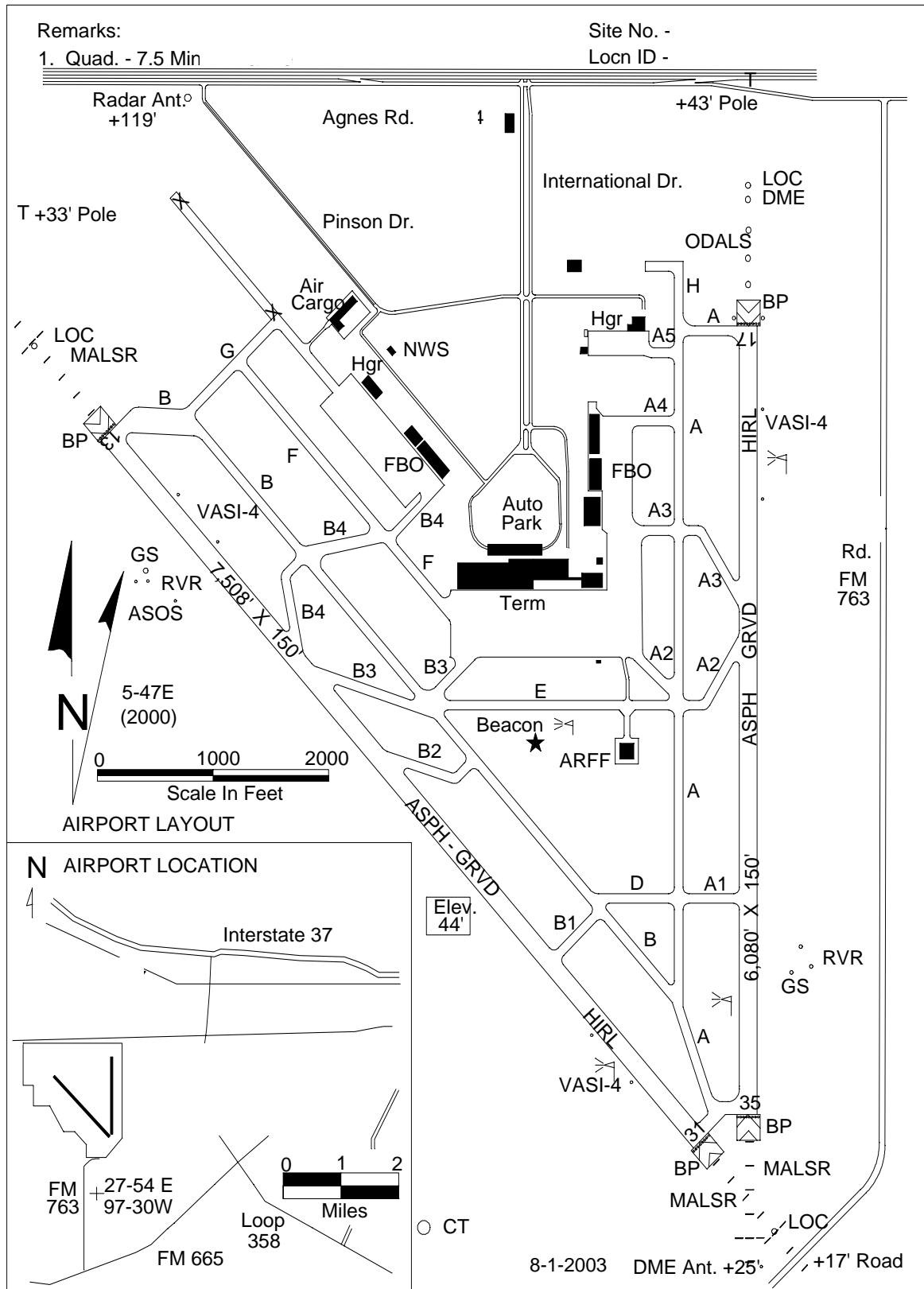
Airfield Map on Reverse Side



**APPENDIX 3
PERIODIC CONDITION INSPECTION CHECKLIST**

DATE: _____ DAY: _____		√ Satisfactory	
TIME: _____ INSPECTOR: _____		X Unsatisfactory	
FACILITIES	CONDITIONS	√	REMARKS/ACTIONS TAKEN
Pavement Areas	Rubber Deposits		
	Polishing		
Markings and Signs	Visible		
	Standards		
Fueling Operations	Physical Facilities		
	Mobile Fuelers		
	Fire Extinguishers		
	Fuel Marking/Labeling		
	Frayed Wiring		
Navigational Aids	RENs/VGSI Aiming		
Lighting	Power Generator Check		
	Circuit Resistance Test		
	Aim/Adjustment		
Obstructions	Surveyed Trees/Structures		
	Overhead Power Lines		
Aircraft Rescue and Fire Fighting	Response Times		
	Live Fire Drills		
	Training		
Additional Remarks			

Airfield Map on Reverse Side



**APPENDIX 4
SPECIAL INSPECTION CHECKLIST**

DATE: _____ DAY: _____		√ Satisfactory	
TIME: _____ INSPECTOR: _____		X Unsatisfactory	
FACILITIES	CONDITIONS	√	REMARKS/ACTIONS TAKEN
Pavement Areas	Ponding/Edge Dams		
Markings And Signs	Visible after rain		
	Standards after Construction		
Safety Areas	Drainage		
	Reopening Runways		
	Reopening Taxiways		
Snow and Ice	Surface conditions		
	Snowbank clearance		
	Lights & Signs Obscured		
	FOD		
	Braking Action/MU Reports		
Construction	Barricades		
	Construction Lights		
	Equipment Parking		
SMGCS	SMGCS Lighting		
Additional Remarks			

Airfield Map on Reverse Side

APPENDIX 5A

QUARTERLY INSPECTION – MOBILE FUELERS

Inspector: _____ Fueling Agent: _____ Date: _____

S – Satisfactory U – Unsatisfactory R – Remark Below	Jet A Fuelers			100LL Fuelers			Other Fueler		
	S	U	R	S	U	R	S	U	R
No Smoking sign in cab									
Flammability Signs/Haz Mat Placards all sides									
Bonding Cables and Clips functional									
Deadman Control for all nozzles									
2 Fire Extinguishers – Proper type/Inspected									
Emergency Shutoffs operable and marked									
No Fuel Leaks – Hoses/Gaskets/Valves									
Vehicle Exhaust System – Shielded/Leak free									
No evidence of Smoking – No ashtray in cab									
Vehicle Parking – 10' apart/50' from buildings.									
Explosion proof electrical/Light lens intact									
Ignition Sources (Clothing, Shoes, Matches)									
							No of Mobile Fuelers		
Proper Fueling Procedures Observed							Jet A _____		
Fueling Personnel Meet Training Requirements							100 LL _____		
Fueling Personnel Training Records maintained							Other _____		
Remarks: _____									

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APPENDIX 5B

QUARTERLY INSPECTION – FUEL STORAGE AREAS

Inspector: _____ Fueling Agent: _____ Date: _____

S – Satisfactory U – Unsatisfactory R – Remark Below	Jet A Section			100LL Section			Other _____		
	S	U	R	S	U	R	S	U	R
Fencing/Locks/Signs									
Piping protected from vehicles									
No Smoking signs posted									
Deadman Controls for loading stations									
2 Fire Extinguishers – Inspected/Accessible									
Boldly Marked Emergency Cutoffs – Location									
No Fuel Leaks									
Bonding wire/clips at loading stations/operable									
Piping/Pumps bonded and grounded									
No vegetation or materials to spread fire									
No evidence of Smoking									
Hoses in good condition									
Explosion Proof Electrical Equipment									
Remarks: _____									



U.S. Department
of Transportation

Federal Aviation
Administration

Advisory Circular

Subject: Painting, Marking, and Lighting of
Vehicles Used on an Airport

Date: April 1, 2010

AC No: AC 150/5210-5D

Initiated by: AAS-100

Change:

1. **PURPOSE.** This advisory circular (AC) provides guidance, specifications, and standards for painting, marking, and lighting of vehicles operating in the airport air operations area (AOA). The approved lights, colors, and markings herein assure the conspicuity of vehicles operating in the AOA from both the ground and the air.

2. **CANCELLATION.** This AC cancels AC 150/5210-5C, Painting, Marking, and Lighting of Vehicles Used on an Airport, dated August 31, 2007.

3. **APPLICATION.** The Federal Aviation Administration (FAA) recommends the guidelines and standards in this Advisory Circular for vehicles operating in the airport AOA. In general, use of this AC is not mandatory. *However*, use of this AC is mandatory for vehicles funded with federal grant monies through the Airport Improvement Program (AIP) and/or with revenue from the Passenger Facility Charges (PFC) Program. See Grant Assurance No. 34, "Policies, Standards, and Specifications," and PFC Assurance No. 9, "Standard and Specifications."

Vehicles covered by this AC that do not meet this standard may be used until the vehicle is repainted or replaced, but no later than **December 31, 2010**.

4. **PRINCIPAL CHANGES.** This AC contains new specifications and recommendations for the painting, marking, and lighting of Towbarless Tow Vehicles (TLTVs).

5. **METRIC UNITS.** To promote an orderly transition to metric units, this AC includes both English and metric dimensions. The metric conversions may not be exact equivalents, and until there is an official changeover to the metric system, the English dimensions will govern.

6. **COMMENTS OR SUGGESTIONS** for improvements to this AC should be sent to:

Manager, Airport Engineering Division
Federal Aviation Administration
ATTN: AAS-100
800 Independence Avenue, S.W.
Washington, DC 20591

Michael J. O'Donnell
Director of Airport Safety and Standards

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PAINTING, MARKING, AND LIGHTING OF VEHICLES USED ON AN AIRPORT

1. SOURCES OF APPLICABLE DOCUMENTS.

- a.** American National Standards Institute, Inc. (ANSI), 25 West 43rd St. 4th Floor, New York, NY 10036. Website: www.ansi.org
- b.** American Society for Testing & Materials (ASTM), ASTM International, 100 Barr Harbor Drive, P.O. Box C700, West Conshohocken, PA 19428-2959. Website: www.astm.org
- c.** The National Fire Protection Association (NFPA), 1 Batterymarch Park, Quincy, Massachusetts 02169-7471. Website: www.nfpa.org
- d.** The U. S. General Services Administration (GSA), Centralized Mailing List Services, 501 West Felix Street, Whse 9, South End P.O. Box 6477, Fort Worth, Texas 76115-6477. Website: www.gsa.gov
- e.** The Superintendent of Documents, U.S. Government Printing Office, 732 North Capitol St. NW, Washington, DC 20401.
- f.** Society of Automotive Engineers, Inc. (SAE), 400 Commonwealth Drive, Warrendale, PA 15096-0001. Website: www.sae.org
- g.** FAA Advisory Circulars: U.S. Department of Transportation, Subsequent Distribution Office, Ardmore East Business Center, 3341 Q 75th Ave., Landover, MD 20785. Website: www.faa.gov
- h.** FAA Engineering Briefs: www.faa.gov/airports/engineering/engineering_briefs/

2. DEFINITIONS. The following definitions apply in this AC:

- a. Vehicle** – All conveyances, except aircraft, used on the ground to transport persons, cargo, equipment or those required to perform maintenance, construction, service, and security duties.
- b. Air Operations Area (AOA)** – The portion of airport that encompasses the landing, take off, taxiing, and parking areas for aircraft.
- c. Airport Emergency Vehicles** – Vehicles that are authorized in the AOA for emergency purposes (e.g., ambulances, aircraft rescue and fire fighting (ARFF) vehicles and emergency response vehicles) as authorized by the airport traffic control tower (ATCT) or an authorized on-site accident/incident commander.
- d. Airport Operations Vehicles** – Vehicles routinely used by airport operations personnel for airport inspection and duties associated with airfield operations (such as airfield condition reporting and Incident Command) on the AOA and Movement Area.
- e. Airport Security Vehicles** – Vehicles that are authorized in the AOA for security purposes, as needed (e.g. police cars).

- f. Airfield Service Vehicles** – Vehicles that are routinely used in the AOA for airfield service, maintenance, or construction (e.g. snow blowers, snowplows, maintenance trucks, and tractors).
- g. Aircraft Support Vehicles** – Vehicles that are routinely used in the AOA to support aircraft operations (e.g. aircraft pushback tractors, baggage/cargo tractors or trucks, air conditioning and aviation fuel trucks). These vehicles are typically owned by airlines, vendors, or contractors and are not eligible for Federal funding.
- h. Reduced Visibility** – Prevailing visibility is less than one statute mile (1609 meters) and/or the runway visual range (RVR) is less than 6,000 feet (1830 meters).
- i. Movement Area** – The runways, taxiways, and other areas of an airport/heliport that are used for taxiing/hover taxiing, air taxiing, takeoff, and landing of aircraft, exclusive of loading ramps and parking areas. At those airports/heliports with an operating airport traffic control tower (ATCT), specific approval for entry onto the movement area must be obtained from air traffic control (ATC).
- j. Other Vehicles** – Vehicles that are not routinely authorized in the AOA (e.g. construction vehicles). These vehicles are typically owned by airlines, vendors, or contractors and are not eligible for Federal funding.
- k. Peak Intensity** – Peak intensity, for purposes of this document, means the maximum magnitude of luminescence as measured in candela.
- l. Towbarless Tow Vehicle (TLTV)** – a type of aircraft support vehicle whose main purpose is to tow aircraft in the AOA by way of nose gear capture.

3. VEHICLE PAINTING.

NOTE: *Airport vehicle paint and markings are a safety of flight requirement. The approved colors/markings herein assure conspicuity of vehicles operating in the AOA from both the ground and air.*

a. Airport Emergency Vehicles.

(1) Ambulances. Ambulance vehicles are painted per the most current version of Federal Specification KKK-A-1822, *Federal Specification for the Star-of-Life Ambulance*. Ambulances are not considered vehicles routinely operating on the AOA.

(2) Aircraft Rescue and Fire Fighting (ARFF) Vehicles. Yellowish-green is the vehicle color standard. Color specifications are per Appendix A.

NOTE: *A yellowish-green color provides optimum visibility during all light levels encountered during a 24-hour day and under variations of light that result from weather and seasonal changes.*

b. Airport Operations Vehicles. Airport operations vehicles may be painted in colors designated by the airport operator. The characteristics must be coordinated with the respective ATCT and identified in the tower letter of agreement.

c. Airport Security Vehicles. Comply with specific state or local requirements.

d. Airfield Service Vehicles. Chrome yellow is the vehicle color standard. Color specifications are per Appendix A. When vehicles are equipped with bumper bars 8 inches (200 mm) or more in depth, the bars must be painted in alternate stripes 4 inches (100 mm) in width of chrome yellow and black inclined 45° to the vertical.

e. Aircraft Support Vehicles.

(1) Any color or combination of colors other than yellowish-green or chrome yellow. The bumper bar paint scheme in paragraph 3.d (of alternating chrome yellow and black stripe) is recommended.

(2) **TLTVs.** International orange is the vehicle color standard. Retroreflective tape covering more than 25 percent of the vehicle's vertical surfaces may be used as a temporary measure to meet this standard prior to scheduled vehicle painting.

f. Other Vehicles. Any color or combination of colors other than solid black or white.

4. VEHICLE MARKING.

a. Airport Emergency Vehicles.

(1) **Ambulances.** Ambulances are marked per the most current version of Federal Specification KKK-A-1822.

(2) **ARFF Vehicles.** Emergency rescue and fire fighting vehicles are marked with the letters "ARFF," "Fire," or "Rescue" and in accordance with 4.c.(1)-(5) of this AC.

b. Airport Operations Vehicles. Airport operations vehicles may be marked as designated by the airport operator. Marking must be coordinated with the respective ATCT and identified in the tower letter of agreement.

c. Airfield Service Vehicles and Aircraft Support Vehicles.

(1) Airport operator owned vehicles must display an identification number on each side and on the roof (the hood should be used if the vehicle has no roof).

(2) Side numbers will be a minimum of 16 inches (410 mm) in height and conspicuously located.

(3) Roof numbers will be a minimum of 24 inches (610 mm) in height and affixed with their bases toward the front of the vehicle. The identification numbers should provide sharp color contrast to the vehicle color.

(4) In addition to the identification numbers, airport operator-owned vehicles must display either the name of the airport and/or the airport insignia.

(5) To further improve night-time recognition of vehicles, a minimum 8 inch (200 mm) wide horizontal band of high gloss white paint or white reflective tape (Retroreflective, ASTM-D 4956-09, *Standard Specification for Retroreflective Sheeting for Traffic Control*, Type III & above) must be used around the vehicle's surface. Figures 1, 2, and 3 show suggested locations for the horizontal reflective band.

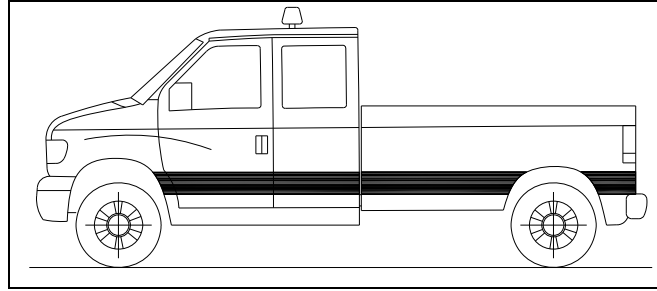


Figure 1: Suggested location for the horizontal reflective band, Option 1

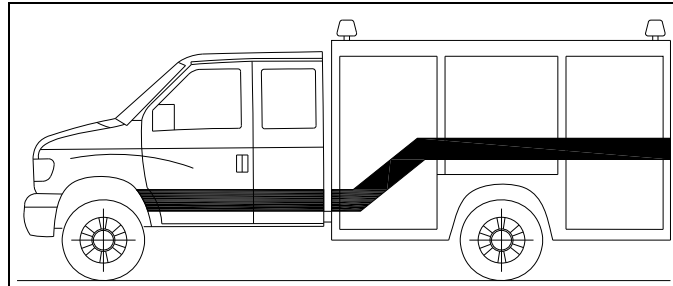


Figure 2: Suggested location for the horizontal reflective band, Option 2

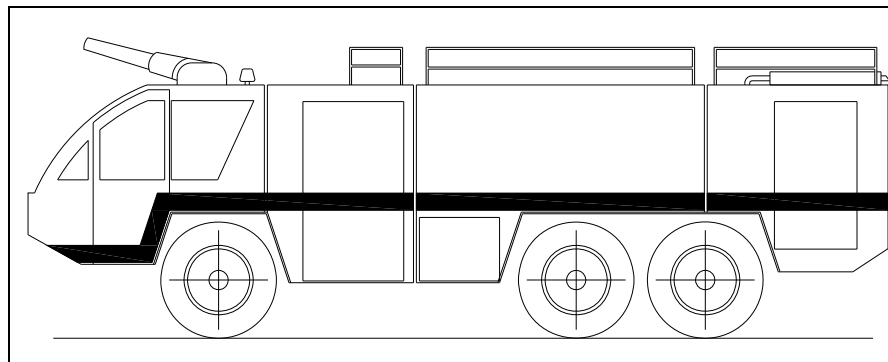


Figure 3: Suggested location for the horizontal reflective band, Option 3

(6) **TLTVs.** Retroreflective tape is used to outline the shape of a TLTV. If the vertical edge of the vehicle is rounded, the tape should be placed on the rounded portion to reflect light in both the horizontal and vertical planes. Where the placement of the tape may interfere with, or may be worn down by, maintenance or operational activities, tape is not required. Suggested locations for the retroreflective bands are shown in Figure 4.

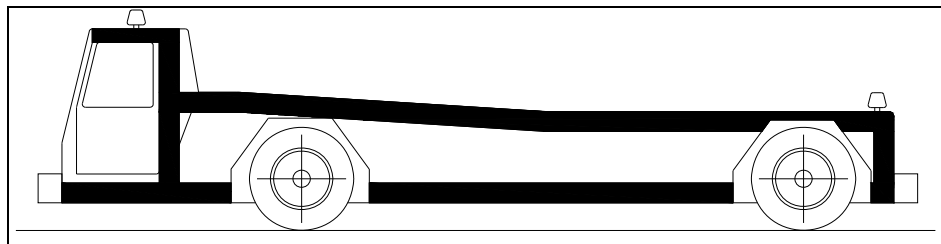


Figure 4: Suggested placement of retroreflective tape on a TLTV

d. Airport Security and Other Vehicles.

- (1) Vehicles other than those that routinely traverse any portion of the AOA under the control of ATC, which are not escorted by a vehicle in constant two-way radio communication with ATC and properly equipped and authorized to operate in the AOA, must be provided with a flag on a staff attached to the vehicle so that the flag will be readily visible.
- (2) At airports without air traffic control facilities, flags must be provided on all vehicles.
- (3) The flag must be at least a 3-foot by 3-foot (0.9 meter by 0.9 meter) square having a checkered pattern of international orange and white squares at least 1 foot (300 mm) on each side (see Appendix A for the fabric color specification).

5. VEHICLE LIGHTING.

a. Airfield Service, Aircraft Support, and Airport Operations Vehicles.

- (1) The standard for identification lighting is a yellow flashing light that is mounted on the uppermost part of the vehicle structure. A steady yellow light designates vehicles limited to non-movement areas.
- (2) The light must be visible from any direction, day and night, including from the air.
- (3) Color specifications for vehicle identification lights are per Appendix B.
- (4) **TLTVs.** An LED light bar placed above the operator's cab may be used in place of the rotating yellow flashing light. In addition, a yellow flashing light (of any type) must be installed on the upper left-rear and right-rear corners of the TLTV, and must be activated when an aircraft is in tow. The size of the rear flashing lights must be large enough to meet the requirements of Section 5.c, but not so large as to interfere with the normal or towing operations of the TLTV.

b. Airport Emergency, Security, and Other Vehicles, which are not escorted by a properly lighted vehicle, must be identified during periods of low visibility by a light.

c. Characteristics of Flashing Lights:

- (1) Ambulance lights must meet the specifications in the most current version of Federal Specification KKK-A-1822, and ARFF vehicles must meet NFPA, state, and local requirements.
- (2) Lights must have peak intensity within the range of 40 to 400 candelas (effective) from 0° (horizontal) up to 10° above the horizontal and for 360° horizontally. The upper limit of 400 candelas (effective) is necessary to avoid damage to night vision.
- (3) From 10° to 15° above the horizontal plane, the light output must be 1/10th of peak intensity or between 4 and 40 candelas (effective).

- (4) Lights must flash at 75 ± 15 flashes per minute.

NOTES:

1. *The effective intensity of a flashing light is equal to the intensity of a steady-burning (fixed) light of the same color that produces the same visual range under identical conditions of observation.*

2. *If xenon flashtubes are used, refer to AC 150/5345-43, Specification for Obstruction Lighting Equipment, for guidance concerning methods of calculating effective intensity.*

d. Light Colors.

(1) Airport Emergency Vehicles.

(a) **Ambulances.** Per the most current version of Federal Specification KKK-A-1822.

(b) **ARFF Vehicles.** Red or a combination of red-and-white flashing lights per the chromaticity requirements in Appendix B.

(2) Airport Security Vehicles. Signal blue or a combination of red and signal blue flashing light per the chromaticity requirements in Appendix B.

(3) Airfield Service, Aircraft Support, Airport Operations, and Other Vehicles. Yellow flashing light per the chromaticity requirements in Appendix B.

APPENDIX A. COLOR SPECIFICATIONS

A-1. SPECIFICATIONS. Colors specified in Table A-1 are per the Commission Internationale de l'Eclairage (CIE) L*a*b* system of color specification. For a description of this system, refer to American Society for Testing & Materials (ASTM) D 2244, *Standard Practice for Calculation of Color Tolerances and Color Differences from Instrumentally Measured Color Coordinates*.

Table A-1. Specification for vehicle and flag colors

Standard Illuminant D65 Usage	Chrome Yellow			Yellowish-Green			International Orange		
	Vehicle Paint			Vehicle Paint			Vehicle Paint / Flag Fabric		
CIELAB DATA	L*	a*	b*	L*	a*	b*	L*	a*	b*
Centroid Color	72.8	24.4	77.6	78.3	-10.2	80.4	45.0	53.5	52.0
Point 1	72.8	31.8	82.9	78.3	-9.0	92.0	45.0	61.4	47.8
Point 2	72.8	25.5	66.7	78.3	-7.6	73.2	45.0	53.9	41.4
Point 3	72.8	18.0	69.3	78.3	-11.0	69.3	45.0	53.5	53.4
Point 4	72.8	22.4	86.0	78.3	-13.4	86.2	45.0	49.7	60.4
Light Limit	77.8			83.3			49.9		
Dark Limit	67.8			73.3			41.6		
Max ΔE	11.1			11.7			10.7		

A-2. COLOR TESTS. Acceptable colors are those that meet the gloss rating test and either a visual or an instrumental color test as follows:

NOTE: *Flag fabric colors must meet either the instrumental tests in Table A-1 or the visual method described in paragraph A-2b(1).*

a. Gloss Rating Test. This test is performed per ASTM D 523, *Standard Test Method for Specular Gloss*, on a paint sample of the color to be applied on the vehicle. An acceptable color sample is high gloss with a minimum gloss rating of 70 units, for 60° geometry.

b. Color Test Methods:

(1) Visual. Prepare a master specimen of the color (per Table A-1) and gloss (per paragraph A-2a). This specimen will be the master color and be used as the basis of comparison per ASTM D 5531-05, *Standard Guide for the Preparation, Maintenance, and Distribution of Physical Product Standards for Color and Geometric Appearance of Coatings*. To verify the paint color of a vehicle visually, vehicle paint samples must be

prepared and viewed per ASTM D 1729-96 (Reapproved 2009), *Standard Practice for Visual Appraisal of Colors and Color Differences of Diffusely-Illuminated Opaque Materials*.

(2) Instrumental. This test requires a test specimen sample and reference to Table A-1. All test specimen measurements should be conducted per ASTM E 1164-09a *Standard Practice for Obtaining Spectrometric Data for Object-Color Evaluation*. Test specimen tolerances must be per Table A-1 per the following:

(a) Plot the centroid color using the a* and b* CIELAB coordinate data from Table A-1 on graph paper or by entry of the coordinate data into a computer program. Plot and connect points 1 through 4 from the same table to form a quadrilateral; noting that the centroid color is within this figure. See Figure A-1 for plots of all three color specifications in Table A-1.

(b) Perform color sample measurements per ASTM E 1164-09a. If necessary, convert measurements to CIELAB L*, a*, and b* color space. See ASTM E 308-08, *Standard Practice for Computing the Colors of Objects by Using the CIE System*, for color space conversion formulae.

(c) An acceptable color is one that meets:

(i) the chromaticity requirements of the color samples a* and b* CIELAB coordinate data by falling within the quadrilateral;

(ii) the L* data lightness requirement by falling within the range defined by the light and dark data of Table A-1;

(iii) the total color difference (ΔE) by not exceeding the limits in Table A-1 when the CIELAB data are computed in the following formula:

$$\Delta E = (\Delta L^{*2} + \Delta a^{*2} + \Delta b^{*2})^{\frac{1}{2}}$$

where ΔL^* , Δa^* , and Δb^* values are the differences between those values for the centroid color in Table A-1 and those of the color sample measurements.

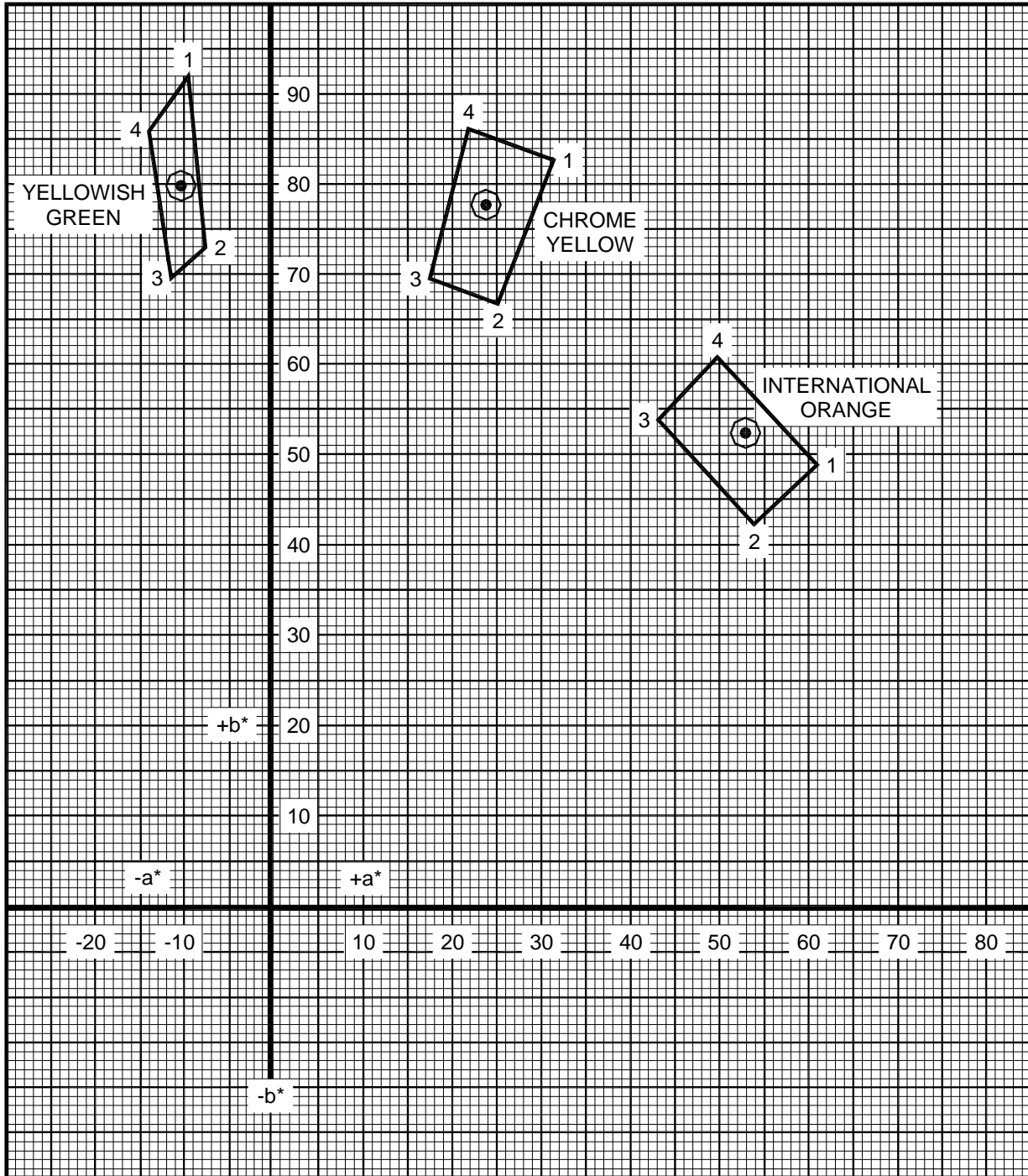


Figure A-1. Plot of selected color paint specifications

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APPENDIX B. COLOR SPECIFICATIONS FOR VEHICLE IDENTIFICATION LIGHTS

B-1. SPECIFICATIONS. The Society of Automotive Engineers (SAE) Standard J578 Revised December 2006, *Color Specification*, defines the acceptable color boundary limits and measurement of emitted red, white, signal blue, and yellow light for vehicle lights. This standard applies to the overall emitted color of light from the device in lieu of emitted light from any small area of the lens. The color of emitted light must fall within the color boundaries per SAE J578 Revised December 2006 (color boundary equations are in the standard) using color measurement methods detailed in the standard. See FAA Engineering Brief #67, *Light Sources Other Than Incandescent and Xenon for Airport and Obstruction Lighting Fixtures*, for additional information and *Alternative Lighting Devices*.

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U.S. Department
of Transportation

Federal Aviation
Administration

Advisory Circular

Subject: Operational Safety on
Airports During Construction

Date: 9/29/11
Initiated by: AAS-100

AC No: 150/5370-2F

- 1. Purpose.** This AC sets forth guidelines for operational safety on airports during construction.
- 2. What this AC Cancels.** This AC cancels AC 150/5370-2E, Operational Safety on Airports During Construction, dated January 17, 2003.
- 3. Whom This AC Affects.** This AC assists airport operators in complying with Title 14 Code of Federal Regulations (CFR) Part 139, Certification of Airports (Part 139). For those certificated airports, this AC provides one way, but not the only way, of meeting those requirements. The use of this AC is mandatory for those airport construction projects receiving funds under the Airport Improvement Program (AIP) or the Passenger Facility Charge (PFC) Program. See Grant Assurance No. 34, "Policies, Standards, and Specifications," and PFC Assurance No. 9, "Standard and Specifications." While we do not require non-certificated airports without grant agreements to adhere to these guidelines, we recommend that they do so to help these airports maintain operational safety during construction.
- 4. Principal Changes.**
 - a.** Construction activities are prohibited in safety areas while the associated runway or taxiway is open to aircraft.
 - b.** Guidance is provided in incorporating Safety Risk Management.
 - c.** Recommended checklists are provided for writing Construction Safety and Phasing Plans and for daily inspections.
- 5. Reading Material Related to this AC.** Numerous ACs are referenced in the text of this AC. These references do not include a revision letter, as they are to be read as referring to the latest version. Appendix 1 contains a list of reading material on airport construction, design, and potential safety hazards during construction, as well as instructions for obtaining these documents.

Michael J. O'Donnell
Director of Airport Safety and Standards

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Chapter 1. Planning an Airfield Construction Project

101. Overview. Airports are complex environments, and procedures and conditions associated with construction activities often affect aircraft operations and can jeopardize operational safety. Safety considerations are paramount and may make operational impacts unavoidable. However, careful planning, scheduling, and coordination of construction activities can minimize disruption of normal aircraft operations and avoid situations that compromise the airport's operational safety. The airport operator must understand how construction activities and aircraft operations affect one another to be able to develop an effective plan to complete the project. While the guidance in this AC is primarily used for construction operations, some of the concepts, methods and procedures described may also enhance the day-to-day airport maintenance operations, such as lighting maintenance and snow removal operations.

102. Plan for Safety. Safety, maintaining aircraft operations, and construction costs are all interrelated. Since safety must not be compromised, the airport operator must strike a balance between maintaining aircraft operations and construction costs. This balance will vary widely depending on the operational needs and resources of the airport and will require early coordination with airport users and the FAA. As the project design progresses, the necessary construction locations, activities, and associated costs will be identified. As they are identified, their impact to airport operations must be assessed. Adjustments are made to the proposed construction activities, often by phasing the project, and/or to airport operations in order to maintain operational safety. This planning effort will ultimately result in a project Construction Safety and Phasing Plan (CSPP). The development of the CSPP takes place through the following five steps:

a. Identify Affected Areas. The airport operator must determine the geographic areas on the airport affected by the construction project. Some, such as a runway extension, will be defined by the project. Others may be variable, such as the location of haul routes and material stockpiles.

b. Describe Current Operations. Identify the normal airport operations in each affected area for each phase of the project. This becomes the baseline from which the impact on operations by construction activities can be measured. This should include a narrative of the typical users and aircraft operating within the affected areas. It should also include information related to airport operations: the Aircraft Reference Code (ACRC) for each runway; Airplane Design Group (ADG) and Taxiway Design Group (TDG)¹ for each affected taxiway; designated approach visibility minimums; available approach and departure procedures; most demanding aircraft; declared distances; available air traffic control services; airport Surface Movement Guidance and Control System plan; and others. The applicable seasons, days and times for certain operations should also be identified as applicable.

c. Allow for Temporary Changes to Operations. To the extent practical, current airport operations should be maintained during the construction. In consultation with airport users, Aircraft Rescue and Fire Fighting (ARFF) personnel, and FAA Air Traffic Organization (ATO) personnel, the airport operator should identify and prioritize the airport's most important operations. The construction activities should be planned, through project phasing if necessary, to safely accommodate these operations. When the construction activities cannot be adjusted to safely maintain current operations, regardless of their importance, then the operations must be revised accordingly. Allowable changes include temporary revisions to approach procedures, restricting certain aircraft to specific runways and taxiways, suspension of certain operations, decreased weights for some aircraft due to shortened runways,

¹ Taxiway Design Group will be introduced in AC 150/5300-13A.

and other changes. An example of a table showing temporary operations versus current operations is shown in Table 3-1 Sample Operations Effects.

d. Take Required Measures to Revised Operations. Once the level and type of aircraft operations to be maintained are identified, the airport operator must determine the measures required to safely conduct the planned operations during the construction. These measures will result in associated costs, which can be broadly interpreted to include not only direct construction costs, but also loss of revenue from impacted operations. Analysis of costs may indicate a need to reevaluate allowable changes to operations. As aircraft operations and allowable changes will vary so widely among airports, this AC presents general guidance on those subjects.

e. Manage Safety Risk. Certain airport projects may require the airport operator to provide a Project Proposal Summary to help the FAA to determine the appropriate level of Safety Risk Management (SRM) documentation. The airport operator must coordinate with the appropriate FAA Airports Regional or District Office early in the development of the CSPP to determine the need for SRM documentation. See FAA Order 5200.11, FAA Airports (ARP) Safety Management System (SMS), for more information. If the FAA requires SRM documentation, the airport operator must at a minimum:

- (1) **Notify the appropriate FAA Airports Regional or District Office** during the project “scope development” phase of any project requiring a CSPP.
- (2) **Provide documents** identified by the FAA as necessary to conduct SRM.
- (3) **Participate in the SRM process** for airport projects.
- (4) **Provide a representative** to participate on the SRM panel.
- (5) **Ensure that all applicable SRM identified risks elements are recorded** and mitigated within the CSPP.

103. Develop a Construction Safety and Phasing Plan (CSPP). Development of an effective CSPP will require familiarity with many other documents referenced throughout this AC. See Appendix 1, Related Reading Material for a list of related reading material.

a. List Requirements. A CSPP must be developed for each on-airfield construction project funded by the Airport Improvement Program (AIP) or the Passenger Facility Charge (PFC) program or located on an airport certificated under Part 139. As per Order 5200.11, such projects do not include construction, rehabilitation, or change of any facility that is entirely outside the air operations area, does not involve any expansion of the facility envelope and does not involve construction equipment, haul routes or placement of material in locations that require access to the air operations area, increase the facility envelope, or impact line-of-sight. Such facilities may include passenger terminals and parking or other structures. However, extraordinary circumstances may trigger the need for a Safety Assessment and a CSPP. The CSPP is subject to subsequent review and approval under the FAA’s Safety Risk Management procedures (see paragraph 102.e above). Additional information may be found in Order 5200.11.

b. Prepare a Safety Plan Compliance Document. The Safety Plan Compliance Document (SPCD) details how the contractor will comply with the CSPP. Also, it will not be possible to determine all safety plan details (for example specific hazard equipment and lighting, contractor’s points of contact, construction equipment heights) during the development of the CSPP. The successful contractor must define such details by preparing an SPCD that the airport operator reviews for approval prior to issuance of a notice-to-proceed. The SPCD is a subset of the CSPP, similar to how a shop drawing review is a subset to the technical specifications.

c. Assume Responsibility for the CSPP. The airport operator is responsible for establishing and enforcing the CSPP. The airport operator may use the services of an engineering consultant to help develop the CSPP. However, writing the CSPP cannot be delegated to the construction contractor. Only those details the airport operator determines cannot be addressed before contract award are developed by the contractor and submitted for approval as the SPCD. The SPCD does not restate nor propose differences to provisions already addressed in the CSPP.

104. Who Is Responsible for Safety During Construction?

a. Establish a Safety Culture. Everyone has a role in operational safety on airports during construction: the airport operator, the airport's consultants, the construction contractor and subcontractors, airport users, airport tenants, ARFF personnel, Air Traffic personnel, including Technical Operations personnel, FAA Airports Division personnel, and others. Close communication and coordination between all affected parties is the key to maintaining safe operations. Such communication and coordination should start at the project scoping meeting and continue through the completion of the project. The airport operator and contractor should conduct onsite safety inspections throughout the project and immediately remedy any deficiencies, whether caused by negligence, oversight, or project scope change.

b. Assess Airport Operator's Responsibilities. An airport operator has overall responsibility for all activities on an airport, including construction. This includes the predesign, design, preconstruction, construction, and inspection phases. Additional information on the responsibilities listed below can be found throughout this AC. The airport operator must:

(1) Develop a CSPP that complies with the safety guidelines of Chapter 2, Construction Safety and Phasing Plans, and Chapter 3, Guidelines for Writing a CSPP. The airport operator may develop the CSPP internally or have a consultant develop the CSPP for approval by the airport operator. For tenant sponsored projects, approve a CSPP developed by the tenant or its consultant.

(2) Require, review and approve the SPCD by the contractor that indicates how it will comply with the CSPP and provides details that cannot be determined before contract award.

(3) Convene a preconstruction meeting with the construction contractor, consultant, airport employees and, if appropriate, tenant sponsor and other tenants to review and discuss project safety before beginning construction activity. The appropriate FAA representatives should be invited to attend the meeting. See AC 150/5300-9, *Predesign, Prebid, and Preconstruction Conferences for Airport Grant Projects*. (Note "FAA" refers to the Airports Regional or District Office, the Air Traffic Organization, Flight Standards Service, and other offices that support airport operations, flight regulations, and construction/environmental policies.)

(4) Ensure contact information is accurate for each representative/point of contact identified in the CSPP and SPCD.

(5) Hold weekly or, if necessary, daily safety meetings with all affected parties to coordinate activities.

(6) Notify users, ARFF personnel, and FAA ATO personnel of construction and conditions that may adversely affect the operational safety of the airport via Notices to Airmen (NOTAM) and other methods, as appropriate. Convene a meeting for review and discussion if necessary.

(7) Ensure construction personnel know of any applicable airport procedures and of changes to those procedures that may affect their work.

(8) Ensure construction contractors and subcontractors undergo training required by the CSPP and SPCD.

(9) **Ensure vehicle and pedestrian operations** addressed in the CSPP and SPCD are coordinated with airport tenants, the airport traffic control tower (ATCT), and construction contractors.

(10) **At certificated airports**, ensure each CSPP and SPCD is consistent with Part 139.

(11) **Conduct inspections** sufficiently frequently to ensure construction contractors and tenants comply with the CSPP and SPCD and that there are no altered construction activities that could create potential safety hazards.

(12) **Resolve safety deficiencies immediately.** At airports subject to 49 CFR Part 1542, Airport Security, ensure construction access complies with the security requirements of that regulation.

(13) **Notify appropriate parties** when conditions exist that invoke provisions of the CSPP and SPCD (for example, implementation of low-visibility operations).

(14) **Ensure prompt submittal of a Notice of Proposed Construction or Alteration** (Form 7460-1) for conducting an aeronautical study of potential obstructions such as tall equipment (cranes, concrete pumps, other.), stock piles, and haul routes. A separate form may be filed for each potential obstruction, or one form may be filed describing the entire construction area and maximum equipment height. In the latter case, a separate form must be filed for any object beyond or higher than the originally evaluated area/height. The FAA encourages online submittal of forms for expediency. The appropriate FAA Airports Regional or District Office can provide assistance in determining which objects require an aeronautical study.

(15) **Promptly notify the FAA Airports Regional or District Office** of any proposed changes to the CSPP prior to implementation of the change. Changes to the CSPP require review and approval by the airport operator and the FAA. Coordinate with appropriate local and other federal government agencies, such as EPA, OSHA, TSA, and the state environmental agency.

c. Define Construction Contractor's Responsibilities. The contractor is responsible for complying with the CSPP and SPCD. The contractor must:

(1) **Submit a Safety Plan Compliance Document (SPCD)** to the airport operator describing how it will comply with the requirements of the CSPP and supplying any details that could not be determined before contract award. The SPCD must include a certification statement by the contractor that indicates it understands the operational safety requirements of the CSPP and it asserts it will not deviate from the approved CSPP and SPCD unless written approval is granted by the airport operator. Any construction practice proposed by the contractor that does not conform to the CSPP and SPCD may impact the airport's operational safety and will require a revision to the CSPP and SPCD and re-coordination with the airport operator and the FAA in advance.

(2) **Have available at all times copies** of the CSPP and SPCD for reference by the airport operator and its representatives, and by subcontractors and contractor employees.

(3) **Ensure that construction personnel** are familiar with safety procedures and regulations on the airport. Provide a point of contact who will coordinate an immediate response to correct any construction-related activity that may adversely affect the operational safety of the airport. Many projects will require 24-hour coverage.

(4) **Identify in the SPCD the contractor's on-site employees** responsible for monitoring compliance with the CSPP and SPCD during construction. At least one of these employees must be on-site whenever active construction is taking place.

(5) **Conduct inspections** sufficiently frequently to ensure construction personnel comply with the CSPP and SPCD and that there are no altered construction activities that could create potential safety hazards.

(6) Restrict movement of construction vehicles and personnel to permitted construction areas by flagging, barricading, erecting temporary fencing, or providing escorts, as appropriate and as specified in the CSPP and SPCD.

(7) Ensure that no contractor employees, employees of subcontractors or suppliers, or other persons enter any part of the air operations area (AOA) from the construction site unless authorized.

(8) Ensure prompt submittal through the airport operator of Form 7460-1 for the purpose of conducting an aeronautical study of contractor equipment such as tall equipment (cranes, concrete pumps, other equipment), stock piles, and haul routes when different from cases previously filed by the airport operator. The FAA encourages online submittal of forms for expediency.

d. Define Tenant's Responsibilities if planning construction activities on leased property. Airport tenants, such as airline operators, fixed base operators, and FAA ATO/Technical Operations sponsoring construction must:

(1) Develop, or have a consultant develop, a project specific CSPP and submit it to the airport operator for certification and subsequent approval by the FAA. The approved CSPP must be made part of any contract awarded by the tenant for construction work.

(2) In coordination with its contractor, develop an SPCD and submit it to the airport operator for approval to be issued prior to issuance of a Notice to Proceed.

(3) Ensure that construction personnel are familiar with safety procedures and regulations on the airport.

(4) Provide a point of contact of who will coordinate an immediate response to correct any construction-related activity that may adversely affect the operational safety of the airport.

(5) Identify in the SPCD the contractor's on-site employees responsible for monitoring compliance with the CSPP and SPCD during construction. At least one of these employees must be on-site whenever active construction is taking place.

(6) Ensure that no tenant or contractor employees, employees of subcontractors or suppliers, or any other persons enter any part of the AOA from the construction site unless authorized.

(7) Restrict movement of construction vehicles to construction areas by flagging and barricading, erecting temporary fencing, or providing escorts, as appropriate, and as specified in the CSPP and SPCD.

(8) Ensure prompt submittal through the airport operator of Form 7460-1 for the purpose of conducting an aeronautical study of contractor equipment such as tall equipment (cranes, concrete pumps, other.), stock piles, and haul routes. The FAA encourages online submittal of forms for expediency.

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Chapter 2. Construction Safety and Phasing Plans

Section 1. Basic Considerations

201. Overview. Aviation safety is the primary consideration at airports, especially during construction. The airport operator's Construction Safety and Phasing Plan (CSPP) and the contractor's Safety Plan Compliance Document (SPCD) are the primary tools to ensure safety compliance when coordinating construction activities with airport operations. These documents identify all aspects of the construction project that pose a potential safety hazard to airport operations and outline respective mitigation procedures for each hazard. They must provide all information necessary for the Airport Operations department to conduct airfield inspections and expeditiously identify and correct unsafe conditions during construction. All aviation safety provisions included within the project drawings, contract specifications, and other related documents must also be reflected in the CSPP and SPCD.

202. Assume Responsibility. Operational safety on the airport remains the airport operator's responsibility at all times. The airport operator must develop, certify, and submit for FAA approval each CSPP. It is the airport operator's responsibility to apply the requirements of the FAA approved CSPP. The airport operator must revise the CSPP when conditions warrant changes and must submit the revised CSPP to the FAA for approval. The airport operator must also require and approve a SPCD from the project contractor.

203. Submit the CSPP. Construction Safety and Phasing Plans should be developed concurrently with the project design. Milestone versions of the CSPP should be submitted for review and approval as follows. While these milestones are not mandatory, early submission will help to avoid delays. Submittals are preferred in 8.5 x 11 in or 11 x 17 in format for compatibility with the FAA's Obstruction Evaluation / Airport Airspace Analysis (OE / AAA) process.

a. Submit an Outline/Draft. By the time approximately 25% to 30% of the project design is completed, the principal elements of the CSPP should be established. Airport operators are encouraged to submit an outline or draft, detailing all CSPP provisions developed to date, to the FAA for review at this stage of the project design.

b. Submit a Construction Safety and Phasing Plan (CSPP). The CSPP should be formally submitted for FAA approval when the project design is 80% to 90% complete. Since provisions in the CSPP will influence contract costs, it is important to obtain FAA approval in time to include all such provisions in the procurement contract.

c. Submit a Safety Plan Compliance Document (SPCD). The contractor should submit the SPCD to the airport operator for approval to be issued prior to the Notice to Proceed.

d. Submit CSPP Revisions. All revisions to the CSPP or SPCD should be submitted to the FAA for approval as soon as required changes are identified.

204. Meet CSPP Requirements.

a. To the extent possible, the CSPP should address the following as outlined in Section 2, Plan Requirements and Chapter 3, Guidelines for Writing a CSPP, as appropriate. Details that cannot be determined at this stage are to be included in the SPCD.

(1) Coordination.

- (a) Contractor progress meetings.
- (b) Scope or schedule changes.
- (c) FAA ATO coordination.
- (2) Phasing.**
 - (a) Phase elements.
 - (b) Construction safety drawings
- (3) Areas and operations affected by the construction activity.**
 - (a) Identification of affected areas.
 - (b) Mitigation of effects.
- (4) Protection of navigation aids (NAVAIDs).**
- (5) Contractor access.**
 - (a) Location of stockpiled construction materials.
 - (b) Vehicle and pedestrian operations.
- (6) Wildlife management.**
 - (a) Trash.
 - (b) Standing water.
 - (c) Tall grass and seeds.
 - (d) Poorly maintained fencing and gates.
 - (e) Disruption of existing wildlife habitat.
- (7) Foreign Object Debris (FOD) management.**
- (8) Hazardous materials (HAZMAT) management**
- (9) Notification of construction activities.**
 - (a) Maintenance of a list of responsible representatives/ points of contact.
 - (b) Notices to Airmen (NOTAM).
 - (c) Emergency notification procedures.
 - (d) Coordination with ARFF Personnel.
 - (e) Notification to the FAA.
- (10) Inspection requirements.**
 - (a) Daily (or more frequent) inspections.
 - (b) Final inspections.
- (11) Underground utilities.**
- (12) Penalties.**
- (13) Special conditions.**
- (14) Runway and taxiway visual aids.** Marking, lighting, signs, and visual NAVAIDs.

- (a) General.
- (b) Markings.
- (c) Lighting and visual NAVAIDs.
- (d) Signs.

(15) Marking and signs for access routes.

(16) Hazard marking and lighting.

- (a) Purpose.
- (b) Equipment.

(17) Protection. Of runway and taxiway safety areas, object free areas, obstacle free zones, and approach/departure surfaces

- (a) Runway Safety Area (RSA).
- (b) Runway Object Free Area (ROFA).
- (c) Taxiway Safety Area (TSA).
- (d) Taxiway Object Free Area (TOFA).
- (e) Obstacle Free Zone (OFZ).
- (f) Runway approach/departure surfaces.

(18) Other limitations on construction.

- (a) Prohibitions.
- (b) Restrictions.

b. The Safety Plan Compliance Document (SPCD) should include a general statement by the construction contractor that he/she has read and will abide by the CSPP. In addition, the SPCD must include all supplemental information that could not be included in the CSPP prior to the contract award. The contractor statement should include the name of the contractor, the title of the project CSPP, the approval date of the CSPP, and a reference to any supplemental information (that is, “I, Name of Contractor, have read the Title of Project CSPP, approved on Date, and will abide by it as written and with the following additions as noted:”). The supplemental information in the SPCD should be written to match the format of the CSPP indicating each subject by corresponding CSPP subject number and title. If no supplemental information is necessary for any specific subject, the statement, “No supplemental information,” should be written after the corresponding subject title. The SPCD should not duplicate information in the CSPP:

(1) Coordination. Discuss details of proposed safety meetings with the airport operator and with contractor employees and subcontractors.

(2) Phasing. Discuss proposed construction schedule elements, including:

- (a) Duration of each phase.
- (b) Daily start and finish of construction, including “night only” construction.
- (c) Duration of construction activities during:
 - (i) Normal runway operations.
 - (ii) Closed runway operations.

(iii) Modified runway “Aircraft Reference Code” usage.

(3) **Areas and operations affected by the construction activity.** These areas and operations should be identified in the CSPP and should not require an entry in the SPCD.

(4) **Protection of NAVAIDs.** Discuss specific methods proposed to protect operating NAVAIDs.

(5) **Contractor access.** Provide the following:

(a) Details on how the contractor will maintain the integrity of the airport security fence (gate guards, daily log of construction personnel, and other).

(b) Listing of individuals requiring driver training (for certificated airports and as requested).

(c) Radio communications.

(i) Types of radios and backup capabilities.

(ii) Who will be monitoring radios.

(iii) Whom to contact if the ATCT cannot reach the contractor’s designated person by radio.

(d) Details on how the contractor will escort material delivery vehicles.

(6) **Wildlife management.** Discuss the following:

(a) Methods and procedures to prevent wildlife attraction.

(b) Wildlife reporting procedures.

(7) **Foreign Object Debris (FOD) management.** Discuss equipment and methods for control of FOD, including construction debris and dust.

(8) **Hazardous material (HAZMAT) management.** Discuss equipment and methods for responding to hazardous spills.

(9) **Notification of construction activities.** Provide the following:

(a) Contractor points of contact.

(b) Contractor emergency contact.

(c) Listing of tall or other requested equipment proposed for use on the airport and the timeframe for submitting 7460-1 forms not previously submitted by the airport operator.

(d) Batch plant details, including 7460-1 submittal.

(10) **Inspection requirements.** Discuss daily (or more frequent) inspections and special inspection procedures.

(11) **Underground utilities.** Discuss proposed methods of identifying and protecting underground utilities.

(12) **Penalties.** Penalties should be identified in the CSPP and should not require an entry in the SPCD.

(13) **Special conditions.** Discuss proposed actions for each special condition identified in the CSPP.

(14) **Runway and taxiway visual aids.** Including marking, lighting, signs, and visual NAVAIDs. Discuss proposed visual aids including the following:

- (a) Equipment and methods for covering signage and airfield lights.
- (b) Equipment and methods for temporary closure markings (paint, fabric, other).
- (c) Types of temporary Visual Guidance Slope Indicators (VGSI).

(15) Marking and signs for access routes. Discuss proposed methods of demarcating access routes for vehicle drivers.

(16) Hazard marking and lighting. Discuss proposed equipment and methods for identifying excavation areas.

(17) Protection of runway and taxiway safety areas. including object free areas, obstacle free zones, and approach/departure surfaces. Discuss proposed methods of identifying, demarcating, and protecting airport surfaces including:

- (a) Equipment and methods for maintaining Taxiway Safety Area standards.
- (b) Equipment and methods for separation of construction operations from aircraft operations, including details of barricades.

(18) Other limitations on construction should be identified in the CSPP and should not require an entry in the SPCD.

Section 2. Plan Requirements

205. Coordination. Airport operators, or tenants conducting construction on their leased properties, should use predesign, prebid, and preconstruction conferences to introduce the subject of airport operational safety during construction (see AC 150/5300-9). In addition, the following should be coordinated as required:

a. Contractor Progress Meetings. Operational safety should be a standing agenda item for discussion during progress meetings throughout the project.

b. Scope or Schedule Changes. Changes in the scope or duration of the project may necessitate revisions to the CSPP and review and approval by the airport operator and the FAA.

c. FAA ATO Coordination. Early coordination with FAA ATO is required to schedule airway facility shutdowns and restarts. Relocation or adjustments to NAVAIDs, or changes to final grades in critical areas, may require an FAA flight inspection prior to restarting the facility. Flight inspections must be coordinated and scheduled well in advance of the intended facility restart. Flight inspections may require a reimbursable agreement between the airport operator and FAA ATO. Reimbursable agreements should be coordinated a minimum of 12 months prior to the start of construction. (See 213.e(3)(b) for required FAA notification regarding FAA owned NAVAIDs.)

206. Phasing. Once it has been determined what types and levels of airport operations will be maintained, the most efficient sequence of construction may not be feasible. In such a case, the sequence of construction may be phased to gain maximum efficiency while allowing for the required operations. The development of the resulting construction phases should be coordinated with local Air Traffic personnel and airport users. The sequenced construction phases established in the CSPP must be incorporated into the project design and must be reflected in the contract drawings and specifications.

a. Phase Elements. For each phase the CSPP should detail:

- Areas closed to aircraft operations

- Duration of closures
- Taxi routes
- ARFF access routes
- Construction staging areas
- Construction access and haul routes
- Impacts to NAVAIDs
- Lighting and marking changes
- Available runway length
- Declared distances (if applicable)
- Required hazard marking and lighting
- Lead times for required notifications

b. Construction Safety Drawings. Drawings specifically indicating operational safety procedures and methods in affected areas (that is, construction safety drawings) should be developed for each construction phase. Such drawings should be included in the CSPP as referenced attachments and should likewise be included in the contract drawing package.

207. Areas and Operations Affected by Construction Activity. Runways and taxiways should remain in use by aircraft to the maximum extent possible without compromising safety. Pre-meetings with the FAA Air Traffic Organization (ATO) will support operational simulations. See Chapter 3 for an example of a table showing temporary operations versus current operations.

a. Identification of Affected Areas. Identifying areas and operations affected by the construction will help to determine possible safety problems. The affected areas should be identified in the construction safety drawings for each construction phase. (See 206.b above.) Of particular concern are:

(1) Closing, or partial closing, of runways, taxiways and aprons. When a runway is partially closed, a portion of the pavement is unavailable for any aircraft operation, meaning taxiing, landing, or taking off in either direction on that pavement is prohibited. A displaced threshold, by contrast, is established to ensure obstacle clearance and adequate safety area for landing aircraft. The pavement prior to the displaced threshold is available for take-off in the direction of the displacement and for landing and taking off in the opposite direction. Misunderstanding this difference, and issuance of a subsequently inaccurate NOTAM, can lead to a hazardous condition.

- (2) Closing of Aircraft Rescue and Fire Fighting access routes.**
- (3) Closing of access routes used by airport and airline support vehicles.**
- (4) Interruption of utilities, including water supplies for fire fighting.**
- (5) Approach/departure surfaces affected by heights of objects.**
- (6) Construction areas, storage areas, and access routes near runways, taxiways, aprons, or helipads.**

b. Mitigation of Effects. Establishment of specific procedures is necessary to maintain the safety and efficiency of airport operations. The CSPP must address:

- (1) Temporary changes to runway and/or taxi operations.**
- (2) Detours for ARFF and other airport vehicles.**

- (3) **Maintenance of essential utilities.**
- (4) **Temporary changes to air traffic control procedures. Such changes must be coordinated with the ATO.**

208. Navigation Aid (NAVAID) Protection. Before commencing construction activity, parking vehicles, or storing construction equipment and materials near a NAVAID, coordinate with the appropriate FAA ATO/Technical Operations office to evaluate the effect of construction activity and the required distance and direction from the NAVAID. (See paragraph 213.e(3) below.) Construction activities, materials/equipment storage, and vehicle parking near electronic NAVAIDs require special consideration since they may interfere with signals essential to air navigation. If any NAVAID may be affected, the CSPP and SPCD must show an understanding of the “critical area” associated with each NAVAID and describe how it will be protected. Where applicable, the operational critical areas of NAVAIDs should be graphically delineated on the project drawings. Pay particular attention to stockpiling material, as well as to movement and parking of equipment that may interfere with line of sight from the ATCT or with electronic emissions. Interference from construction equipment and activities may require NAVAID shutdown or adjustment of instrument approach minimums for low visibility operations. This condition requires that a NOTAM be filed (see paragraph 213.b below). Construction activities and materials/equipment storage near a NAVAID must not obstruct access to the equipment and instruments for maintenance. Submittal of a 7460-1 form is required for construction vehicles operating near FAA NAVAIDs. (See paragraph 213.e(1) below.)

209. Contractor Access. The CSPP must detail the areas to which the contractor must have access, and explain how contractor personnel will access those areas. Specifically address:

a. Location of Stockpiled Construction Materials. Stockpiled materials and equipment storage are not permitted within the RSA and OFZ, and if possible should not be permitted within the Object Free Area (OFA) of an operational runway. Stockpiling material in the OFA requires submittal of a 7460-1 form and justification provided to the appropriate FAA Airports Regional or District Office for approval. The airport operator must ensure that stockpiled materials and equipment adjacent to these areas are prominently marked and lighted during hours of restricted visibility or darkness. (See paragraph 218.b below.) This includes determining and verifying that materials are stabilized and stored at an approved location so as not to be a hazard to aircraft operations and to prevent attraction of wildlife and foreign object damage. See paragraphs 210 and 211 below.

b. Vehicle and Pedestrian Operations. The CSPP should include specific vehicle and pedestrian requirements. Vehicle and pedestrian access routes for airport construction projects must be controlled to prevent inadvertent or unauthorized entry of persons, vehicles, or animals onto the AOA. The airport operator should coordinate requirements for vehicle operations with airport tenants, contractors, and the FAA air traffic manager. In regard to vehicle and pedestrian operations, the CSPP should include the following, and detail associated training requirements:

(1) **Construction site parking.** Designate in advance vehicle parking areas for contractor employees to prevent any unauthorized entry of persons or vehicles onto the AOA. These areas should provide reasonable contractor employee access to the job site.

(2) **Construction equipment parking.** Contractor employees must park and service all construction vehicles in an area designated by the airport operator outside the OFZ and never in the safety area of an active runway or taxiway. Unless a complex setup procedure makes movement of specialized equipment infeasible, inactive equipment must not be parked on a closed taxiway or runway. If it is necessary to leave specialized equipment on a closed taxiway or runway at night, the equipment must be well lighted. Employees should also park construction vehicles outside the OFA when not in use by

construction personnel (for example, overnight, on weekends, or during other periods when construction is not active). Parking areas must not obstruct the clear line of sight by the ATCT to any taxiways or runways under air traffic control nor obstruct any runway visual aids, signs, or navigation aids. The FAA must also study those areas to determine effects on airport design criteria, surfaces established by 14 CFR Part 77, Safe, Efficient Use, and Preservation of the Navigable Airspace (Part 77), and on NAVAIDs and Instrument Approach Procedures (IAP). See paragraph 213.e(1) below for further information.

(3) Access and haul roads. Determine the construction contractor's access to the construction sites and haul roads. Do not permit the construction contractor to use any access or haul roads other than those approved. Access routes used by contractor vehicles must be clearly marked to prevent inadvertent entry to areas open to airport operations. Pay special attention to ensure that if construction traffic is to share or cross any ARFF routes that ARFF right of way is not impeded at any time, and that construction traffic on haul roads does not interfere with NAVAIDs or approach surfaces of operational runways.

(4) Marking and lighting of vehicles in accordance with AC 150/5210-5, Painting, Marking, and Lighting of Vehicles Used on an Airport.

(5) Description of proper vehicle operations on various areas under normal, lost communications, and emergency conditions.

(6) Required escorts.

(7) Training requirements for vehicle drivers to ensure compliance with the airport operator's vehicle rules and regulations. Specific training should be provided to those vehicle operators providing escorts. See AC 150/5210-20, Ground Vehicle Operations on Airports, for information on training and records maintenance requirements.

(8) Situational awareness. Vehicle drivers must confirm by personal observation that no aircraft is approaching their position (either in the air or on the ground) when given clearance to cross a runway, taxiway, or any other area open to airport operations. In addition, it is the responsibility of the escort vehicle driver to verify the movement/position of all escorted vehicles at any given time.

(9) Two-way radio communication procedures.

(a) General. The airport operator must ensure that tenant and construction contractor personnel engaged in activities involving unescorted operation on aircraft movement areas observe the proper procedures for communications, including using appropriate radio frequencies at airports with and without ATCT. When operating vehicles on or near open runways or taxiways, construction personnel must understand the critical importance of maintaining radio contact, as directed by the airport operator, with:

(i) Airport operations

(ii) ATCT

(iii) Common Traffic Advisory Frequency (CTAF), which may include UNICOM, MULTICOM.

(iv) Automatic Terminal Information Service (ATIS). This frequency is useful for monitoring conditions on the airport. Local air traffic will broadcast information regarding construction related runway closures and "shortened" runways on the ATIS frequency.

(b) Areas requiring two-way radio communication with the ATCT. Vehicular traffic crossing active movement areas must be controlled either by two-way radio with the ATCT, escort, flagman, signal light, or other means appropriate for the particular airport.

(c) Frequencies to be used. The airport operator will specify the frequencies to be used by the contractor, which may include the CTAF for monitoring of aircraft operations. Frequencies may also be assigned by the airport operator for other communications, including any radio frequency in compliance with Federal Communications Commission requirements. At airports with an ATCT, the airport operator will specify the frequency assigned by the ATCT to be used between contractor vehicles and the ATCT.

(d) Proper radio usage, including read back requirements.

(e) Proper phraseology, including the International Phonetic Alphabet.

(f) Light gun signals. Even though radio communication is maintained, escort vehicle drivers must also familiarize themselves with ATCT light gun signals in the event of radio failure. See the FAA safety placard “Ground Vehicle Guide to Airport Signs and Markings.” This safety placard may be downloaded through the Runway Safety Program Web site at http://www.faa.gov/airports/runway_safety/publications/ (See “Signs & Markings Vehicle Dashboard Sticker”) or obtained from the FAA Airports Regional Office.

(10) Maintenance of the secured area of the airport, including:

(a) Fencing and gates. Airport operators and contractors must take care to maintain security during construction when access points are created in the security fencing to permit the passage of construction vehicles or personnel. Temporary gates should be equipped so they can be securely closed and locked to prevent access by animals and unauthorized people. Procedures should be in place to ensure that only authorized persons and vehicles have access to the AOA and to prohibit “piggybacking” behind another person or vehicle. The Department of Transportation (DOT) document DOT/FAA/AR-00/52, Recommended Security Guidelines for Airport Planning and Construction, provides more specific information on fencing. A copy of this document can be obtained from the Airport Consultants Council, Airports Council International, or American Association of Airport Executives.

(b) Badging requirements.

(c) Airports subject to 49 CFR Part 1542, Airport Security, must meet standards for access control, movement of ground vehicles, and identification of construction contractor and tenant personnel.

210. Wildlife Management. The CSPP and SPCD must be in accordance with the airport operator’s wildlife hazard management plan, if applicable. See also AC 150/5200-33, Hazardous Wildlife Attractants On or Near Airports, and Certalert 98-05, Grasses Attractive to Hazardous Wildlife. Construction contractors must carefully control and continuously remove waste or loose materials that might attract wildlife. Contractor personnel must be aware of and avoid construction activities that can create wildlife hazards on airports, such as:

a. Trash. Food scraps must be collected from construction personnel activity.

b. Standing Water.

c. Tall Grass and Seeds. Requirements for turf establishment can be at odds with requirements for wildlife control. Grass seed is attractive to birds. Lower quality seed mixtures can contain seeds of plants (such as clover) that attract larger wildlife. Seeding should comply with the guidance in AC 150/5370-10, Standards for Specifying Construction of Airports, Item T-901, Seeding. Contact the local office of the United States Department of Agriculture Soil Conservation Service or the State University Agricultural Extension Service (County Agent or equivalent) for assistance and recommendations. These agencies can also provide liming and fertilizer recommendations.

d. Poorly Maintained Fencing and Gates. See 209.b(10)(a) above.

e. Disruption of Existing Wildlife Habitat. While this will frequently be unavoidable due to the nature of the project, the CSPP should specify under what circumstances (location, wildlife type) contractor personnel should immediately notify the airport operator of wildlife sightings.

211. Foreign Object Debris (FOD) Management. Waste and loose materials, commonly referred to as FOD, are capable of causing damage to aircraft landing gears, propellers, and jet engines. Construction contractors must not leave or place FOD on or near active aircraft movement areas. Materials capable of creating FOD must be continuously removed during the construction project. Fencing (other than security fencing) may be necessary to contain material that can be carried by wind into areas where aircraft operate. See AC 150/5210-24, Foreign Object Debris (FOD) Management.

212. Hazardous Materials (HAZMAT) Management. Contractors operating construction vehicles and equipment on the airport must be prepared to expeditiously contain and clean-up spills resulting from fuel or hydraulic fluid leaks. Transport and handling of other hazardous materials on an airport also requires special procedures. See AC 150/5320-15, Management of Airport Industrial Waste.

213. Notification of Construction Activities. The CSPP and SPCD must detail procedures for the immediate notification of airport users and the FAA of any conditions adversely affecting the operational safety of the airport. It must address the notification actions described below, as applicable.

a. List of Responsible Representatives/ points of contact for all involved parties, and procedures for contacting each of them, including after hours.

b. NOTAMs. Only the airport operator may initiate or cancel NOTAMs on airport conditions, and is the only entity that can close or open a runway. The airport operator must coordinate the issuance, maintenance, and cancellation of NOTAMs about airport conditions resulting from construction activities with tenants and the local air traffic facility (control tower, approach control, or air traffic control center), and must provide information on closed or hazardous conditions on airport movement areas to the FAA Flight Service Station (FSS) so it can issue a NOTAM. The airport operator must file and maintain a list of authorized representatives with the FSS. Refer to AC 150/5200-28, Notices to Airmen (NOTAMs) for Airport Operators, for a sample NOTAM form. Only the FAA may issue or cancel NOTAMs on shutdown or irregular operation of FAA owned facilities. Any person having reason to believe that a NOTAM is missing, incomplete, or inaccurate must notify the airport operator. See paragraph 207.a(1) above regarding issuing NOTAMs for partially closed runways versus runways with displaced thresholds.

c. Emergency notification procedures for medical, fire fighting, and police response.

d. Coordination with ARFF. The CSPP must detail procedures for coordinating through the airport sponsor with ARFF personnel, mutual aid providers, and other emergency services if construction requires:

- The deactivation and subsequent reactivation of water lines or fire hydrants, or
- The rerouting, blocking and restoration of emergency access routes, or
- The use of hazardous materials on the airfield.

e. Notification to the FAA.

(1) Part 77. Any person proposing construction or alteration of objects that affect navigable airspace, as defined in Part 77, must notify the FAA. This includes construction equipment and proposed

parking areas for this equipment (i.e. cranes, graders, other equipment) on airports. FAA Form 7460-1, Notice of Proposed Construction or Alteration, can be used for this purpose and submitted to the appropriate FAA Airports Regional or District Office. See Appendix 1, Related Reading Material, to download the form. Further guidance is available on the FAA web site at oeaaa.faa.gov.

(2) Part 157. With some exceptions, Title 14 CFR Part 157, Notice of Construction, Alteration, Activation, and Deactivation of Airports, requires that the airport operator notify the FAA in writing whenever a non-Federally funded project involves the construction of a new airport; the construction, realigning, altering, activating, or abandoning of a runway, landing strip, or associated taxiway; or the deactivation or abandoning of an entire airport. Notification involves submitting FAA Form 7480-1, Notice of Landing Area Proposal, to the nearest FAA Airports Regional or District Office. See Appendix 1, Related Reading Material to download the form.

(3) NAVAIDS. For emergency (short-notice) notification about impacts to both airport owned and FAA owned NAVAIDs, contact: 866-432-2622.

(a) Airport owned/FAA maintained. If construction operations require a shutdown of more than 24 hours, or more than 4 hours daily on consecutive days, of a NAVAID owned by the airport but maintained by the FAA, provide a 45-day minimum notice to FAA ATO/Technical Operations prior to facility shutdown.

(b) FAA owned.

(i) General. The airport operator must notify the appropriate FAA ATO Service Area Planning and Requirements (P&R) Group a minimum of 45 days prior to implementing an event that causes impacts to NAVAIDs. (Impacts to FAA equipment covered by a Reimbursable Agreement (RA) do not have to be reported by the airport operator.)

(ii) Coordinate work for an FAA owned NAVAID shutdown with the local FAA ATO/Technical Operations office, including any necessary reimbursable agreements and flight checks. Detail procedures that address unanticipated utility outages and cable cuts that could impact FAA NAVAIDs. In addition, provide seven days notice to schedule the actual shutdown.

214. Inspection Requirements.

a. Daily Inspections. Inspections should be conducted at least daily, but more frequently if necessary to ensure conformance with the CSPP. A sample checklist is provided in Appendix 3, Safety and Phasing Plan Checklist. See also AC 150/5200-18, Airport Safety Self-Inspection.

b. Final Inspections. New runways and extended runway closures may require safety inspections at certificated airports prior to allowing air carrier service. Coordinate with the FAA Airport Certification Safety Inspector (ACSI) to determine if a final inspection will be necessary.

215. Underground Utilities. The CSPP and/or SPCD must include procedures for locating and protecting existing underground utilities, cables, wires, pipelines, and other underground facilities in excavation areas. This may involve coordinating with public utilities and FAA ATO/Technical Operations. Note that “One Call” or “Miss Utility” services do not include FAA ATO/Technical Operations

216. Penalties. The CSPP should detail penalty provisions for noncompliance with airport rules and regulations and the safety plans (for example, if a vehicle is involved in a runway incursion). Such penalties typically include rescission of driving privileges or access to the AOA.

217. Special Conditions. The CSPP must detail any special conditions that affect the operation of the

airport and will require the activation of any special procedures (for example, low-visibility operations, snow removal, aircraft in distress, aircraft accident, security breach, Vehicle / Pedestrian Deviation (VPD) and other activities requiring construction suspension/resumption).

218. Runway and Taxiway Visual Aids. Includes marking, lighting, signs, and visual NAVAIDS. The CSPP must ensure that areas where aircraft will be operating are clearly and visibly separated from construction areas, including closed runways. Throughout the duration of the construction project, verify that these areas remain clearly marked and visible at all times and that marking, lighting, signs, and visual NAVAIDS remain in place and operational. The CSPP must address the following, as appropriate:

a. General. Airport markings, lighting, signs, and visual NAVAIDS must be clearly visible to pilots, not misleading, confusing, or deceptive. All must be secured in place to prevent movement by prop wash, jet blast, wing vortices, or other wind currents and constructed of materials that would minimize damage to an aircraft in the event of inadvertent contact.

b. Markings. Markings must be in compliance with the standards of AC 150/5340-1, Standards for Airport Markings. Runways and runway exit taxiways closed to aircraft operations are marked with a yellow X. The preferred visual aid to depict temporary runway closure is the lighted X signal placed on or near the runway designation numbers. (See paragraph 218.b(1)(b) below.)

(1) Closed Runways and Taxiways.

(a) **Permanently Closed Runways.** For runways, obliterate the threshold marking, runway designation marking, and touchdown zone markings, and place Xs at each end and at 1,000-foot (300 m) intervals.

(b) **Temporarily Closed Runways.** For runways that have been temporarily closed, place an X at the each end of the runway directly on or as near as practicable to the runway designation numbers. Figure 2-1 illustrates.



Figure 2-1 Markings for a Temporarily Closed Runway

(c) **Partially Closed Runways and Displaced Thresholds.** When threshold markings are needed to identify the temporary beginning of the runway that is available for landing, the markings must comply with AC 150/5340-1. An X is not used on a partially closed runway or a runway with a displaced threshold. See paragraph 207.a(1) above for the difference between partially closed runways and runways with displaced thresholds.

(i) **Partially Closed Runways.** Pavement markings for temporary closed portions of the runway consist of a runway threshold bar and yellow chevrons to identify pavement areas that are unsuitable for takeoff or landing (see AC 150/5340-1).

(ii) **Displaced Thresholds.** Pavement markings for a displaced threshold consist of a runway threshold bar and white arrowheads with and without arrow shafts. These markings are required to identify the portion of the runway before the displaced threshold to provide centerline guidance for pilots during approaches, takeoffs, and landing rollouts from the opposite direction. See AC 150/5340-1.

(d) Taxiways.

(i) Permanently Closed Taxiways. AC 150/5300-13 notes that it is preferable to remove the pavement, but for pavement that is to remain, place an X at the entrance to both ends of the closed section. Obliterate taxiway centerline markings, including runway leadoff lines, leading to the closed taxiway. Figure 2-2 illustrates.

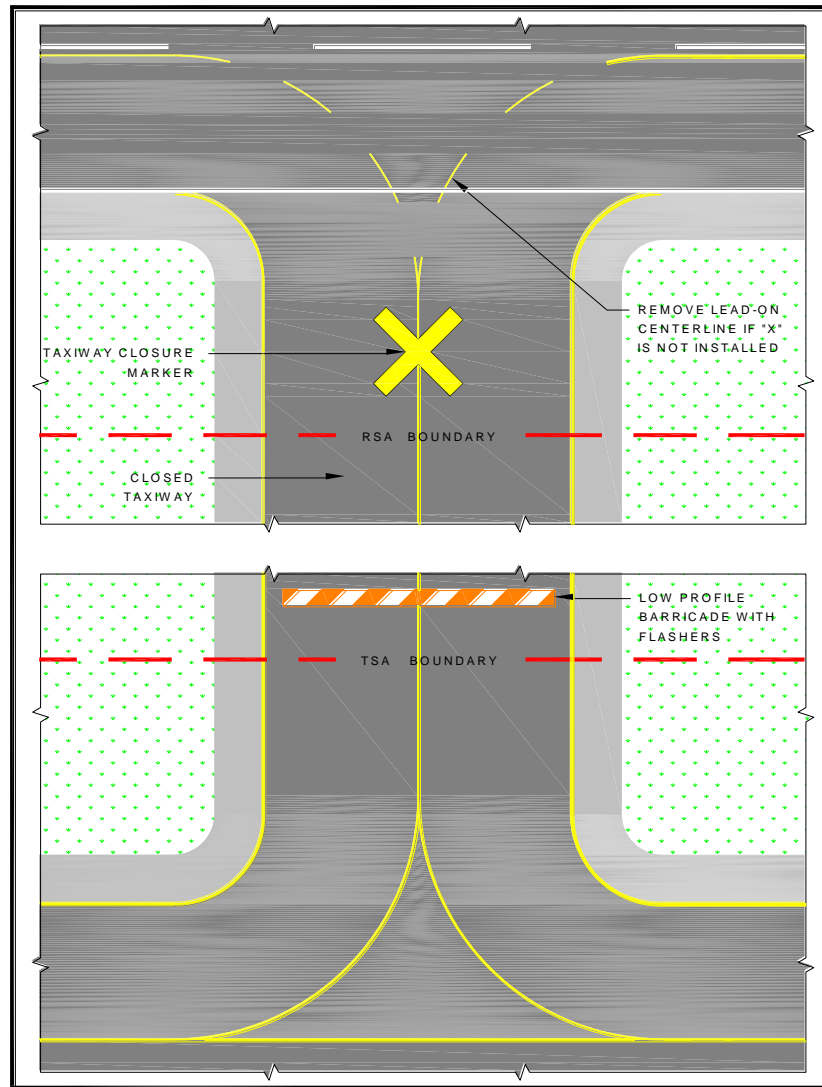


Figure 2-2 Taxiway Closure

(ii) Temporarily Closed Taxiways. Place barricades outside the safety area of intersecting taxiways. For runway/taxiway intersections, place an X at the entrance to the closed taxiway from the runway. If the taxiway will be closed for an extended period, obliterate taxiway centerline markings, including runway leadoff lines, leading to the closed section. If the centerline markings will be reused upon reopening the taxiway, it is preferable to paint over the marking. This will result in less damage to the pavement when the upper layer of paint is ultimately removed.

(e) Temporarily Closed Airport. When the airport is closed temporarily, mark all the runways as closed.

(i) If unable to paint temporary markings on the pavement, construct them from any of the following materials: fabric, colored plastic, painted sheets of plywood, or similar materials. They must be properly configured and appropriately secured to prevent movement by prop wash, jet blast, or other wind currents.

(ii) It may be necessary to remove or cover runway markings, including but not limited to, runway designation markings, threshold markings, centerline markings, edge stripes, touchdown zone markings and aiming point markings, depending on the length of construction and type of activity at the airport. When removing runway markings, apply the same treatment to areas between stripes or numbers, as the cleaned area will appear to pilots as a marking in the shape of the treated area.

(iii) If it is not possible to install threshold bars, chevrons, and arrows on the pavement, temporary outboard markings may be used. Locate them outside of the runway pavement surface on both sides of the runway. The dimension along the runway direction must be the same as if installed on the pavement. The lateral dimension must be at least one-half that of on-pavement markings. If the markings are not discernable on grass or snow, apply a black background with appropriate material over the ground to ensure they are clearly visible.

(iv) The application rate of paint to mark a short-term temporary runway and taxiway markings may deviate from the standard (see Item P-620, "Runway and Taxiway Painting," in AC 150/5370-10), but the dimensions must meet the existing standards.

(f) **Lighting and Visual NAVAIDs.** This paragraph refers to standard runway and taxiway lighting systems. See below for hazard lighting. Lighting must be in conformance with AC 150/5340-30, Design and Installation Details for Airport Visual Aids, and AC 150/5345-50, Specification for Portable Runway and Taxiway Lights. When disconnecting runway and taxiway lighting fixtures, disconnect the associated isolation transformers. Alternately, cover the light fixture in such a way as to prevent light leakage. Avoid removing the lamp from energized fixtures because an excessive number of isolation transformers with open secondaries may damage the regulators and/or increase the current above its normal value. Secure, identify, and place any above ground temporary wiring in conduit to prevent electrocution and fire ignition sources.

(2) Permanently Closed Runways and Taxiways. For runways and taxiways that have been permanently closed, disconnect the lighting circuits.

(3) **Temporarily Closed Runways.** If available, use a lighted X, both at night and during the day, placed at each end of the runway facing the approach. The use of a lighted X is required if night work requires runway lighting to be on. See AC 150/5345-55, Specification for L-893, Lighted Visual Aid to Indicate Temporary Runway Closure. For runways that have been temporarily closed, but for an extended period, and for those with pilot controlled lighting, disconnect the lighting circuits or secure switches to prevent inadvertent activation. For runways that will be opened periodically, coordinate procedures with the FAA air traffic manager or, at airports without an ATCT, the airport operator. Activate stop bars if available. Figure 2-3 shows a lighted X by day. Figure 2-4 shows a lighted X at night.



Figure 2-3 Lighted X in Daytime



Figure 2-4 Lighted X at Night

(4) **Partially Closed Runways and Displaced Thresholds.** When a runway is partially closed, a portion of the pavement is unavailable for any aircraft operation, meaning taxiing and landing or

taking off in either direction. A displaced threshold, by contrast, is put in place to ensure obstacle clearance by landing aircraft. The pavement prior to the displaced threshold is available for takeoff in the direction of the displacement, and for landing and takeoff in the opposite direction. Misunderstanding this difference and issuance of a subsequently inaccurate NOTAM can result in a hazardous situation. For both partially closed runways and displaced thresholds, approach lighting systems at the affected end must be placed out of service

(a) **Partially Closed Runways.** Disconnect edge and threshold lights on that part of the runway at and behind the threshold (that is, the portion of the runway that is closed). Alternately, cover the light fixture in such a way as to prevent light leakage.

(b) **Displaced Thresholds.** Edge lighting in the area of the displacement emits red light in the direction of approach and yellow light in the opposite direction. Centerline lights are blanked out in the direction of approach if the displacement is 700 ft or less. If the displacement is over 700 ft, place the centerline lights out of service. See AC 150/5340-30 for details on lighting displaced thresholds.

(c) Temporary runway thresholds and runway ends must be lighted if the runway is lighted and it is the intended threshold for night landings or instrument meteorological conditions.

(d) A temporary threshold on an unlighted runway may be marked by retroreflective, elevated markers in addition to markings noted in paragraph 218.b(1)(c) above. Markers seen by aircraft on approach are green. Markers at the rollout end of the runway are red. At certificated airports, temporary elevated threshold markers must be mounted with a frangible fitting (see 14 CFR Part 139.309). At non-certificated airports, the temporary elevated threshold markings may either be mounted with a frangible fitting or be flexible. See AC 150/5345-39, Specification for L-853, Runway and Taxiway Retroreflective Markers.

(e) Temporary threshold lights and end lights and related visual NAVAIDs are installed outboard of the edges of the full-strength pavement only when they cannot be installed on the pavement. They are installed with bases at grade level or as low as possible, but not more than 3 in (7.6 cm) above ground. When any portion of a base is above grade, place properly compacted fill around the base to minimize the rate of gradient change so aircraft can, in an emergency, cross at normal landing or takeoff speeds without incurring significant damage. See AC 150/5370-10.

(f) Maintain threshold and edge lighting color and spacing standards as described in AC 150/5340-30. Battery powered, solar, or portable lights that meet the criteria in AC 150/5345-50 may be used. These systems are intended primarily for visual flight rules (VFR) aircraft operations but may be used for instrument flight rules (IFR) aircraft operations, upon individual approval from the Flight Standards Division of the applicable FAA Regional Office.

(g) Reconfigure yellow lenses (caution zone), as necessary. If the runway has centerline lights, reconfigure the red lenses, as necessary, or place the centerline lights out of service.

(h) Relocate the visual glide slope indicator (VGSI), such as VASI and PAPI; other airport lights, such as Runway End Identifier Lights (REIL); and approach lights to identify the temporary threshold. Another option is to disable the VGSI or any equipment that would give misleading indications to pilots as to the new threshold location. Installation of temporary visual aids may be necessary to provide adequate guidance to pilots on approach to the affected runway. If the FAA owns and operates the VGSI, coordinate its installation or disabling with the local ATO/Technical Operations Office. Relocation of such visual aids will depend on the duration of the project and the benefits gained from the relocation, as this can result in great expense.

(i) Issue a NOTAM to inform pilots of temporary lighting conditions.

(5) Temporarily Closed Taxiways. If possible, deactivate the taxiway lighting circuits. When deactivation is not possible (for example other taxiways on the same circuit are to remain open),

cover the light fixture in such a way as to prevent light leakage.

c. Signs. To the extent possible, signs must be in conformance with AC 150/5345-44, Specification for Runway and Taxiway Signs and AC 150/5340-18, Standard for Airport Sign Systems. Any time a sign does not serve its normal function; it must be covered or removed to prevent misdirecting pilots. Note that information signs identifying a crossing taxiway continue to perform their normal function even if the crossing taxiway is closed. For long term construction projects, consider relocating signs, especially runway distance remaining signs.

219. Marking and Signs for Access Routes. The CSPP should indicate that pavement markings and signs for construction personnel will conform to AC 150/5340-18 and, to the extent practicable, with the Federal Highway Administration Manual on Uniform Traffic Control Devices (MUTCD) and/or State highway specifications. Signs adjacent to areas used by aircraft must comply with the frangibility requirements of AC 150/5220-23, Frangible Connections, which may require modification to size and height guidance in the MUTCD.

220. Hazard Marking, Lighting and Signing.

a. Hazard Marking and Lighting Prevents Pilots from entering areas closed to aircraft, and prevents construction personnel from entering areas open to aircraft. The CSPP must specify prominent, comprehensible warning indicators for any area affected by construction that is normally accessible to aircraft, personnel, or vehicles. Hazard marking and lighting must also be specified to identify open manholes, small areas under repair, stockpiled material, waste areas, and areas subject to jet blast. Also consider less obvious construction-related hazards and include markings to identify FAA, airport, and National Weather Service facilities cables and power lines; instrument landing system (ILS) critical areas; airport surfaces, such as RSA, OFA, and OFZ; and other sensitive areas to make it easier for contractor personnel to avoid these areas.

b. Equipment.

(1) Barricades, including traffic cones, (weighted or sturdily attached to the surface) are acceptable methods used to identify and define the limits of construction and hazardous areas on airports. Careful consideration must be given to selecting equipment that poses the least danger to aircraft but is sturdy enough to remain in place when subjected to typical winds, prop wash and jet blast. The spacing of barricades must be such that a breach is physically prevented barring a deliberate act. For example, if barricades are intended to exclude vehicles, gaps between barricades must be smaller than the width of the excluded vehicles, generally 4 ft. Provision must be made for ARFF access if necessary. If barricades are intended to exclude pedestrians, they must be continuously linked. Continuous linking may be accomplished through the use of ropes, securely attached to prevent FOD.

(2) Lights must be red, either steady burning or flashing, and must meet the luminance requirements of the State Highway Department. Batteries powering lights will last longer if lights flash. Lights must be mounted on barricades and spaced at no more than 10 ft. Lights must be operated between sunset and sunrise and during periods of low visibility whenever the airport is open for operations. They may be operated by photocell, but this may require that the contractor turn them on manually during periods of low visibility during daytime hours.

(3) Supplement barricades with signs (for example “No Entry,” “No Vehicles”) as necessary.

(4) Air Operations Area – General. Barricades are not permitted in any active safety area. Within a runway or taxiway object free area, and on aprons, use orange traffic cones, flashing or steady burning red lights as noted above, collapsible barricades marked with diagonal, alternating orange and

white stripes; and/or signs to separate all construction/maintenance areas from the movement area. Barricades may be supplemented with alternating orange and white flags at least 20 by 20 in (50 by 50 cm) square and securely fastened to eliminate FOD. All barricades adjacent to any open runway or taxiway / taxilane safety area, or apron must be as low as possible to the ground, and no more than 18 in high, exclusive of supplementary lights and flags. Barricades must be of low mass; easily collapsible upon contact with an aircraft or any of its components; and weighted or sturdily attached to the surface to prevent displacement from prop wash, jet blast, wing vortex, or other surface wind currents. If affixed to the surface, they must be frangible at grade level or as low as possible, but not to exceed 3 in (7.6 cm) above the ground. Figure 2-5 and Figure 2-6 show sample barricades with proper coloring and flags.



Figure 2-5 Interlocking Barricades



Figure 2-6 Low Profile Barricades

(5) Air Operations Area – Runway/Taxiway Intersections. Use highly reflective barricades with lights to close taxiways leading to closed runways. Evaluate all operating factors when determining how to mark temporary closures that can last from 10 to 15 minutes to a much longer period of time. However, even for closures of relatively short duration, close all taxiway/runway intersections with barricades. The use of traffic cones is appropriate for short duration closures.

(6) Air Operations Area – Other. Beyond runway and taxiway object free areas and

aprons, barricades intended for construction vehicles and personnel may be many different shapes and made from various materials, including railroad ties, sawhorses, jersey barriers, or barrels.

(7) **Maintenance.** The construction specifications must include a provision requiring the contractor to have a person on call 24 hours a day for emergency maintenance of airport hazard lighting and barricades. The contractor must file the contact person's information with the airport operator. Lighting should be checked for proper operation at least once per day, preferably at dusk.

221. Protection of Runway and Taxiway Safety Areas. Runway and taxiway safety areas, Obstacle Free zones (OFZ), object free areas (OFA), and approach surfaces are described in AC 150/5300-13. Protection of these areas includes limitations on the location and height of equipment and stockpiled material. An FAA airspace study may be required. Coordinate with the appropriate FAA Airports Regional or District Office if there is any doubt as to requirements or dimensions (See paragraph 213.e above.) as soon as the location and height of materials or equipment are known. The CSPP should include drawings showing all safety areas, object free areas, obstacle free zones and approach departure surfaces affected by construction.

a. Runway Safety Area (RSA). A runway safety area is the defined surface surrounding the runway prepared or suitable for reducing the risk of damage to airplanes in the event of an undershoot, overshoot, or excursion from the runway (see AC 150/5300-13). Construction activities within the existing RSA are subject to the following conditions:

(1) **No construction may occur within the existing RSA** while the runway is open for aircraft operations. The RSA dimensions may be temporarily adjusted if the runway is restricted to aircraft operations requiring an RSA that is equal to the RSA width and length beyond the runway ends available during construction. (see AC 150/5300-13). The temporary use of declared distances and/or partial runway closures may provide the necessary RSA under certain circumstances. Coordinate with the appropriate FAA Airports Regional or District Office to have declared distances information published. See AC 150/5300-13 for guidance on the use of declared distances.

(2) **The airport operator must coordinate** the adjustment of RSA dimensions as permitted above with the appropriate FAA Airports Regional or District Office and the local FAA air traffic manager and issue a NOTAM.

(3) **The CSPP and SPCD must provide procedures** for ensuring adequate distance for protection from blasting operations, if required by operational considerations.

(4) **Excavations.**

(a) Open trenches or excavations are not permitted within the RSA while the runway is open. If possible, backfill trenches before the runway is opened. If the runway must be opened before excavations are backfilled, cover the excavations appropriately. Covering for open trenches must be designed to allow the safe operation of the heaviest aircraft operating on the runway across the trench without damage to the aircraft.

(b) Construction contractors must prominently mark open trenches and excavations at the construction site with red or orange flags, as approved by the airport operator, and light them with red lights during hours of restricted visibility or darkness.

(5) **Erosion Control.** Soil erosion must be controlled to maintain RSA standards, that is, the RSA must be cleared and graded and have no potentially hazardous ruts, humps, depressions, or other surface variations, and capable, under dry conditions, of supporting snow removal equipment, aircraft rescue and fire fighting equipment, and the occasional passage of aircraft without causing structural damage to the aircraft.

b. Runway Object Free Area (ROFA). Construction, including excavations, may be permitted in the ROFA. However, equipment must be removed from the ROFA when not in use, and material should not be stockpiled in the ROFA if not necessary. Stockpiling material in the OFA requires submittal of a 7460-1 form and justification provided to the appropriate FAA Airports Regional or District Office for approval.

c. Taxiway Safety Area (TSA). A taxiway safety area is a defined surface alongside the taxiway prepared or suitable for reducing the risk of damage to an airplane unintentionally departing the taxiway. (See AC 150/5300-13.) Construction activities within the TSA are subject to the following conditions:

(1) **No construction may occur** within the TSA while the taxiway is open for aircraft operations. The TSA dimensions may be temporarily adjusted if the taxiway is restricted to aircraft operations requiring a TSA that is equal to the TSA width available during construction (see AC 150/5300-13, Table 4-1).

(2) **The airport operator must coordinate** the adjustment of the TSA width as permitted above with the appropriate FAA Airports Regional or District Office and the FAA air traffic manager and issue a NOTAM.

(3) **The CSPP and SPCD must provide procedures** for ensuring adequate distance for protection from blasting operations.

(4) **Excavations.**

(a) Open trenches or excavations are not permitted within the TSA while the taxiway is open. If possible, backfill trenches before the taxiway is opened. If the taxiway must be opened before excavations are backfilled, cover the excavations appropriately. Covering for open trenches must be designed to allow the safe operation of the heaviest aircraft operating on the taxiway across the trench without damage to the aircraft.

(b) Construction contractors must prominently mark open trenches and excavations at the construction site with red or orange flags, as approved by the airport operator, and light them with red lights during hours of restricted visibility or darkness.

(5) **Erosion Control.** Soil erosion must be controlled to maintain TSA standards, that is, the TSA must be cleared and graded and have no potentially hazardous ruts, humps, depressions, or other surface variations, and capable, under dry conditions, of supporting snow removal equipment, aircraft rescue and fire fighting equipment, and the occasional passage of aircraft without causing structural damage to the aircraft.

d. Taxiway Object Free Area (TOFA). Unlike the Runway Object Free Area, aircraft wings regularly penetrate the taxiway object free area during normal operations. Thus the restrictions are more stringent. Except as provided below, no construction may occur within the taxiway object free area while the taxiway is open for aircraft operations.

(1) **The taxiway object free area dimensions** may be temporarily adjusted if the taxiway is restricted to aircraft operations requiring a taxiway object free area that is equal to the taxiway object free area width available.

(2) **Offset taxiway pavement markings** may be used as a temporary measure to provide the required taxiway object free area. Where offset taxiway pavement markings are provided, centerline lighting or reflectors are required.

(3) **Construction activity may be accomplished** without adjusting the width of the taxiway object free area, subject to the following restrictions:

- (a) Appropriate NOTAMs are issued.
- (b) Marking and lighting meeting the provisions of paragraphs 218 and 220 above are implemented.
- (c) Five-foot clearance is maintained between equipment and materials and any part of an aircraft (includes wingtip overhang). In these situations, flaggers must be used to direct construction equipment, and wing walkers will be necessary to guide aircraft. Wing walkers should be airline/aviation personnel rather than construction workers. If such clearance can only be maintained if an aircraft does not have full use of the entire taxiway width (with its main landing gear at the edge of the pavement), then it will be necessary to move personnel and equipment for the passage of that aircraft.

e. Obstacle Free Zone (OFZ). In general, personnel, material, and/or equipment may not penetrate the OFZ while the runway is open for aircraft operations. If a penetration to the OFZ is necessary, it may be possible to continue aircraft operations through operational restrictions. Coordinate with the FAA through the appropriate FAA Airports Regional or District Office.

f. Runway Approach/Departure Areas and Clearways. All personnel, materials, and/or equipment must remain clear of the applicable threshold siting surfaces, as defined in Appendix 2, "Threshold Siting Requirements," of AC 150/5300-13. Objects that do not penetrate these surfaces may still be obstructions to air navigation and may affect standard instrument approach procedures. Coordinate with the FAA through the appropriate FAA Airports Regional or District Office.

(1) Construction activity in a runway approach/departure area may result in the need to partially close a runway or displace the existing runway threshold. Partial runway closure, displacement of the runway threshold, as well as closure of the complete runway and other portions of the movement area also require coordination through the airport operator with the appropriate FAA air traffic manager (FSS if non-towered) and ATO/Technical Operations (for affected NAVAIDS) and airport users.

(2) Caution regarding partial runway closures. When filing a NOTAM for a partial runway closure, clearly state to OCC personnel that the portion of pavement located prior to the threshold is not available for landing and departing traffic. In this case, the threshold has been moved for both landing and takeoff purposes (this is different than a displaced threshold). There may be situations where the portion of closed runway is available for taxiing only. If so, the NOTAM must reflect this condition).

(3) Caution regarding displaced thresholds. : Implementation of a displaced threshold affects runway length available for aircraft landing over the displacement. Depending on the reason for the displacement (to provide obstruction clearance or RSA), such a displacement may also require an adjustment in the landing distance available and accelerate-stop distance available in the opposite direction. If project scope includes personnel, equipment, excavation, other work. within the existing RSA of any usable runway end, do not implement a displaced threshold unless arrivals and departures toward the construction activity are prohibited. Instead, implement a partial closure.

222. Other Limitations on Construction. The CSPP must specify any other limitations on construction, including but not limited to:

a. Prohibitions.

(1) No use of tall equipment (cranes, concrete pumps, and so on) unless a 7460-1 determination letter is issued for such equipment.

(2) No use of open flame welding or torches unless fire safety precautions are provided and the airport operator has approved their use.

(3) No use of electrical blasting caps on or within 1,000 ft (300 m) of the airport property.

See AC 150/5370-10.

(4) No use of flare pots within the AOA.

b. Restrictions.

(1) Construction suspension required during specific airport operations.

(2) Areas that cannot be worked on simultaneously.

(3) Day or night construction restrictions.

(4) Seasonal construction restrictions.

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Chapter 3. Guidelines for Writing a CSPP

301. General Requirements. The CSPP is a standalone document written to correspond with the subjects outlined in Chapter 2, Section 1, paragraph 204. The CSPP is organized by numbered sections corresponding to each subject listed in Chapter 2, Section 1, paragraph 204, and described in detail in Chapter 2, Section 2. Each section number and title in the CSPP matches the corresponding subject outlined in Chapter 2, paragraph 204 (for example, 1. Coordination, 2. Phasing, 3. Areas and Operations Affected by the Construction Activity, and so on.). With the exception of the project scope of work outlined in Section 2. Phasing, only subjects specific to operational safety during construction should be addressed.

302. Applicability of Subjects. Each section should, to the extent practical, focus on the specific subject. Where an overlapping requirement spans several sections, the requirement should be explained in detail in the most applicable section. A reference to that section should be included in all other sections where the requirement may apply. For example, the requirement to protect existing underground FAA Instrument Landing System (ILS) cables during trenching operations could be considered FAA ATO coordination (Section 1. Coordination, paragraph 205.c), an area and operation affected by the construction activity (Section 3. Areas and Operations Affected by the Construction Activity, paragraph 207.a(4)), a protection of a NAVAID (Section 4. Protection of Navigational Aids (NAVAIDs), paragraph 208), or a notification to the FAA of construction activities (Section 9. Notification of Construction Activities, paragraph 210.e(3)(b)). However, it is more specifically an underground utility requirement (Section 11. Underground Utilities, paragraph 215). The procedure for protecting underground ILS cables during trenching operations should therefore be described in Section 11: “*The contractor must coordinate with the local FAA System Support Center (SSC) to mark existing ILS cable routes along Runway 17-35. The ILS cables will be located by hand digging whenever the trenching operation moves within 10 feet of the cable markings.*” All other applicable sections should include a reference to Section 11: “*ILS cables shall be identified and protected as described in Section 11*” or “*See Section 11 for ILS cable identification and protection requirements.*” Thus, the CSPP should be considered as a whole, with no need to duplicate responses to related issues.

303. Graphical Representations. Construction safety drawings should be included in the CSPP as attachments. When other graphical representations will aid in supporting written statements, the drawings, diagrams, and/or photographs should also be attached to the CSPP. References should be made in the CSPP to each graphical attachment and may be made in multiple sections.

304. Reference Documents. The CSPP must not incorporate a document by reference unless reproduction of the material in that document is prohibited. In that case, either copies of or a source for the referenced document must be provided to the contractor.

305. Restrictions. The CSPP should not be considered as a project design review document. The CSPP should also avoid mention of permanent (“as-built”) features such as pavements, markings, signs, and lighting, except when such features are intended to aid in maintaining operational safety during the construction.

306. Coordination. Include in this section a detailed description of conferences and meetings both before and during the project. Include appropriate information from AC 150/5300-9. Discuss coordination procedures and schedules for each required FAA ATO airway facility shutdown and restart and all required flight inspections.

307. Phasing. Include in this section a detailed scope of work description for the project as a whole and each phase of work covered by the CSPP. This includes all locations and durations of the work proposed. Attach drawings to graphically support the written scope of work. Detail in this section the sequenced phases of the proposed construction. Include a reference to paragraph 308 below, as appropriate.

308. Areas and Operations Affected By Construction. Focus in this section on identifying the areas and operations affected by the construction. Describe corresponding mitigation that is not covered in detail elsewhere in the CSPP. Include references to paragraphs below as appropriate. Attach drawings as necessary to graphically describe affected areas and mechanisms proposed. Tables and charts such as the following may be helpful in highlighting issues to be addressed.

Table 3-1 Sample Operations Effects

Project	Runway 15-33 Reconstruction	
Phase	Phase II: Reconstruct Runway 15 End	
Scope of Work	Reconstruct 1,000 ft of north end of Runway 15-33 with Portland Cement Concrete (PCC).	
Operational Requirements	Normal (Existing)	Phase II (Anticipated)
Runway 15 Average Aircraft Operations	Carrier: 52 /day GA: 26 /day Military: 11 /day	Carrier: 52 / day GA: 20 / day Military: 0 /day
Runway 33 Average Aircraft Operations	Carrier: 40 /day GA: 18 /day Military: 10 /day	Carrier: 20 /day GA: 5 /day Military: 0 /day
Runway 15-33 ARC	C-IV	C-IV
Runway 15 Approach Visibility Minimums	¾ mile	1 mile
Runway 33 Approach Visibility Minimums	¾ mile	1 mile
Runway 15 Declared Distances	TORA: 7,820	TORA: 6,420
	TODA: 7,820	TODA: 6,420
	ASDA: 7,820	ASDA: 6,420
	LDA: 7,820	LDA: 6,420
Runway 33 Declared Distances	TORA: 8,320	TORA: 6,920
	TODA: 8,320	TODA: 6,920
	ASDA: 8,320	ASDA: 6,920
	LDA: 7,820	LDA: 6,420
Runway 15 Approach Procedures	ILS	LOC only
	RNAV	N/A
	VOR	N/A
Runway 33 Approach Procedures	ILS	Visual only
	RNAV	N/A
	VOR	N/A
Runway 15 NAVAIDs	ILS/DME, MALSR, RVR	LOC/DME, PAPI (temp), RVR

Runway 33 NAVAIDs	ILS/DME, MALSF, PAPI, RVR	MALSF, PAPI, RVR
Taxiway G ADG	IV	IV (N/A between T/W H and R/W 15 end)
Taxiway E ADG	IV	IV
ATCT (hours open)	06:00 – 24:00 local	06:00 – 24:00 local
ARFF Index	D	D
Special Conditions	Air National Guard (ANG) military operations	Military operations relocated to alternate ANG Base
	Airline XYZ requires VGSI	Airline XYZ requires VGSI

Complete the following chart for each phase to determine the area that must be protected along the runway edges:

Runway	Aircraft Approach Category* A, B, C, or D	Airplane Design Group* I, II, III, or IV	RSA Width in Feet Divided by 2*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

*See AC 150/5300-13 to complete the chart for a specific runway.

Complete the following chart for each phase to determine the area that must be protected before the runway threshold:

Runway End Number	Airplane Design Group* I, II, III, or IV	Aircraft Approach Category* A, B, C, or D	Minimum Safety Area Prior to the Threshold*	Minimum Distance to Threshold Based on Required Approach Slope*	
_____	_____	_____	_____ ft	_____ ft	_____: 1
_____	_____	_____	_____ ft	_____ ft	_____: 1
_____	_____	_____	_____ ft	_____ ft	_____: 1
_____	_____	_____	_____ ft	_____ ft	_____: 1

*See AC 150/5300-13 to complete the chart for a specific runway.

309. Navigation Aid (NAVAID) Protection. List in this section all NAVAID facilities that will be affected by the construction. Identify NAVAID facilities that will be placed out of service at any time prior to or during construction activities. Identify individuals responsible for coordinating each shutdown and when each facility will be out of service. Include a reference to paragraph 306 above for FAA ATO NAVAID shutdown, restart, and flight inspection coordination. Outline in detail procedures to protect each NAVAID facility remaining in service from interference by construction activities. Include a reference to paragraph 314 for the issuance of NOTAMs as required. Include a reference to paragraph 316 for the protection of underground cables and piping serving NAVAIDs. If temporary visual aids are proposed to replace or supplement existing facilities, include a reference to paragraph 319. Attach drawings to graphically indicate the affected NAVAIDS and the corresponding critical areas.

310. Contractor Access. This will necessarily be the most extensive section of the CSPP. Provide

sufficient detail so that a contractor not experienced in working on airports will understand the unique restrictions such work will require. Due to this extent, it should be broken down into subsections as described below:

a. Location of Stockpiled Construction Materials. Describe in this section specific locations for stockpiling material. Note any height restrictions on stockpiles. Include a reference to paragraph 321 for hazard marking and lighting devices used to identify stockpiles. Include a reference to paragraph 311 for provisions to prevent stockpile material from becoming wildlife attractants. Include a reference to paragraph 312 for provisions to prevent stockpile material from becoming FOD. Attach drawings to graphically indicate the stockpile locations.

b. Vehicle and Pedestrian Operations. While there are many items to be addressed in this major subsection of the CSPP, all are concerned with one main issue: keeping people and vehicles from areas of the airport where they don't belong. This includes preventing unauthorized entry to the AOA and preventing the improper movement of pedestrians or vehicles on the airport. In this section, focus on mechanisms to prevent construction vehicles and workers traveling to and from the worksite from unauthorized entry into movement areas. Specify locations of parking for both employee vehicles and construction equipment, and routes for access and haul roads. In most cases, this will best be accomplished by attaching a drawing. Quote from AC 150/5210-5 specific requirements for contractor vehicles rather than referring to the AC as a whole, and include special requirements for identifying Hazardous Material (HAZMAT) vehicles. Quote from, rather than incorporate by reference, AC 150/5210-20 as appropriate to address the airport's rules for ground vehicle operations, including its training program. Discuss the airport's recordkeeping system listing authorized vehicle operators.

c. Two-Way Radio Communications. Include a special section to identify all individuals who are required to maintain communications with Air Traffic (AT) at airports with active towers, or monitor Common Traffic Advisory Frequencies (CTAF) at airports without or with closed ATCT. Include training requirements for all individuals required to communicate with AT. Individuals required to monitor AT frequencies should also be identified. If construction employees are also required to communicate by radio with Airport Operations, this procedure should be described in detail. Usage of vehicle mounted radios and/or portable radios should be addressed. Communication procedures for the event of disabled radio communication (that is, light signals, telephone numbers, others) must be included. All radio frequencies should be identified (Tower, Ground Control, CTAF, UNICOM, ATIS, and so on).

d. Airport Security. Address security as it applies to vehicle and pedestrian operations. Discuss TSA requirements, security badging requirements, perimeter fence integrity, gate security, and other needs. Attach drawings to graphically indicate secured and/or Security Identification Display Areas (SIDA), perimeter fencing, and available access points.

311. Wildlife Management. Discuss in this section wildlife management procedures. Describe the maintenance of existing wildlife mitigation devices, such as perimeter fences, and procedures to limit wildlife attractants. Include procedures to notify Airport Operations of wildlife encounters. Include a reference to paragraph 310 for security (wildlife) fence integrity maintenance as required.

312. Foreign Object Debris (FOD) Management. In this section, discuss methods to control and monitor FOD: worksite housekeeping, ground vehicle tire inspections, runway sweeps, and so on. Include a reference to paragraph 315 for inspection requirements as required.

313. Hazardous Materials (HAZMAT) Management. Describe in this section HAZMAT management procedures: fuel deliveries, spill recovery procedures, Material Safety Data Sheet (MSDS) availability, and other considerations. Any specific airport HAZMAT restrictions should also be

identified. Include a reference to paragraph 310 for HAZMAT vehicle identification requirements. Quote from, rather than incorporate by reference, AC 150/5320-15.

314. Notification of Construction Activities. List in this section the names and telephone numbers of points of contact for all parties affected by the construction project. We recommend a single list that includes all telephone numbers required under this section. Include emergency notification procedures for all representatives of all parties potentially impacted by the construction. Identify individual representatives – and at least one alternate – for each party. List both on-duty and off-duty contact information for each individual, including individuals responsible for emergency maintenance of airport construction hazard lighting and barricades. Describe procedures to coordinate immediate response to events that might adversely affect the operational safety of the airport (such as interrupted NAVAID service). Explain requirements for and the procedures for the issuance of Notices to Airmen (NOTAMs), notification to FAA required by 14 CFR Part 77 and Part 157 and in the event of affected NAVAIDs. For NOTAMs, identify an individual, and at least one alternate, responsible for issuing and cancelling each specific type of Notice to Airmen (NOTAM) required. Detail notification methods for police, fire fighting, and medical emergencies. This may include 911, but should also include direct phone numbers of local police departments and nearby hospitals. The local Poison Control number should be listed. Procedures regarding notification of Airport Operations and/or the ARFF Department of such emergencies should be identified, as applicable. If airport radio communications are identified as a means of emergency notification, include a reference to paragraph 310. Differentiate between emergency and nonemergency notification of ARFF personnel, the latter including activities that affect ARFF water supplies and access roads. Identify the primary ARFF contact person and at least one alternate. If notification is to be made through Airport Operations, then detail this procedure. Include a method of confirmation from the ARFF department.

315. Inspection Requirements. Describe in this section inspection requirements to ensure airfield safety compliance. Include a requirement for routine inspections by the resident engineer (RE) and the construction contractors. If the engineering consultants and/or contractors have a Safety Officer who will conduct such inspections, identify this individual. Describe procedures for special inspections, such as those required to reopen areas for aircraft operations. Part 139 requires daily airfield inspections at certificated airports, but these may need to be more frequent when construction is in progress. Discuss the role of such inspections on areas under construction. Include a requirement to immediately remedy any deficiencies, whether caused by negligence, oversight, or project scope change.

316. Underground Utilities. Explain how existing underground utilities will be located and protected. Identify each utility owner and include contact information for each company/agency in the master list. Address emergency response procedures for damaged or disrupted utilities. Include a reference to paragraph 314 above for notification of utility owners of accidental utility disruption as required.

317. Penalties. Describe in this section specific penalties imposed for noncompliance with airport rules and regulations, including the CSPP: SIDA violations, Vehicle/Pedestrian Deviations (VPD), and others.

318. Special Conditions. Identify any special conditions that may trigger specific safety mitigation actions outlined in this CSPP: low visibility operations, snow removal, aircraft in distress, aircraft accident, security breach, VPD, and other activities requiring construction suspension/resumption. Include a reference to paragraph 310 above for compliance with airport safety and security measures and for radio communications as required. Include a reference to paragraph 319 below for emergency notification of all involved parties, including police/security, ARFF, and medical services.

319. Runway and Taxiway Visual Aids. Include marking, lighting, signs, and visual NAVAIDS.

Detail temporary runway and taxiway marking, lighting, signs, and visual NAVAIDs required for the construction. Discuss existing marking, lighting, signs, and visual NAVAIDs that are temporarily, altered, obliterated, or shut down. Consider non-federal facilities and address requirements for reimbursable agreements necessary for alteration of FAA facilities and for necessary flight checks. Identify temporary TORA signs or runway distance remaining signs if appropriate. Identify required temporary visual NAVAIDs such as REIL or PAPI. Quote from, rather than incorporate by reference, AC 150/5340-1, Standards for Airport Markings, AC 150/5340-18, Standards for Airport Sign Systems, and AC 150/5340-30, as required. Attach drawings to graphically indicate proposed marking, lighting, signs, and visual NAVAIDs.

320. Marking and Signs for Access Routes. Detail plans for marking and signs for vehicle access routes. To the extent possible, signs should be in conformance with the Federal Highway Administration Manual on Uniform Traffic Control Devices (MUTCD) and/or State highway specifications, not hand lettered. Detail any modifications to the guidance in the MUTCD necessary to meet frangibility/height requirements.

321. Hazard Marking and Lighting. Specify all marking and lighting equipment, including when and where each type of device is to be used. Specify maximum gaps between barricades and the maximum spacing of hazard lighting. Identify one individual and at least one alternate responsible for maintenance of hazard marking and lighting equipment in the master telephone list. Include a reference to paragraph 314 above. Attach drawings to graphically indicate the placement of hazard marking and lighting equipment.

322. Protection of Runway and Taxiway Safety Areas. This section should focus exclusively on procedures for protecting all safety areas, including those altered by the construction: methods of demarcation, limit of access, movement within safety areas, stockpiling and trenching restrictions, and so on. Reference AC 150/5300-13: Airport Design as required. Include a reference to paragraph 310 above for procedures regarding vehicle and personnel movement within safety areas. Include a reference to paragraph 310 above for material stockpile restrictions as required. Detail requirements for trenching, excavations, and backfill. Include a reference to paragraph 321 for hazard marking and lighting devices used to identify open excavations as required. If runway and taxiway closures are proposed to protect safety areas, or if temporary displaced thresholds and/or revised declared distances are used to provide adequate Runway Safety Area, include a reference to paragraphs 314 and 319 above. Detail procedures for protecting the runway OFZ, runway OFA, taxiway OFA and runway approach surfaces including those altered by the construction: methods of demarcation, limit of cranes, storage of equipment, and so on. Quote from, rather than incorporate by reference, AC 150/5300-13: Airport Design as required. Include a reference to paragraph 323 for height (i.e. crane) restrictions as required. One way to address the height of equipment that will move during the project is to establish a three-dimensional “box” within which equipment will be confined that can be studied as a single object. Attach drawings to graphically indicate the safety area, OFZ, and OFA boundaries.

323. Other Limitations on Construction. This section should describe what limitations must be applied to each area of work and when each limitation will be applied: limitations due to airport operations, height (i.e. crane) restrictions, areas which cannot be worked at simultaneously, day/night work restrictions, winter construction, and other limitations. Include a reference to paragraph 307 above for project phasing requirements based on construction limitations as required.

Appendix 1. Related Reading Material

Obtain the latest version of the following free publications from the FAA on its Web site at <http://www.faa.gov/airports/>.

AC	Title and Description
AC 150/5200-28	Notices to Airmen (NOTAMs) for Airport Operators
	Guidance for using the NOTAM System in airport reporting.
AC 150/5200-30	Airport Winter Safety and Operations
	Guidance for airport owners/operators on the development of an acceptable airport snow and ice control program and on appropriate field condition reporting procedures.
AC 150/5200-33	Hazardous Wildlife Attractants On or Near Airports
	Guidance on locating certain land uses that might attract hazardous wildlife to public-use airports.
AC 150/5210-5	Painting, Marking, and Lighting of Vehicles Used on an Airport.
	Guidance, specifications, and standards for painting, marking, and lighting vehicles operating in the airport air operations areas.
AC 150/5210-20	Ground Vehicle Operations on Airports
	Guidance to airport operators on developing ground vehicle operation training programs.
AC 150/5300-13	Airport Design
	FAA standards and recommendations for airport design, establishes approach visibility minimums as an airport design parameter, and contains the Object Free area and the obstacle free-zone criteria.
AC 150/5310-24	Airport Foreign Object Debris Management
	Guidance for developing and managing an airport foreign object debris (FOD) program
AC 150/5220-4	Water Supply Systems for Aircraft Fire and Rescue Protection.
	Guidance on selecting a water source and meeting standards for a distribution system to support aircraft rescue and fire fighting service operations on airports.
AC 150/5320-15	Management of Airport Industrial Waste
	Basic information on the characteristics, management, and regulations of industrial wastes generated at airports. Guidance for developing a Storm Water Pollution Prevention Plan (SWPPP) that applies best management practices to eliminate, prevent, or reduce pollutants in storm water runoff with particular airport industrial activities.
AC 150/5340-1	Standards for Airport Markings
	FAA standards for markings used on airport runways, taxiways, and aprons.
AC 150/5340-18	Standards for Airport Sign Systems
	FAA standards for the siting and installation of signs on airport runways and taxiways.
AC 150/5345-28	Precision Approach Path Indicator (PAPI) Systems
	FAA standards for PAPI systems, which provide pilots with visual glide slope guidance during approach for landing.

AC	Title and Description
AC 150/5340-30	Design and Installation Details for Airport Visual Aids
	Guidance and recommendations on the installation of airport visual aids.
AC 150/5345-39	Specification for L-853, Runway and Taxiway Retroreflective Markers
AC 150/5345-44	Specification for Runway and Taxiway Signs
	FAA specifications for unlighted and lighted signs for taxiways and runways.
AC 150/5345-53	Airport Lighting Certification Program
	Details on the Airport Lighting Equipment Certification Program (ALECP).
AC 150/5345-50	Specification for Portable Runway and Taxiway Lights
	FAA standards for portable runway and taxiway lights and runway end identifier lights for temporary use to permit continued aircraft operations while all or part of a runway lighting system is inoperative.
AC 150/5345-55	Specification for L-893, Lighted Visual Aid to Indicate Temporary Runway Closure
AC 150/5370-10	Standards for Specifying Construction of Airports
	Standards for construction of airports, including earthwork, drainage, paving, turfing, lighting, and incidental construction.
FAA Order 5200.11	FAA Airports (ARP) Safety Management System (SMS)
	Basics for implementing SMS within ARP. Includes roles and responsibilities of ARP management and staff as well as other FAA lines of business that contribute to the ARP SMS.
FAA Certalert 98-05	Grasses Attractive to Hazardous Wildlife
	Guidance on grass management and seed selection.
FAA Form 7460-1	Notice of Proposed Construction or Alteration
FAA Form 7480-1	Notice of Landing Area Proposal

Obtain the latest version of the following free publications from the Electronic Code of Federal Regulations at <http://ecfr.gpoaccess.gov/>.

Title 14 CFR Part 139	Certification of Airports
Title 49 CFR Part 1542	Airport Security

Obtain the latest version of the Manual on Uniform Traffic Control Devices from the Federal Highway Administration at <http://mutcd.fhwa.dot.gov/>.

Appendix 2. Definition of Terms

Term	Definition
7460-1	Notice Of Proposed Construction Or Alteration. For on-airport projects, the form submitted to the FAA regional or airports division office as formal written notification of any kind of construction or alteration of objects that affect navigable airspace, as defined in 14 CFR Part 77, safe, efficient use, and preservation of the navigable airspace. (See guidance available on the FAA web site at oeaaa.faa.gov .) The form may be downloaded at http://www.faa.gov/airports/resources/forms/ , or filed electronically at: https://oeaaa.faa.gov .
7480-1	Notice Of Landing Area Proposal. Form submitted to the FAA Airports Regional Division Office or Airports District Office as formal written notification whenever a project without an airport layout plan on file with the FAA involves the construction of a new airport; the construction, realigning, altering, activating, or abandoning of a runway, landing strip, or associated taxiway; or the deactivation or abandoning of an entire airport The form may be downloaded at http://www.faa.gov/airports/resources/forms/ .
AC	Advisory Circular
ACRC	Aircraft Reference Code
ACSI	Airport Certification Safety Inspector
ADG	Airplane Design Group
AIP	Airport Improvement Program
ALECP	Airport Lighting Equipment Certification Program
ANG	Air National Guard
AOA	Air Operations Area. Any area of the airport used or intended to be used for the landing, takeoff, or surface maneuvering of aircraft. An air operations area includes such paved or unpaved areas that are used or intended to be used for the unobstructed movement of aircraft in addition to its associated runways, taxiways, or aprons.
ARFF	Aircraft Rescue and Fire Fighting
ARP	FAA Office of Airports
ASDA	Accelerate-Stop Distance Available
ATCT	Airport Traffic Control Tower
ATIS	Automatic Terminal Information Service
ATO	Air Traffic Organization
Certificated Airport	An airport that has been issued an Airport Operating Certificate by the FAA under the authority of 14 CFR Part 139, Certification of Airports.
CFR	Code of Federal Regulations
Construction	The presence and movement of construction-related personnel, equipment, and materials in any location that could infringe upon the movement of aircraft.
CSPP	Construction Safety And Phasing Plan. The overall plan for safety and phasing of a construction project developed by the airport operator, or developed by the airport operator's consultant and approved by the airport operator. It is included in the invitation for bids and becomes part of the project specifications.

Term	Definition
CTAF	Common Traffic Advisory Frequency
Displaced Threshold	A threshold that is located at a point on the runway other than the designated beginning of the runway. The portion of pavement behind a displaced threshold is available for takeoffs in either direction or landing from the opposite direction.
DOT	Department of Transportation
EPA	Environmental Protection Agency
FOD	Foreign Object Debris
HAZMAT	Hazardous Materials
IFR	Instrument Flight Rules
ILS	Instrument Landing System
LDA	Landing Distance Available
LOC	Localizer antenna array
Movement Area	The runways, taxiways, and other areas of an airport that are used for taxiing or hover taxiing, air taxiing, takeoff, and landing of aircraft, exclusive of loading aprons and aircraft parking areas (reference 14 CFR Part 139).
MSDS	Material Safety Data Sheet
MUTCD	Manual on Uniform Traffic Control Devices
NAVAID	Navigation Aid
NAVAID Critical Area	An area of defined shape and size associated with a NAVAID that must remain clear and graded to avoid interference with the electronic signal.
Non-Movement Area	The area inside the airport security fence exclusive of the Movement Area. It is important to note that the non-movement area includes pavement traversed by aircraft.
NOTAM	Notices to Airmen
Obstruction	Any object/obstacle exceeding the obstruction standards specified by 14 CFR Part 77, subpart C.
OE / AAA	Obstruction Evaluation / Airport Airspace Analysis
OFA	Object Free Area. An area on the ground centered on the runway, taxiway, or taxi lane centerline provided to enhance safety of aircraft operations by having the area free of objects except for those objects that need to be located in the OFA for air navigation or aircraft ground maneuvering purposes. (See AC 150/5300-13, for additional guidance on OFA standards and wingtip clearance criteria.)
OFZ	Obstacle Free Zone. The airspace below 150 ft (45 m) above the established airport elevation and along the runway and extended runway centerline that is required to be clear of all objects, except for frangible visual NAVAIDs that need to be located in the OFZ because of their function, in order to provide clearance protection for aircraft landing or taking off from the runway and for missed approaches. The OFZ is subdivided as follows: Runway OFZ, Inner Approach OFZ, Inner Transitional OFZ, and Precision OFZ. Refer to AC 150/5300-13 for guidance on OFZ.
OSHA	Occupational Safety and Health Administration
P&R	Planning and Requirements Group

Term	Definition
PAPI	Precision Approach Path Indicators
PFC	Passenger Facility Charge
PLASI	Pulse Light Approach Slope Indicators
Project Proposal Summary	A clear and concise description of the proposed project or change that is the object of Safety Risk Management.
RE	Resident Engineer
REIL	Runway End Identifier Lights
RNAV	Area Navigation
ROFA	Runway Object Free Area
RSA	Runway Safety Area. A defined surface surrounding the runway prepared or suitable for reducing the risk of damage to airplanes in the event of an undershoot, overshoot, or excursion from the runway, in accordance with AC 150/5300-13.
SIDA	Security Identification Display Area
SMS	Safety Management System
SPCD	Safety Plan Compliance Document. Details developed and submitted by a contractor to the airport operator for approval providing details on how the performance of a construction project will comply with the CSPP.
SRM	Safety Risk Management
Taxiway Safety Area	A defined surface alongside the taxiway prepared or suitable for reducing the risk of damage to an airplane unintentionally departing the taxiway, in accordance with AC 150/5300-13.
TDG	Taxiway Design Group
Temporary	Any condition that is not intended to be permanent.
Temporary Runway End	The beginning of that portion of the runway available for landing and taking off in one direction, and for landing in the other direction. Note the difference from a displaced threshold.
Threshold	The beginning of that portion of the runway available for landing. In some instances, the landing threshold may be displaced.
TODA	Takeoff Distance Available
TOFA	Taxiway Object Free Area
TORA	Takeoff Run Available. The length of the runway less any length of runway unavailable and/or unsuitable for takeoff run computations. See AC 150/5300-13 for guidance on declared distances.
TSA	Taxiway Safety Area Transportation Security Administration
UNICOM	A radio communications system of a type used at small airports.
VASI	Visual Approach Slope Indicators

Term	Definition
VGSI	Visual Glide Slope Indicator. A device that provides a visual glide slope indicator to landing pilots. These systems include precision approach path indicators (PAPI), visual approach slope indicators (VASI), and pulse light approach slope indicators (PLASI).
VFR	Visual Flight Rules
VOR	VHF Omnidirectional Radio Range
VPD	Vehicle / Pedestrian Deviation

Appendix 3. Safety and Phasing Plan Checklist

This appendix is keyed to Section 2. Plan Requirements. In the electronic version of this AC, clicking on the paragraph designation in the Reference column will access the applicable paragraph. There may be instances where the CSPP requires provisions that are not covered by the list in this appendix.

This checklist is intended as an aid, not as a required submittal.

Coordination	Reference	Addressed			Remarks
General Considerations					
Requirements for predesign, prebid, and preconstruction conferences to introduce the subject of airport operational safety during construction are specified.	205	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Operational safety is a standing agenda item for construction progress meetings.	205	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Scheduling of the construction phases is properly addressed.	206	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Areas and Operations Affected by Construction Activity					
Drawings showing affected areas are included.	207.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Closed or partially closed runways, taxiways, and aprons are depicted on drawings.	207.a(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Access routes used by ARFF vehicles affected by the project are addressed.	207.a(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Access routes used by airport and airline support vehicles affected by the project are addressed.	207.a(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Underground utilities, including water supplies for fire fighting and drainage.	207.a(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Approach/departure surfaces affected by heights of temporary objects are addressed.	207.a(5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Construction areas, storage areas, and access routes near runways, taxiways, aprons, or helipads are properly depicted on drawings.	207.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Temporary changes to taxi operations are addressed.	207.b(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Detours for ARFF and other airport vehicles are identified.	207.b(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Maintenance of essential utilities and underground infrastructure is addressed.	207.b(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Temporary changes to air traffic control procedures are addressed.	207.b(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
NAVAIDS					
Critical areas for NAVAIDS are depicted on drawings.	208	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Effects of construction activity on the performance of NAVAIDS, including unanticipated power outages, are addressed.	208	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Protection of NAVAID facilities is addressed.	208	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The required distance and direction from each NAVAID to any construction activity is depicted on drawings.	208	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Procedures for coordination with FAA ATO/Technical Operations, including identification of points of contact, are included.	208, 213.a, 213.e(3)(a), 218.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Contractor Access					
The CSPP addresses areas to which contractor will have access and how the areas will be accessed.	209	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The application of 49 CFR Part 1542 Airport Security, where appropriate, is addressed.	209	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The location of stockpiled construction materials is depicted on drawings.	209.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The requirement for stockpiles in the ROFA to be approved by FAA is included.	209.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Requirements for proper stockpiling of materials are included.	209.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Construction site parking is addressed.	209.b(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Construction equipment parking is addressed.	209.b(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Access and haul roads are addressed.	209.b(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
A requirement for marking and lighting of vehicles to comply with AC 150/5210-5, Painting, Marking and Lighting of Vehicles Used on an Airport, is included.	209.b(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Proper vehicle operations, including requirements for escorts, are described.	209.b(5), 209.b(6)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Training requirements for vehicle drivers are addressed.	209.b(7)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Two-way radio communications procedures are described.	209.b(9)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Maintenance of the secured area of the airport is addressed.	209.b(10)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Wildlife Management					
The airport operator's wildlife management procedures are addressed.	210	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Foreign Object Debris Management					
The airport operator's FOD management procedures are addressed.	211	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Hazardous Materials Management					
The airport operator's hazardous materials management procedures are addressed.	212	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Notification of Construction Activities					
Procedures for the immediate notification of airport user and local FAA of any conditions adversely affecting the operational safety of the airport are detailed.	213	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Maintenance of a list by the airport operator of the responsible representatives/points of contact for all involved parties and procedures for contacting them 24 hours a day, seven days a week is specified.	213.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
A list of local ATO/Technical Operations personnel is included.	213.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
A list of ATCT managers on duty is included.	213.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
A list of authorized representatives to the OCC is included.	213.b	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Procedures for coordinating, issuing, maintaining and cancelling by the airport operator of NOTAMS about airport conditions resulting from construction are included.	208, 213.b, 218.b(4)(i)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Provision of information on closed or hazardous conditions on airport movement areas by the airport operator to the OCC is specified.	213.b	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Emergency notification procedures for medical, fire fighting, and police response are addressed.	213.c	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Coordination with ARFF personnel for non-emergency issues is addressed.	213.d	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Notification to the FAA under 14 CFR parts 77 and 157 is addressed.	213.e	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Reimbursable agreements for flight checks and/or design and construction for FAA owned NAVAIDs are addressed.	213.e(3)(b)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Inspection Requirements					
Daily inspections by both the airport operator and contractor are specified.	214.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Final inspections at certificated airports are specified when required.	214.b	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Underground Utilities					
Procedures for protecting existing underground facilities in excavation areas are described.	215	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Penalties					
Penalty provisions for noncompliance with airport rules and regulations and the safety plans are detailed.	216	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Special Conditions					
Any special conditions that affect the operation of the airport or require the activation of any special procedures are addressed.	217	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Runway and Taxiway Visual Aids - Marking, Lighting, Signs, and Visual NAVAIDs					
The proper securing of temporary airport markings, lighting, signs, and visual NAVAIDs is addressed.	218.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Frangibility of airport markings, lighting, signs, and visual NAVAIDs is specified.	218.a, 218.c, 219, 220.b(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The requirement for markings to be in compliance with AC 150/5340-1, Standards for Airport Markings is specified.	218.b	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The requirement for lighting to conform to AC 150/5340-30, Design and Installation Details for Airport Visual Aids, AC 150/5345-50, Specification for Portable Runway and Taxiway Lights , and AC 150/5345-53 Airport Lighting Certification Program, is specified.	218.b(1)(f)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The use of a lighted X is specified where appropriate.	218.b(1)(b), 218.b(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The requirement for signs to conform to AC 150/5345-44, Specification for Runway and Taxiway Signs, AC 50/5340-18, Standards for Airport Sign Systems, and AC 150/5345-53, Airport Lighting Certification Program, is specified.	218.c	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Marking and Signs For Access Routes					
The CSPP specifies that pavement markings and signs intended for construction personnel should conform to AC 150/5340-18 and, to the extent practicable, with the MUTCD and/or State highway specifications.	219	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Hazard Marking and Lighting					
Prominent, comprehensible warning indicators for any area affected by construction that is normally accessible to aircraft, personnel, or vehicles are specified.	220.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Hazard marking and lighting are specified to identify open manholes, small areas under repair, stockpiled material, and waste areas.	220.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP considers less obvious construction-related hazards.	220.a	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Equipment that poses the least danger to aircraft but is sturdy enough to remain in place when subjected to typical winds, prop wash and jet blast is specified.	220.b(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The spacing of barricades is specified such that a breach is physically prevented barring a deliberate act.	220.b(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Red lights meeting the luminance requirements of the State Highway Department are specified.	220.b(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Barricades, temporary markers, and other objects placed and left in areas adjacent to any open runway, taxiway, taxi lane, or apron are specified to be as low as possible to the ground, and no more than 18 in high.	220.b(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Barricades marked with diagonal, alternating orange and white stripes are specified to indicate construction locations in which no part of an aircraft may enter.	220.b(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Highly reflective barriers with lights are specified to barricade taxiways leading to closed runways.	220.b(5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Markings for temporary closures are specified.	220.b(5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The provision of a contractor's representative on call 24 hours a day for emergency maintenance of airport hazard lighting and barricades is specified.	220.b(7)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Protection of Runway and Taxiway Safety Areas					
The CSPP clearly states that no construction may occur within a safety area while the associated runway or taxiway is open for aircraft operations.	221.a(1), 221.c(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP specifies that the airport operator coordinates the adjustment of RSA or TSA dimensions with the ATCT and the appropriate FAA Airports Regional or District Office and issues a local NOTAM.	221.a(2), 221.c(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Coordination	Reference	Addressed			Remarks
Procedures for ensuring adequate distance for protection from blasting operations, if required by operational considerations, are detailed.	221.c(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP specifies that open trenches or excavations are not permitted within a safety area while the associated runway or taxiway is open.	221.a(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Appropriate covering of excavations in the RSA or TSA that cannot be backfilled before the associated runway or taxiway is open is detailed.	221.a(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP includes provisions for prominent marking of open trenches and excavations at the construction site.	221.a(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Grading and soil erosion control to maintain RSA/TSA standards are addressed.	221.c(5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP specifies that equipment is to be removed from the ROFA when not in use.	221.b	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP clearly states that no construction may occur within a taxiway safety area while the taxiway is open for aircraft operations.	221.c	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Appropriate details are specified for any construction work to be accomplished in a taxiway object free area.	221.d	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Measures to ensure that personnel, material, and/or equipment do not penetrate the OFZ or threshold siting surfaces while the runway is open for aircraft operations are included.	221.e	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Provisions for protection of runway approach/departure areas and clearways are included.	221.f	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
Other Limitations on Construction					
The CSPP prohibits the use of open flame welding or torches unless adequate fire safety precautions are provided and the airport operator has approved their use.	222.a(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP prohibits the use of flare pots within the AOA at any time.	222.a(4)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	
The CSPP prohibits the use of electrical blasting caps on or within 1,000 ft (300 m) of the airport property.	222.a(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA	

Appendix 4. Construction Project Daily Safety Inspection Checklist

The situations identified below are potentially hazardous conditions that may occur during airport construction projects. Safety area encroachments, unauthorized and improper ground vehicle operations, and unmarked or uncovered holes and trenches near aircraft operating surfaces pose the most prevalent threats to airport operational safety during airport construction projects. The list below is one tool that the airport operator or contractor may use to aid in identifying and correcting potentially hazardous conditions. It should be customized as appropriate for each project.

Potentially Hazardous Conditions

Item	Action Required	or	None
Excavation adjacent to runways, taxiways, and aprons improperly backfilled.			<input type="checkbox"/>
Mounds of earth, construction materials, temporary structures, and other obstacles near any open runway, taxiway, or taxi lane; in the related Object Free area and aircraft approach or departure areas/zones; or obstructing any sign or marking.			<input type="checkbox"/>
Runway resurfacing projects resulting in lips exceeding 3 in (7.6 cm) from pavement edges and ends.			<input type="checkbox"/>
Heavy equipment (stationary or mobile) operating or idle near AOA, in runway approaches and departures areas, or in OFZ.			<input type="checkbox"/>
Equipment or material near NAVAIDs that may degrade or impair radiated signals and/or the monitoring of navigation and visual aids. Unauthorized or improper vehicle operations in localizer or glide slope critical areas, resulting in electronic interference and/or facility shutdown.			<input type="checkbox"/>
Tall and especially relatively low visibility units (that is, equipment with slim profiles) — cranes, drills, and similar objects — located in critical areas, such as OFZ and approach zones.			<input type="checkbox"/>
Improperly positioned or malfunctioning lights or unlighted airport hazards, such as holes or excavations, on any apron, open taxiway, or open taxi lane or in a related safety, approach, or departure area.			<input type="checkbox"/>
Obstacles, loose pavement, trash, and other debris on or near AOA. Construction debris (gravel, sand, mud, paving materials) on airport pavements may result in aircraft propeller, turbine engine, or tire damage. Also, loose materials may blow about, potentially causing personal injury or equipment damage.			<input type="checkbox"/>

Item	Action Required	or	None
Inappropriate or poorly maintained fencing during construction intended to deter human and animal intrusions into the AOA. Fencing and other markings that are inadequate to separate construction areas from open AOA create aviation hazards.			<input type="checkbox"/>
Improper or inadequate marking or lighting of runways (especially thresholds that have been displaced or runways that have been closed) and taxiways that could cause pilot confusion and provide a potential for a runway incursion. Inadequate or improper methods of marking, barricading, and lighting of temporarily closed portions of AOA create aviation hazards.			<input type="checkbox"/>
Wildlife attractants — such as trash (food scraps not collected from construction personnel activity), grass seeds, tall grass, or standing water — on or near airports.			<input type="checkbox"/>
Obliterated or faded temporary markings on active operational areas.			<input type="checkbox"/>
Misleading or malfunctioning obstruction lights. Unlighted or unmarked obstructions in the approach to any open runway pose aviation hazards.			<input type="checkbox"/>
Failure to issue, update, or cancel NOTAMs about airport or runway closures or other construction related airport conditions.			<input type="checkbox"/>
Failure to mark and identify utilities or power cables. Damage to utilities and power cables during construction activity can result in the loss of runway / taxiway lighting; loss of navigation, visual, or approach aids; disruption of weather reporting services; and/or loss of communications.			<input type="checkbox"/>
Restrictions on ARFF access from fire stations to the runway / taxiway system or airport buildings.			<input type="checkbox"/>
Lack of radio communications with construction vehicles in airport movement areas.			<input type="checkbox"/>
Objects, regardless of whether they are marked or flagged, or activities anywhere on or near an airport that could be distracting, confusing, or alarming to pilots during aircraft operations.			<input type="checkbox"/>
Water, snow, dirt, debris, or other contaminants that temporarily obscure or derogate the visibility of runway/taxiway marking, lighting, and pavement edges. Any condition or factor that obscures or diminishes the visibility of areas under construction.			<input type="checkbox"/>
Spillage from vehicles (gasoline, diesel fuel, oil) on active pavement areas, such as runways, taxiways, aprons, and airport roadways.			<input type="checkbox"/>

Item	Action Required	or	None
Failure to maintain drainage system integrity during construction (for example, no temporary drainage provided when working on a drainage system).			<input type="checkbox"/>
Failure to provide for proper electrical lockout and tagging procedures. At larger airports with multiple maintenance shifts/workers, construction contractors should make provisions for coordinating work on circuits.			<input type="checkbox"/>
Failure to control dust. Consider limiting the amount of area from which the contractor is allowed to strip turf.			<input type="checkbox"/>
Exposed wiring that creates an electrocution or fire ignition hazard. Identify and secure wiring, and place it in conduit or bury it.			<input type="checkbox"/>
Site burning, which can cause possible obscuration.			<input type="checkbox"/>
Construction work taking place outside of designated work areas and out of phase.			<input type="checkbox"/>

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Errata Sheet for

Advisory Circular 150/5370-2F, Operational Safety on Airports During Construction

Last Update: October 14, 2011

This errata sheet logs content and/or coding errors identified after the AC was signed on September 29, 2011. These errors have been corrected in the PDF version of the AC available on the FAA website.

#	Description of Correction	Location	Rationale	Date Error Corrected
1	Replaced Figure 2-2.	Page 20.	Original drawing showed runway centerline in yellow. New drawing shows correct runway centerline drawn in white.	10/14/2011



U.S. Department
of Transportation
Federal Aviation
Administration

Advisory Circular

Subject: QUALITY CONTROL OF
CONSTRUCTION FOR AIRPORT GRANT
PROJECTS

Date: 9/29/07
Initiated by: AAS-100

AC No.: 150/5370-12A
Change:

1. PURPOSE. This advisory circular (AC) provides information to ensure the quality of construction accomplished under the Federal Aviation Administration's (FAA) Airport Improvement Program (AIP).

2. BACKGROUND. The FAA has the responsibility of determining whether all construction work accomplished under the AIP is in accordance with the contract documents. A report issued by the Office of the Inspector General indicated that, in some instances, work performed was not accomplished in compliance with plans and specifications. In addition, quantities of materials used were not properly measured and documented and testing or quality assurance procedures were inadequate.

3. CANCELLATION. This AC cancels AC 150/5370-12, *Quality Control of Construction for Airport Grant Projects*, dated September 6, 1985.

4. APPLICATION. The FAA recommends the guidelines and standards in this AC for airport construction projects. This AC does not constitute a regulation and in general is not mandatory. However, use of these guidelines is mandatory for construction projects funded under the Airport Improvement Program (AIP). Mandatory terms such as "must" apply only to those who undertake construction projects using AIP funds. For such projects, the sponsor, the sponsor's engineer, and the FAA project manager must assume the responsibilities outlined in the following paragraphs to ensure the materials and workmanship incorporated into a project are in conformity with the requirements of the approved or certified plans and specifications.

5. SPONSOR'S RESPONSIBILITIES. The sponsor is responsible for all project engineering, including the preparation of plans and specifications, construction supervision, and inspection and testing for acceptability and quality. If the sponsor does not have the staff or the expertise to perform these services, then the sponsor should retain a consulting engineering firm. The consultant represents the sponsor and has overall responsibility for reporting on the acceptability and quality of the work. The relations of the consultant with the sponsor must be clearly defined by a written agreement before the start of work.

a. Engineering Services. AC 150/5100-14, *Architectural, Engineering, and Planning Consultant Services for Airport Grant Projects*, identifies items that should be included in a contract for engineering services. In some cases, the sponsor may retain an independent firm to perform testing for project control. It is, therefore, extremely important that the contract clearly delineate the division of responsibility and authority between the sponsor, the consultant, and the testing firm. For example, the agreement should define the party responsible for designating the location and number of tests, for interpreting test results, and for follow-up procedures for failing test results.

b. Predesign and Preconstruction Conferences. Predesign and preconstruction conferences conducted by the sponsor should be held to discuss various items, including testing and quality control. AC 150/5300-9, *Predesign, Prebid, and Preconstruction Conferences for Airport Grant Projects*, provides guidance for conducting such conferences.

c. Supervision and Inspection. The sponsor must provide adequate and qualified engineering supervision and construction inspection during all stages of the work. The FAA may request the sponsor to furnish

a written assurance that it has reviewed the qualifications of personnel who will be performing these functions and that they are qualified to do so.

6. ENGINEER'S RESPONSIBILITIES. The basic services normally required for airport development projects are the preliminary phase, design phase, bidding phase, and construction phase. The design and construction phases are directly related to quality of construction. AC 150/5100-14 contains a listing of activities normally performed during these phases.

a. Design Phase. The design phase includes all activities required to accomplish a complete project design, including development of plans and specifications. The standards contained in AC 150/5370-10, *Standards for Specifying Construction of Airports*, current edition, relate to materials and methods used in the construction of airports and must be used for projects funded under the FAA's AIP. Although these specifications reflect acceptable standards, practices, and techniques in airport construction, they are general in scope. For contract purposes, the various permissible options with regard to local materials, methods, and testing must be defined in the contract documents. In particular, the minimum testing frequency for job control must be specified in the project specifications.

b. Construction Phase. The construction phase includes all activities required after the award of a construction contract. The basic services of an engineering agreement normally include periodic inspection of the work in progress but not the services of a full-time resident engineer or inspector. Full-time inspection may be provided by the sponsor or by the consulting engineer under a supplemental agreement. In some instances, the sponsor may negotiate a separate agreement for services to be provided during this phase.

(1) Resident Engineer or Inspector. The resident engineer or inspector must have field experience in the type of work to be performed; be fully qualified to make interpretations, decisions, field computations, etc.; and have knowledge of testing requirements and procedures. The resident engineer or inspector must have the authority to reject both unsatisfactory workmanship and materials. Primary duties are as follows:

(i) Checks activities to ensure compliance with the plans and specifications. Informs the contractor of any work that is in noncompliance.

(ii) Ensures that all testing required by the specification is performed. All commercially produced products, such as pipe and reinforcing steel, that are used on the project should be accompanied by numerical test results or a certification from the manufacturer that the material meets the applicable standards.

(iii) Visits the testing laboratory to determine if it has the equipment and qualified personnel necessary to conduct the tests required by the specifications.

(iv) Ensures that tests are performed at the frequency stated in the specifications. Determine when and where tests will be taken and witness tests. If not indicated in the specifications, a sufficient number of tests should be taken to verify that the construction is acceptable.

(v) Reviews test reports and certifications for conformance with the specifications. Each test report for material in-place should, at a minimum, contain the following:

(a) Test performed and date.

(b) Applicable standard or project specification.

(c) Test location.

(d) Test result.

(e) Action taken on failing tests.

(f) Lot size and location and adjusted contract price when statistical acceptance procedures are specified or when provisions allow for reduced payment.

(vi) Maintains a file of test reports and certifications.

(vii) Informs the contractor of deficiencies so corrections can be made and retesting performed prior to covering any substandard work with additional material.

(viii) Documents quantities of materials used on the project by actual measurements and computations in a field notebook or computer printouts retained in a folder. For materials paid for on a weight basis, a summary of the material placed each day should be kept in the field notebook. The notebook and/or computer printouts, supported by the original set of weigh tickets, is the basis for payment.

(ix) Maintains a set of working drawings on the job site that can be used to prepare “as-built” drawings.

(x) Reviews payment requests from the contractor.

(xi) Maintains a diary that should contain daily entries made and signed by the resident engineer. Each entry should include the following, plus any additional pertinent data:

(a) Date and weather conditions.

(b) Names of important visitors.

(c) Construction work in progress and location.

(d) Size of contractor’s work force and equipment in use.

(e) Number of hours worked per day for contractor and subcontractors.

(f) The substance of important conversations with the contractor about conduct, progress, changes, test results, interpretations of specifications, or other details.

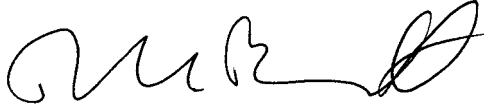
(xii) Submits copies of FAA Form 5370-1, *Construction Progress and Inspection Report*, or equivalent form to the appropriate FAA Airports Division/District/Field Office upon request.

7. FAA PROJECT MANAGER’S RESPONSIBILITIES. The FAA project manager has the responsibility to monitor the project to ensure the terms and conditions of the grant agreement are met, to maintain a broad overview of the construction to be reasonably certain the work is accomplished in accordance with the plans and specifications, and to evaluate the adequacy of the sponsor’s construction inspection. FAA project oversight does not relieve the sponsor’s responsibility of ensuring adequate supervision and inspection during all stages of the work and ensuring the work is in conformance with the plans and specifications.

8. COMMENTS OR SUGGESTIONS. Comments or suggestions for improving this AC should be sent to—

Manager, Airport Engineering Division
Federal Aviation Administration
ATTN: AAS-100
800 Independence Avenue, SW
Washington, DC 20591

9. COPIES OF THIS AC. The Office of Airport Safety and Standards is in the process of making ACs available to the public through the Internet. These ACs can be found on the Federal Aviation Administration (FAA) website at http://www.faa.gov/airports_airtraffic/airports/resources/advisory_circulars/.

A handwritten signature in black ink, appearing to read 'DLB', with a stylized flourish at the end.

David L. Bennett
Director of Airport Safety and Standards

SPECIAL CONDITIONS

SECTION 1

PROJECT INFORMATION

1. CONTRACT PROVISIONS. The General Provisions and these Special Conditions are applicable to all divisions and sections of the Contract Documents and Specifications. It shall be the Contractor's responsibility to so inform all parties who should be bound or influenced thereby.

In the event there are discrepancies between the technical specifications, general provisions, general conditions and the special conditions, the interpretation most advantageous to the Owner shall apply.

2. DESCRIPTION OF WORK. The proposed Work includes the following: See Construction Plans.

3. LOCATION OF THE WORK. The site of the proposed Work is at the Duluth International Airport, Duluth, MN.

4. DEFINITIONS. The following terms when used in the Contract Documents shall mean the following:

A. ADDENDA. Written or graphic instruments issued prior to the opening of Bids which clarify, correct or change the bidding documents or the Contract Documents.

B. BID. The offer or proposal of the bidder submitted on the prescribed form setting forth the prices for the Work and services to be performed.

C. DAY. Unless otherwise defined shall mean "calendar" day.

D. DRAWINGS. The drawings which show the character and scope of the Work to be performed and which have been prepared or approved by the Engineer and are referred to in the Contract Documents.

E. ENGINEER. The term "Engineer" in the Contract Documents means Reynolds, Smith and Hills, Inc., 4525 Airport Approach Road, Duluth Minnesota, 55811.

F. FIELD ORDER. A written order issued by the Engineer which orders minor changes in the work consistent with the intent of the Contract Documents but which does not involve a change in the Contract Price or the Contract Time.

The Engineer may authorize minor changes in the work not involving an adjustment in the contract price or the contract time, which are consistent with the overall intent of the Contract Documents. These may be accomplished by a field order and shall be binding on the Owner, and also on the Contractor who shall perform the change promptly. If the Contractor believes that a field order justifies an increase in the contract price or contract time, the Contractor shall make a claim under Section 50, Subsection 50-16, Claims for Adjustment and Disputes of the General Provisions before doing the Work.

G. FURNISH or INSTALL or PROVIDE or SUPPLY. Unless specifically limited in the context, the word "Furnish" or the word "Install" or the word "Provide" or the word "Supply" or any combination or similar directive or usage thereof, shall mean FURNISHING AND INCORPORATION IN THE WORK including all necessary labor, materials, equipment, and anything necessary to perform the work indicated.

H. GOOD REPAIR. Good repair shall be construed to mean any defect, functional or structural deterioration (except that from ordinary and reasonable use) which appreciably reduces the effectiveness or

efficiency of the work or improvement for the purpose intended, or any serious departure from the standards of original construction described in the Contract Documents, shall be remedied by the Contractor. Such remedy will be made without further cost to the Owner, including in part, all damages caused by such defect, deficiency, deterioration or departure, and by its repair, replacement or correction.

I. MAY. Permissive.

J. REFERENCE TO TRADE OR SUBCONTRACTORS. When only one principal contract exists for all work covered by the Contract Documents, reference to trade or subcontractors in the Contract Documents shall not create any contractual relationship between the Owner and any trade or subcontractor, with whom the principal contractor may subcontract.

K. SAMPLES. Samples are physical examples furnished or constructed by the Contractor to illustrate materials, equipment, workmanship or finishes, and to establish standards by which the work will be judged.

L. "SHALL" IMPLIED. In the interest of conciseness, some sentences, statements, and clauses used in the specifications exclude any form of the verb "shall" normally expressed in a verb phrase with verbs such as "furnish", "install", "provide", "perform", "construct", "erect", "comply", "apply", "submit", or similar "verb", but any such sentences, statements, and clauses shall be interpreted to include the applicable form of the phrase "The Contractor shall" and the requirements described therein shall be interpreted as mandatory elements of the Contract.

M. SHALL. Mandatory.

N. SUBCONTRACTOR. Party supplying labor and material or any labor for work at the site of the project for, and under separate contract or agreement with the Contractor. Nothing contained in the Contract Documents shall create any contractual relationship between the Owner and any subcontractor.

O. SUBSTANTIAL COMPLETION. When the work is sufficiently complete so it may be safely, conveniently and beneficially utilized by the Owner for all of the purposes for which it was intended.

P. WILL. Mandatory.

Q. SEDIMENT. Soil and other debris that have eroded and have been transported by runoff water or wind.

R. SOLID WASTES. Rubbish, debris, and other discarded solid materials, except hazardous waste as defined in paragraph entitled, "Hazardous Waste," resulting from industrial, commercial, and agricultural operations and from community activities.

S. RUBBISH. Combustible and noncombustible wastes including paper, boxes, glass, crockery, metal, lumber, cans, and bones.

T. DEBRIS. Combustible and noncombustible wastes such as ashes and waste materials resulting from construction or maintenance and repair work, leaves, and tree trimmings.

U. CHEMICAL WASTES. Salts, acids, alkalies, herbicides, pesticides, and organic chemicals.

V. SEWAGE. Waste characterized as domestic sanitary sewage.

W. GARBAGE. Refuse and scraps resulting from consumption of food.

X. HAZARDOUS WASTES. Hazardous substances as defined in 40 CFR 261 or as defined by applicable state and local regulations.

Y. OILY WASTES. Petroleum products and bituminous materials.

Z. HAZARDOUS MATERIALS. As defined in DOT Regulation 49 CFR 171 and listed in CFR 172.

AA. HAZARDOUS SUBSTANCES. As defined in EPA PL 96-510.

5. APPLICABLE DRAWINGS. The drawings applicable to this project are listed in the Index of Drawings as included herein.

6. PROPOSAL REQUIREMENTS. In addition to those herein before described items to be submitted with the Bidder's Proposal, the bidder shall submit, with his proposal, a list of all subcontractors the bidder proposes to use on the work of this Contract.

After the Owner accepts the bidder's proposal and such bidder is awarded a Contract, the successful bidder may not substitute a subcontractor listed in the proposal without the prior written approval of the Owner. Such approval shall be obtained at least ten calendar days prior to the date scheduled for that subcontractor to begin work.

7. ACCESS TO THE WORK. Access to the work shall be via the access routes designated on the Contract Layout Plan. The Contractor shall identify access routes with suitable signs, barricades and similar equipment. The entire access route and construction site shall be kept free and clean of all debris at all times and maintained in good repair by the Contractor. All damage to the access route caused by the actions of the Contractor or his agents shall be immediately repaired to the satisfaction of the Owner.

No separate payment will be made for complying with the requirements of this paragraph "ACCESS TO THE WORK." No other access to the work site will be permitted without written approval by the Owner and Engineer. Contractor's vehicles and equipment, including vehicles and equipment of the subcontractors and others coming under the Contractor's control, will not be permitted to traverse other airfield areas or pavements without written approval of the Owner and Engineer. Contractor's vehicles, equipment and materials may be stored in the area designated on the Plans. Upon completion of the work, the storage area shall be cleaned up and returned to its original condition to the satisfaction of the Owner. No separate payment will be made for cleanup and restoration of the storage area. Personal services, such as canteen trucks, will not be permitted beyond this area and drivers of vehicles being operated beyond this area shall be subject to loss of permission to enter the construction site.

8. SHOP DRAWINGS, PRODUCT DATA AND SAMPLES.

A. Shop drawings are drawings, diagrams, schedules and other data specially prepared for the work by the Contractor or any subcontractor, manufacturer, supplier or distributor to illustrate some portion of the work.

B. Product data are illustrations, standard schedules, performance charts, instructions, brochures, diagrams or other information furnished by the Contractor to illustrate a material, product or system for some portion of the work.

C. Samples are physical examples that illustrate materials, equipment or workmanship and establish standards by which the work will be judged.

D. The Contractor shall review, approve and submit, with reasonable promptness and in such sequence as to cause no delay in the work or in the work of the Owner or any separate contractor, all shop drawings, product data and samples required by the Contract Documents.

E. By approving and submitting shop drawings, product data and samples, the Contractor represents that he has determined and verified all materials, field measurements and field construction criteria related thereto, or will do so, and that he has checked and coordinated the information contained within such submittals with the requirements of the work and of the Contract Documents.

F. The Contractor shall not be relieved of responsibility for any deviation from the requirements of the Contract Documents by the Engineer's approval of shop drawings, product data or samples unless the Contractor has specifically informed the Engineer in writing of such deviation at the time of submission and the Engineer has given written approval of the specific deviation. The Contractor shall not be relieved from responsibility for errors or omissions in the shop drawings, product data or samples by the Engineer's approval thereof.

G. The Contractor shall direct specific attention, in writing or on resubmitted shop drawings, product data or samples to revisions other than those requested by the Engineer on previous submittals.

H. No portion of the work requiring submission of a shop drawing, product data or sample shall be commenced until the submittals have been approved by the Engineer as provided in the General Provisions, Section 50. All such portions of the work shall be in accordance with approved submittals.

I. The Contractor shall not reproduce the Engineer's project drawings for shop drawing use without prior written approval of the Engineer.

J. The Contractor shall submit six copies, or at Engineer's option, one reproducible copy and one print of all shop drawings required for the work of the various trades unless greater quantities are specifically requested for certain equipment. Of these, three copies, or the reproducible copy, will be annotated as appropriate and returned to the Contractor with appropriate action indicated. By agreement with the Engineer, the Contractor may submit more than the required number of copies. Receipt of less than the required number of copies will be cause for withholding the shop drawings, product data or samples from being checked until receipt of the necessary additional copies. Shop drawings shall be forwarded to Reynolds, Smith and Hills, Inc. 4525 Airport Approach Road, Duluth, MN 55811. The Contractor's letter of submittal must conform to the typical Contractor's "Transmittal Letter" which is available from the Engineer. The quantity of transmittal letters to be submitted shall be equal to the number of sets of drawings, product data or samples being submitted plus one. Each drawing or part of the drawings, product data or samples shall be listed separately on the letter and identified as indicated thereon. Failure to do this will cause rejection of the submittal. The Engineer will return to the Contractor the same transmittal letter, with the shop drawings, product data or samples disposition noted thereon along with the shop drawings, product data or samples when the review is completed. The Contractor shall forward separate transmittal letters for submitting each group of shop drawings, product data or samples common to a specification section.

K. In checking shop drawings, product data or samples prior to submittal, the Contractor is requested to note corrections or comments on the shop drawings, product data or samples in green pen.

L. Drawings returned to the Contractor will be stamped "Approved," "Approved as Noted," "Returned for Corrections," or "Not Approved." Drawings stamped "Approved as Noted" need not be returned for further approval if the notations are acceptable to the Contractor and subcontractors. Drawings stamped "Returned for Corrections" or "Not Approved" shall require new submission. Comments and corrections by the Engineer will be made in red pen on blue or black line prints.

M. Samples shall be submitted to the **Project Engineer of record**, accompanied with the same transmittal letter prescribed for shop drawings. Checking by Contractor of product data and samples before transmittal is required the same as for shop drawings.

9. PROJECT DOCUMENTATION.

A. Project Drawings: The successful Contractor will be furnished, at no charge, one (1) full-size set and one (1) disc of the Drawings and Specifications. Additional copies may be purchased at actual cost of reproduction.

A field set of Plans and Specifications shall remain on the job site at all times and shall be available at all times to the Engineer.

The Contractor shall immediately include plainly and conspicuously on the field set of drawings, and at appropriate paragraphs in the specifications, all changes or corrections made by addenda, field orders and change orders as they are issued.

Approved copies of all shop drawings, product data, samples and other submittals are to be kept on the job site at all times and shall be available at all times to the Engineer.

Changes and deviations from the existing conditions shall be submitted in writing for approval prior to installation. In no case shall any unspecified equipment or materials be installed without prior approval of the Engineer.

B. Record Documents:

(1) Definition: Record documents are defined to include those documents or copies relating directly to performance of the work, which the Contractor is required to prepare or maintain for the Owner's records, recording the work as actually performed. In particular, record documents show changes in the work in relation to the way in which shown and specified by original Contract Documents; and show additional information of value to the Owner's records, but not indicated by original Contract Documents. Record documents include newly prepared drawings (if any are specified), marked-up copies of contract drawings, shop drawings, specifications, addenda, field orders, change orders, marked-up product data submittals, record samples, field records for variable and concealed conditions such as excavations and foundations, and miscellaneous record information on work which is otherwise recorded only schematically or not at all.

(2) Record Drawings: The Contractor shall maintain a set of record drawings at the job site. The record drawings shall be kept legible and current and shall be available for inspection at all times by the Engineer. The Contractor shall show all changes or work added on these record drawings in a contrasting color.

(a) Mark-Up Procedure: During progress of the work, maintain a blue-line or black-line set of contract drawings and shop drawings, with mark-up of actual installations which vary substantially from the work as originally shown. Mark whatever drawing is most capable of showing actual physical condition, fully and accurately. Where shop drawings are marked up, mark cross-reference on contract drawings at corresponding location. Mark with erasable colored pencil, using separate colors where feasible to distinguish between changes for different categories of Work at same general location. Mark-up important additional information that was either shown schematically or omitted from original drawings. Give particular attention to information on work concealed, which would be difficult to identify or measure and record at a later date. Note alternate numbers, field orders or change order numbers and similar identification. Require each person preparing mark-ups to initial and date mark-ups and indicate name of firm. Label each sheet "PROJECT RECORD" in 1-1/2-inch high letters.

In showing changes in the work, use the same legends as used on the original drawings. Indicate exact locations by dimensions and exact elevations by job datum. Give dimensions from a permanent point.

(b) Preparation of Transparencies: In preparation for Certification of Substantial Completion on last major portion of the work, review completed mark-up of record drawings and shop drawings with Engineer. The Engineer will then proceed with preparation of a full set of corrected transparencies for contract drawings. The Engineer will date each updated drawing and label each sheet "RECORD DRAWING" in 1-1/2-inch high letters. Printing as required herein is the responsibility of the Engineer.

(c) Copies, Distribution: Upon completion of transparency record drawings, the Engineer shall prepare three blue-line or black-line prints of each drawing, regardless of whether changes and additional information were recorded thereon. The Engineer shall then organize each of three copies into

manageable sets, bind with durable paper cover sheets, and print suitable titles and dates. The mark-up set of prints maintained during the construction period shall be bound in the same manner. The Engineer shall also organize transparencies into sets matching print sets, place set in a durable tube-type drawing container (with end caps) and mark end cap of each with suitable identification. The Engineer will retain one copy set. At the completion of the project, the Engineer shall submit one set of transparencies, with changes noted thereon, to the Owner.

(3) Record drawings shall contain the names, addresses and phone numbers of the Contractor and all subcontractors.

(4) The Engineer shall be the sole judge of the acceptability of the record drawings. Receipt and acceptance of the record drawings is a prerequisite for Final Payment.

C. Record Specifications:

(1) During the progress of the work, the Contractor shall maintain one copy of the specifications, including addenda, field orders, change orders and similar modifications issued in printed form during construction, marked-up variations (of substance) in actual work in comparison with text of specifications and modifications as issued at the jobsite. Give particular attention to substitutions, selection of options, and similar information on work where it is concealed or cannot otherwise be readily discerned at a later date by direct observation. Note related record drawing information and product data, where applicable. Upon completion of mark-up, the Contractor shall submit all data to the Engineer for the Owner's records. Label front cover "PROJECT RECORD" in 1-1/2-inch high letters.

(2) Where the record specifications is printed on one side of page only, mark variation on blank left-hand pages of the record specifications, facing printed right-hand pages containing original text affected by variation.

D. Record Product Data: During progress of the work, maintain one copy of each product data submittal, and mark-up significant variations in the actual work in comparison with submitted information. Include both variations in product as delivered to site, and variations from manufacturer's instructions and recommendations for installation. Give particular attention to concealed products and portions of the work that cannot otherwise be readily discerned at a later date by direct observation. Note related field orders and change orders and mark-up of record drawings and specifications. Upon completion of mark-ups, submit complete set of product data submittal to the Engineer for the Owner's records. Label each data submittal "PROJECT RECORD" in 1-1/2-inch high letters.

E. Record Sample Submittal: Immediately prior to date(s) of substantial completion, the Engineer and Owner's authorized representatives will meet with the Contractor at the work site and will determine if any of the submitted samples maintained by the Contractor during progress of the work are to be transmitted to the Owner for record purposes. The Contractor shall comply with the Engineer's instructions for packaging, identification marking and delivery to the Owner's sample storage space. Dispose of other samples in a legal manner specified for disposal as surplus and waste materials, unless otherwise indicated by Engineer.

F. Miscellaneous Record Submittals: Refer to other sections of these specifications for requirements of miscellaneous recordkeeping and submittals in connection with actual performance of the work. Immediately prior to date(s) of substantial completion, complete miscellaneous records and place in good order, properly identified and bound or filed, ready for continued use and reference. Submit to the Engineer for the Owner's records. Categories of requirements resulting in miscellaneous work records are recognized to include, but not be limited to, the following:

(1) Required field records on excavations, foundations underground construction, wells and similar Work.

(2) Accurate survey showing locations and elevations of underground lines, including invert elevations of drainage piping, valves, tanks and manholes.

- (3) Surveys establishing lines and levels of buildings, where applicable.
- (4) Soil treatment certification.
- (5) Inspection and Test Reports: Where not processed as shop drawings or product data.
- (6) Concrete mix design record.
- (7) Asphaltic concrete mix design record.
- (8) Concrete block certification, where applicable.

G. Project Closeout: Closeout is hereby defined to include general requirements near end of contract time, in preparation for final acceptance, final payment, normal termination of Contract, occupancy by the Owner and similar actions evidencing completion of the work. Specific requirements for individual units or work are specified in other sections. Time of closeout is directly related to substantial completion, and therefore may be a single-time period for the entire work or a series of time periods for individual parts of the work which have been certified as substantially complete at different dates. The time variation, if any, shall be applicable to other provisions of this section.

H. Prerequisites to Substantial Completion:

(1) Prior to requesting the Engineer's inspection for Certification of Substantial Completion, for either entire work or portions thereof, complete the following and list no exceptions in request.

(a) In progress payment request coincident with, or first following date claimed, show 100 percent completion for the portion of work claimed as "Substantially Completed," or list incomplete items, value of incompleteness and reasons for being incomplete.

(b) Include supporting documentation for completion as indicated in the Contract Documents.

(c) Submit statement showing accounting of changes to the Contract sum.

(d) Advise the Owner of pending insurance change-over requirements.

(e) Obtain and submit releases enabling Owner's full and unrestricted use of the work and access to services and utilities, including, where required, occupancy permits, operating certificates and similar releases.

(f) Deliver tools, spare parts, extra stocks of materials and similar physical items to the Owner.

(g) Make final change-over of locks and transmit keys, where applicable, to the Owner, and advise the Owner's authorized representatives of change-over in security provisions.

(h) Complete start-up testing of systems, and instructions to the Owner's operating-maintenance personnel. Discontinue, or change over, and remove from project site any temporary facilities and services, along with construction tools and facilities, mock-ups and similar elements.

(2) Inspection Procedures: Upon receipt of the Contractor's request, the Engineer will proceed with the inspection or advise the Contractor of prerequisites not fulfilled. Following initial inspection, the Engineer will prepare the Certificate of Substantial Completion or advise the Contractor of work which must be performed prior to issuance of the certificate and repeat the inspection when requested and assured that work

has been substantially completed. Results of completed inspection(s) will form initial "punch list" for Final Acceptance.

I. Prerequisites to Final Acceptance:

(1) Prior to requesting the Engineers' final inspection for Certification of Final Acceptance as required by the General Provisions, the Contractor shall complete the following and list known exceptions in the request:

(a) Submit certified copy of the Engineer's final punch list of itemized work to be completed or corrected, stating that each item has been completed or otherwise resolved for acceptance, endorsed and dated by the Engineer.

(b) Submit final meter readings for utilities, measured record of stored fuel, and similar data as of time of Substantial Completion or when Owner took possession of and responsibility for corresponding elements of the Work.

(c) Complete final cleaning up requirements, including touch-up of marred surfaces.

(d) Touch-up and otherwise repair and restore marred exposed finishes.

(2) Reinspection Procedures: Following Substantial Completion, the Contractor shall correct or remedy all punch list items to the satisfaction of the Engineer and Owner within a two (2)-week period after the date of Substantial Completion. If subsequent inspections are necessary after the two-week period in order to eliminate all deficiencies, the cost of all subsequent inspections with respect to the Owner's and Engineer's time and expenses shall be paid by the Contractor. When ready, the Contractor shall request in writing, a final reinspection of the work. Upon completion of reinspection, the Engineer will prepare Certificate of Final Acceptance or advise the Contractor of work not completed or obligations not fulfilled as required for Final Acceptance. If necessary, the above procedures will be repeated.

J. Prerequisites to Final Payment:

(1) Final Payment: Final Payment will be made after Final Acceptance of the project by the Engineer and Owner upon request by the Contractor on condition that the Contractor:

(a) Furnish properly executed and completed release of claims from all material men and subcontractors who have furnished materials or labor for the work and submit supporting documentation not previously submitted and accepted. Include certificates of insurance for products and completed operations where required.

(b) Furnish the Contractor's Affidavit of Release of Claims (2 copies) that all material, men, and subcontractors have been paid in full. In the event they have not been paid in full, the Owner shall retain a sufficient sum to pay them in full and at his option, may make direct payment to obtain complete releases of claim.

(c) Furnish Contractor's Final Release of Claim (2 copies).

(d) Furnish required sets of record drawings and maintenance and operating instructions of new mechanical equipment.

(e) Furnish guarantees signed by subcontractors, material suppliers and countersigned by the Contractor for operating equipment.

(f) Submit specific warranties, workmanship-maintenance bonds, maintenance agreements, final certifications and similar documents.

(g) Furnish a signed guarantee, in form acceptable to the Engineer and Owner agreeing to repair or replace, as decided by the Engineer, all work and materials that prove defective within one (1) year from the date of Final Acceptance, including restoration of all other Work damaged in making such repairs or replacements.

(h) Furnish consent of Surety to Final Payment.

(i) Submit final progress payment application, reflecting all final changes to contract quantities and sums.

(j) Submit evidence of final, continuing insurance coverage complying with insurance requirements.

(k) Certify that all social security, employment and all other taxes (city, state, federal government) have been paid.

(l) Provide receipt, as applicable, of affidavits certifying all labor standards of local, state or federal requirements have been complied with by the Contractor.

(m) Submit actual DBE participation percentages along with the names, addresses and phone numbers of all DBE subcontractors, material suppliers utilized in the work.

K. Record Document Submittals: Specific requirements for record documents are shown in Section 9, PROJECT DOCUMENTATION. Other requirements are indicated in the General Provisions. General submittal requirements are indicated in "Submittals" sections. Do not use record documents for construction purposes; protect from deterioration and loss in a secure, fire-resistive location; provide access to record documents for the Engineer's reference during normal working hours.

(1) Record Drawings: The Engineer shall organize record drawing sheets into manageable sets, bind with durable paper cover sheets and print suitable titles, dates and other identification on cover of each set.

(2) Record Specifications: Upon completion of mark-ups, submit to the Engineer for the Owner's records.

(3) Record Product Data: Upon completion of mark-ups, submit complete set to the Engineer for the Owner's records.

(4) Record Sample Submittal: Comply with the Engineer's instructions for packaging, identification marking and delivery to the Owner's sample storage space.

(5) Miscellaneous Record Submittals: Complete miscellaneous records and place in good order, properly identified and bound or filed, ready for continued use and reference. Submit to the Engineer for the Owner's records.

(6) Maintenance Manuals: Complete, place in order, properly identify and submit to the Engineer for the Owner's records.

L. Closeout Procedures: General Operating and Maintenance Instructions: Arrange for each installer of work requiring continuing maintenance or operation to meet with the Owner's authorized representatives, at

the work site, to provide basic instructions needed for proper operation and maintenance of the entire work. Include instructions by manufacturer's representatives where installers are not expert in the required procedures. Review maintenance manuals, record documentation, tools, spare parts and materials, lubricants, fuel, identification system, control sequences; hazards, cleaning and similar procedures and facilities. For operational equipment, demonstrate start-up, shut-down, emergency operations, noise and vibration adjustments, safety, economy, efficiency adjustments and similar operations. Review maintenance and operations in relation with application warranties, agreements to maintain bonds, and similar continuing commitments.

10. FINAL CLEANING.

A. Provide final cleaning of the work, at time indicated, consisting of cleaning each surface or unit of work to normal "clean" condition.

B. Removal of Protection: Remove temporary protection devices and facilities that were installed during course of the work to protect previous completed work during remainder of the construction period.

C. Compliances: Comply with safety standards and governing regulations for cleaning operations. Do not burn waste materials at site, or bury debris or excess materials on the Owner's property, or discharge volatile or other harmful or dangerous materials into drainage systems; remove waste materials from site and dispose of in a lawful manner.

Where extra materials of value remaining after completion of associated work have become the Owner's property, dispose of these as directed by the Owner.

11. CONTRACT DOCUMENTS REVISION/MODIFICATIONS.

Where portions of text have been lined through (~~example~~) this text has been deleted and does not apply to this project. Where portions of text have been added with shading (**example**), this text has been added and is binding to this project. This process is utilized throughout the specifications and contract documents (excluding the plans).

END OF SPECIAL CONDITIONS - SECTION 1

SPECIAL CONDITIONS

SECTION 2

INSURANCE REQUIREMENTS

(Refer to City of Duluth Insurance Requirements)

END OF SPECIAL CONDITIONS - SECTION 2

SPECIAL CONDITIONS

SECTION 3

MISCELLANEOUS

1. PROVISIONS REQUIRED BY LAW DEEMED INSERTED. Each and every provision of law and clause required by law to be inserted in the Contract Documents shall be deemed to be inserted herein and the Contract shall be read and enforced as though it were included herein. If, for any reason, any such provision is not inserted in the Contract, or is not correctly inserted, then upon application of either party, the Contract shall forthwith be physically amended to make such insertion or correction.

2. CORRELATION OF DOCUMENTS.

A. The drawings and specifications are cooperative and supplementary. Portions of the work which can be best be illustrated by the drawings may not be included in the specifications and portions best described by the specifications may not be depicted on the drawings. All items necessary or incidental to completely construct or erect the work shall be furnished, whether called for in the specifications or shown on the drawings. Anything mentioned in the specifications and not shown on the drawings, or anything shown or mentioned on the drawings and not mentioned in the specifications, shall be of like effect as if shown or mentioned in both.

B. In case of disagreement between the drawings and specifications, or within either document itself, the better quality or greater quantity of work shall be estimated and included in the bid and contract price and the matter drawn to the Engineer's attention for decision.

3. NOTICE AND SERVICE THEREOF. Where the manner of giving notice is not otherwise provided for in the Contract Documents, any notice to the Contractor from the Owner relative to any part of the Contract shall be in writing and considered delivered and the service thereof completed, when said notice is posted, by certified or registered mail, to the Contractor at the address given in the Contractor's proposal, or at the last business address known to him who gives the notice, or delivered in person to the Contractor or his authorized representative on the site. It is mutually agreed that such notice shall be sufficient and adequate.

4. SUBCONTRACTING.

A. The Contractor may utilize the services of specialty or minority subcontractors on those parts of the work which, under normal contracting practices, are performed by specialty or minority subcontractors.

B. The Owner reserves the right to approve subcontractors for any work. The Contractor, if requested by the Owner, shall submit to the Owner the proposed award and such information as the Owner may require concerning any subcontractor.

C. The Contractor shall be as fully responsible to the Owner for the acts and omissions of his subcontractors, and of persons either directly or indirectly employed by them, or under their control, as he is for the acts and omissions of persons directly employed by him.

D. The Contractor shall cause appropriate provisions to be inserted in all subcontracts relative to the work to bind subcontractors to the Contractor by the terms of the Contract Documents insofar as applicable to the work of subcontractors, and to give the Contractor the same power as regards terminating any subcontract that the Owner may exercise over the Contractor under any provision of the Contract Documents.

E. Nothing contained in the Contract Documents shall create any contractual relationships between any subcontractor and the Owner.

5. PROTECTION OF PERSONS.

A. The Contractor shall:

- (1) At all times protect the lives and health of his employees under the Contract;
- (2) Take all necessary precautions for the safety of all persons on or in the vicinity of the project site.
- (3) Comply with all applicable provisions of Federal, State and Municipal safety laws and building codes.
- (4) Comply with all pertinent provisions of the Manual of Accident Prevention in Construction issued by the Associated General Contractors of America, Inc., latest edition, to prevent accidents or injury to persons on or about or adjacent to the premises where the work is being performed. He shall erect and properly maintain at all times, as required by the conditions and progress of the work, all necessary safeguards for the protection of persons and shall post danger signs warning against the hazards created in part by features of construction such as protruding nails, rod hoists, well holes, falling materials, etc., and he shall designate a responsible member of his organization on the work site whose duty shall be the prevention of accidents;
- (5) Provide for all safeguards for the protection of those having Right-of-Entry during field review and observation of the work.

B. The Contractor shall comply with all provisions of the "Williams-Steiger Occupational Safety and Health Act of 1970" including any amendments thereto and rules and regulations issued pursuant thereto, applicable to the Work and performance of the Contract. Where a State in which work is performed has passed legislation bearing on Occupational Safety and Health, such legislation and amendments thereto, together with rules and regulations issued pursuant thereto, shall be complied with by the Contractor.

6. AUTHORITY OF ENGINEER.

A. The Engineer, through its duly authorized representatives, shall furnish engineering services during construction of the work to the extent provided in the Contract Documents. He shall observe and review the work in the process of construction or erection. Compliance with the Contract Documents shall be the Contractor's responsibility notwithstanding such observation or review. The Engineer has authority to recommend suspension of the work to the Owner when it appears such suspension may be necessary to accomplish the proper implementation of the intent of the Contract Documents. The authority to observe, review or recommend suspension of the work, or exercise such other authority as may be granted by the Contract Documents, shall not be construed or interpreted to mean supervision of construction, which is the Contractor's responsibility, nor make the Engineer responsible for providing a safe place for the performance of work by the Contractor or by the Contractor's employees, or those of suppliers or subcontractors, or for access, visits, use, work, travel, or occupancy by any other person. The Engineer shall also have the authority to reject any work, materials, or equipment which do not conform to the Contract Documents and to decide technical questions which arise in the execution of the work.

B. The Engineer shall determine the amount, quality, acceptability, and fitness of the several kinds of work, materials, equipment and supplies which are to be paid for under the Contract and shall decide questions which may arise in relation to said work and its compliance with the Contract Documents. The Engineer's estimates and decisions shall be final and conclusive, except as otherwise expressly provided in case any question shall arise between the parties to the Contract relative to the Contract Documents, the determination or decision of the Engineer shall be a condition precedent to the right of the Contractor to receive any money or payment for work under the Contract affected in any manner or to any extent by such question.

C. The Engineer shall decide the meaning and intent of any portion of the Contract Documents where the same may be found obscure or be in dispute.

7. "GOOD REPAIR" PERIOD.

A. The Contractor hereby agrees to keep all work constructed under the Contract in good repair for a minimum period of one (1) year, unless a longer period is otherwise specified in the Contract Documents, from the date of acceptance of all of the work by the Owner. No provision of the Contract documents shall be valid which limits the "Good Repair" period to less than one (1) year from the date of acceptance of all of the work by the Owner. The work may be phased. If the work is phased, each phase of Work completed shall be inspected and approved for use by the Owner but shall not be accepted until all work for all phases is complete and a final inspection for all work has been performed.

B. It is intended that this provision shall apply whether or not bond is required, as a personal obligation of the Contractor.

C. The obligations of the Contractor as herein provided shall be in addition to and not in limitation of any obligations imposed upon him by special guarantees required by the Contract Documents or otherwise prescribed by law.

8. VARIATION FROM ESTIMATED QUANTITIES. The Contractor may reasonably expect a variation in estimated quantities such that the total payment for the completed work may range from 75 to 125 percent of the total amount of the Contract based on the estimated quantities defined in the proposal. The Contractor will not be allowed any claims for anticipated profits, for loss of profits, or for any damages because of a difference between the estimate of any item defined in the proposal and the amount of the item actually required or for the elimination of any part of the work. Funds for construction of the work herein contemplated are limited. The Owner reserves the right to eliminate or reduce the items of the proposal or any of the work as may be required to bring the cost of the work within the limits of available funds.

9. WATER FOR CONSTRUCTION. Water used for construction of this project will be furnished by the Contractor. The Contractor shall make the necessary arrangements with the Owner of the source of water for securing and/or transporting such water. No separate payment will be made for water used but the cost thereof shall be included in the various items of the proposal and bid schedule.

10. LIGHTS AND POWER. The Contractor shall provide, at his own expense, temporary lighting and facilities required for the proper prosecution and inspection of the work.

11. COORDINATION WITH OTHERS. In the event other contractors are doing work in the same area simultaneously with this project, the Contractor shall coordinate his proposed construction with that of the other contractors. The Contractor shall notify the Engineer of said coordination attempts and the results.

12. TESTING, INSPECTION, AND CONTROL. The Owner shall pay for all passing tests, the Contractor shall pay for all failing tests. Charges for failing tests will be deducted from the Contractor's earnings at the end of each month when the Contractor submits his periodic pay requests. The Contractor will pay for all tests, other than acceptance testing, and the costs of those tests shall be incidental to those items that require testing. The contractor shall furnish, at his own expense, all necessary specimens for testing of the materials, as required by the Engineer. The Contractor shall be responsible for notifying the testing laboratory to pick up the test samples. Also, the Engineer reserves the right to test at any location on the project, and at any frequency he deems necessary before, during and after incorporation of all materials into the project to satisfy himself and ensure that all materials meet the specified requirements. All materials utilized in the project must meet specification requirements before, during and after incorporation into the project. Any additional testing that the Contractor deems necessary to ensure himself that the materials he is installing meet the required specifications and/or as a proof of the authorized testing laboratory shall be solely the expense of the Contractor whether the tests pass or fail.

13. LINES AND GRADES. Section 50, Item 50-06 of the General Provisions and Technical Specification P-104, Project Survey and Stakeout includes all requirement for all lines, grades, and measurements necessary to the proper prosecution and control of the work contracted for under these specifications shall be provided by the Contractor and he shall be solely responsible for the accuracy of said lines, grades and measurements.

14. TRADE NAMES AND MATERIALS. No material that has been used by the Contractor for any temporary purpose whatsoever is to be incorporated in the permanent structure without written consent of the Engineer.

Where materials or equipment are specified by a trade or brand name, it is not the intention of the Owner to discriminate against an equal product of another manufacturer, but rather to set a definite standard of quality or performance, and to establish an equal basis for the evaluation of bids. Where the words "equivalent", "proper", or "equal to" are used, they shall be understood to mean that the thing referred to shall be proper, the equivalent of, or equal to some other thing, in the opinion or judgement of the Engineer. Unless otherwise specified, all materials shall be the best of their respective kinds and shall be in all cases fully equal to approved samples. Notwithstanding that the words "or equal to" or other such expressions may be used in the plans and specifications in connection with the material, manufactured article or process, the material, manufactured article or process specifically designated shall be used, unless a substitute shall be approved in writing by the Engineer and the Engineer shall have the right to require the use of such specifically designated material, article or process.

15. PROPERTY LINES AND MONUMENTS. The Contractor shall protect all property corner markers and any other monument, and when any such markers or monuments are in danger of being disturbed, they shall be properly referenced and if disturbed shall be reset at the expense of the Contractor.

16. FENCES AND DRAINAGE CHANNELS. Boundary fences or other improvements removed to permit the installation of the work shall be replaced in the same location and left in a condition as good or better than that in which they were found. Existing fences not to be removed and intersecting with new fencing (fencing outside airport property) shall be connected to the new fencing in a manner acceptable to the fence owner and the Owner and/or Engineer.

Where surface drainage channels are disturbed or blocked during construction, they shall be restored to their original condition of grade and cross section after the work of construction is completed.

17. DISPOSAL OF WASTE AND SURPLUS EXCAVATION. All trees, stumps, slashings, brush or other debris to be removed from the site as a preliminary to the construction work shall be removed from the property and legally disposed of in a manner approved by the Engineer and at a site approved by the Owner. No burning on site will be permitted.

All excavated earth in excess of that required for embankment and backfill shall be disposed of in a satisfactory manner as shown on the plans or as directed by the Engineer to a site approved by the Owner.

18. AIR POLLUTION. The Contractor shall comply with all Federal, State and Local Requirements.

19. EXISTING UTILITIES AND SERVICE LINES. The Contractor shall be responsible for the protection of all existing utilities or service lines crossed or exposed by his construction operations. Where existing utilities or service lines are cut, broken or damaged, the Contractor shall replace or repair the utilities or service lines with the same type of original material and construction, or better, at his own cost and expense, with the exception of those items included in the bid schedule.

20. RECORDS OF MATERIALS PURCHASED. By a certain time each month as defined and established at the preconstruction conference, the Contractor shall furnish to the Engineer, duplicate copies of all invoices for materials furnished to be incorporated into the work, plus a statement of all materials previously included on monthly estimates and incorporated into the work during the preceding month. This information is to be used to determine the value of materials on hand to be included in the monthly estimate for periodical payment.

21. CONTRACTOR ACCESS TO PROJECT SITE. The Contractor shall have a specific access route to the project site. This route is shown in the construction drawings. The Contractor shall use this route to bring all equipment and materials in. If the Contractor has a better route that will prevent damage to existing roads or provide safer access to the construction site, the Contractor shall supply a drawing showing the recommended route to the Owner and Engineer for approval at the preconstruction conference.

22. NIGHTTIME WORK. In phases of work requiring daytime work, the Contractor shall not perform nighttime work unless given approval in writing by the Engineer. The Contractor shall request in writing approval to perform nighttime work. If the Engineer approves said nighttime work, the Contractor shall coordinate closely with the Engineer and the Owner during any and all approved nighttime work. This includes any nighttime hauling of materials to the project site. If the Contractor wishes to perform nighttime work or haul materials at night, the Contractor shall reimburse the Owner for any nighttime inspection costs incurred by the Owner to adequately and properly inspect said nighttime work or hauling of materials.

In phases of work requiring nighttime work, the Contractor shall perform said nighttime work within the time frame allotted by the Owner. The Contractor shall coordinate with the Owner and Engineer each day before nighttime operations to ensure all special instructions, time limitations, directives, etc. are adhered to each night of nighttime operations. The Contractor shall not enter areas requiring nighttime construction operations until cleared to do so by the Owner. Any violation will result in a \$1,000.00 fine for each individual and each piece of equipment committing the infraction.

23. DUST CONTROL. The Contractor shall maintain strict dust control during the project duration. There are operational areas, aircraft parked on the airport as well as commercial facilities that perform maintenance and repair work to aircraft. Therefore, it is imperative that strict dust control be maintained so that damage or nuisance to the areas and facilities described above or airport operational areas is prevented. This dust control shall also include the dust that may occur during any construction procedure.

24. TRIP TICKETS, INVOICES, WEIGH BILLS, ETC. The Contractor shall be responsible for supplying any and all trip tickets, invoices, weigh bills, etc. which show the quantities actually used in the construction of the project. All said trip tickets, invoices, weigh bills, etc. shall relate directly to specific bid items. If the Contractor fails to submit said trip tickets, invoices, weigh bills, etc. to the Engineer or his authorized representative prior to or during the time of installation of materials into the project, any material overruns claimed by the Contractor at the end of the project shall not be accepted.

25. FINAL IN-PLACE EXCAVATION & EMBANKMENT SECTIONS. At the completion of the project, the Contractor shall submit final in-place earthwork cross sections for the entire project site affected by earthwork operations with the detailed calculations as to as-built excavation and/or embankment. The Contractor may use the cross sections provided in the plans and plot the as-built conditions on those cross section sheets along with the accompanying calculations. The Contractor shall be paid based upon the volume between the original ground line and the as-built ground line. The Contractor shall be paid based on the type of operations for which a bid price was provided.

END OF SPECIAL CONDITIONS - SECTION 3

SPECIAL CONDITIONS

SECTION 4

LISTING OF DUTIES, RESPONSIBILITIES AND LIMITATIONS OF AUTHORITY OF THE RESIDENT PROJECT REPRESENTATIVE.

The Owner and/or Engineer shall furnish a Resident Project Representative (RPR), assistants and other field staff to assist the Engineer in observing performance of the Work of the Contractor.

Through more extensive on-site observations of the work in progress and field checks of materials and equipment by the RPR and assistants, the Engineer shall endeavor to provide further protection for the Owner against defects and deficiencies in the work; but, the furnishing of such services will not make the Engineer responsible for or give the Engineer control over construction means, methods, techniques, sequences or procedures or for safety precautions or programs, or responsibility for the Contractor's failure to perform the work in accordance with the Contract Documents.

The duties and responsibilities of the RPR are limited to those of the Engineer in the Engineer's agreement with the Owner and in the construction Contract Documents, and are further limited and described as follows:

A. General

1. The RPR is the Engineer's agent at the site and will act as directed by and under the supervision of the Engineer, and will confer with the Engineer and Owner regarding the RPR's actions. The RPR's dealings in matters pertaining to the on-site work shall in general be with the Engineer and the Contractor keeping the Owner advised as necessary. The RPR's dealings with subcontractors shall only be through or with the full knowledge and approval of the Contractor. The RPR shall generally communicate with the Owner with the knowledge of and under the direction of the Engineer.

B. Duties and Responsibilities of the RPR

1. Schedules: Review the progress schedule, schedule of shop drawing, product data and samples submittals and schedule of values prepared by the Contractor and consult with the Engineer concerning acceptability.

2. Conferences and Meetings: Attend meetings with the Contractor and Owner, such as preconstruction conferences, weekly progress meetings, job conferences and other project-related meetings, and prepare and circulate copies of minutes thereof.

3. Liaison:

a. Serve as the Engineer's liaison with the Contractor, working principally through the Contractor's superintendent and assist in understanding the intent of the Contract Documents; and assist the Engineer in serving as the Owner's liaison with the Contractor when the Contractor's operations affect the Owner's on-site operations.

b. Assist in obtaining from the Owner additional details or information, when required for proper execution of the Work.

4. Shop Drawings and Samples:

- a.** Record date of receipt of shop drawings, product data and samples.
- b.** Receive samples that are furnished at the site by the Contractor, and notify the Engineer of availability of samples for examination.
- c.** Advise the Engineer and the Contractor of the commencement of any work requiring a shop drawing, product data or sample if the submittal has not been approved by the Engineer.

5. Review of Work, Rejection of Defective Work, Inspections and Tests:

- a.** Conduct on-site observations of the work in progress to assist the Engineer in determining if the work is in general proceeding in accordance with the Contract Documents.
- b.** Report to the Engineer whenever the RPR believes that any work is unsatisfactory, faulty or defective or does not conform to the Contract Documents, or has been damaged, or does not meet the requirements of any inspection, test or approval required to be made; and advise the Engineer of work that the RPR believes should be corrected or rejected or should be uncovered for observation, or requires special testing, inspection or approval.
- c.** Verify that tests, equipment and systems startups and operating and maintenance training are conducted in the presence of appropriate personnel, and that the Contractor maintains adequate records thereof; and observe, record and report to the Engineer appropriate details relative to the test procedures and startups.
- d.** Accompany visiting inspectors representing public or other agencies having jurisdiction over the work, record the results of those inspections and report to the Engineer.

6. Interpretation of Contract Documents: Report to the Engineer when clarifications and interpretations of the Contract Documents are needed and transmit to the Contractor clarifications and interpretations as issued by the Engineer.

7. Modifications: Consider and evaluate the Contractor's suggestions for modifications in drawings or specifications and report the suggestions along with the RPR's recommendations to the Engineer. Transmit to the Contractor decisions as issued by the Engineer.

8. Records:

- a.** Maintain at the job site orderly files for correspondence, reports of job conferences, shop drawings, product data and samples, reproductions of original Contract Documents including all work directive changes, addenda, change orders, field orders, additional drawings issued subsequent to the execution of the Contract, the Engineer's clarifications and interpretations of the Contract Documents, progress reports, and other work related documents.
- b.** Keep a diary or log book, recording the Contractor hours on the job site, weather conditions, data relative to questions of work field orders, change orders or changed conditions, list of job site visitors, daily activities, decisions, observations in general, and specific observations in more detail as in the case of observing test procedures; and send copies to the Engineer.
- c.** Record names, addresses and telephone numbers of all the Contractors, subcontractors and major suppliers of materials and equipment.

9. Reports:

- a.** Furnish the Engineer daily progress reports of progress of the work and of the Contractor's compliance with the progress schedule and schedule of shop drawing, product data and sample submittals.

b. Consult with the Engineer in advance of scheduled major tests, inspections or start of important phases of the work.

c. Draft proposed change orders and field orders, obtaining backup material from the Contractor and recommend to the Engineer change orders and field orders.

d. Report immediately to the Engineer and the Owner the occurrence of any accident.

10. Payment Requests: Review applications for payment with the Contractor for compliance with the established procedure for their submission and forward with recommendations to the Engineer, noting particularly the relationship of the payment requested to the schedule of values, work completed and materials and equipment delivered at the site but not incorporated in the Work.

11. Certificates, Maintenance and Operation Manuals: During the course of the work, verify that certificates, maintenance and operation manuals and other data required to be assembled and furnished by the Contractor are applicable to the items actually installed and in accordance with the Contract Documents, and have this material delivered to the Engineer for review and forwarding to the Owner prior to final payment for the work.

12. Completion:

a. Before the Engineer issues a Certificate of Substantial Completion, submit to the Contractor a punch list of observed items requiring completion or correction.

b. Conduct final inspection in the company of the Engineer, the Owner and the Contractor and prepare a final punch list of items to be completed or corrected.

c. Observe that all items on the final punch list have been completed or corrected and make recommendations to the Engineer concerning acceptance.

C. Limitations of Authority of the Resident Project Representative (RPR):

1. The RPR shall not authorize any deviation from the Contract Documents or substitution of materials or equipment, unless authorized by the Engineer.

2. The RPR shall not exceed the limitations of the Engineer's authority as set forth in the Contract Documents.

3. The RPR shall not undertake any of the responsibilities of the Contractor, subcontractors or the Contractor's superintendent.

4. The RPR shall not advise on, issue directions relative to or assume control over any aspect of the means, methods, techniques, sequences or procedures of construction unless such advice or directions are specifically required by the Contract Documents.

5. The RPR shall not advise on, issue directions regarding or assume control over safety precautions and programs in connection with the work.

6. The RPR shall not accept shop drawing, product data or sample submittals from anyone other than the Contractor.

7. The RPR shall not authorize the Owner to occupy the work in whole or in part.

8. The RPR shall not participate in specialized field or laboratory tests or inspections conducted by others except as specifically authorized by the Engineer.

END OF SPECIAL CONDITIONS - SECTION 4

SPECIAL CONDITIONS**SECTION 5****SHOP DRAWING SUBMITTAL SUMMARY**

1. The following list is intended to assist the Contractor in identifying shop drawings, product data and samples that are required to complete the work described in the Contract Documents. The list is not necessarily all inclusive and other shop drawings not listed may be required to be submitted by the Contractor to meet the requirements stated in General Provision Section 60, "Control of Materials" and Special Conditions Section 1, Paragraph 9, "Shop Drawings, Product Data and Samples."

Item No.

Item Description

END OF SPECIAL CONDITIONS - SECTION 5

ITEM P-102 SAFETY AND SECURITY

GENERAL

102-1.1 The provisions of this safety and security plan and associated procedures are applicable within the boundaries of the **Moose Lake – Carlton County Airport**. A complete understanding of all procedures and requirements contained herein is required to ensure safety during construction. This safety plan is a part of this Contract and deviations from the requirements established herein will be sufficient cause for Contract termination.

Required reference material associated with this safety plan includes:

FAA AC 150/5200-18[C], Airport Safety Self-Inspection
FAA AC 150/5210-5[D], Painting, Marking and Lighting of Vehicles Used on an Airport
FAA AC 150/5370-2[F], Operational Safety on Airports During Construction
FAA AC 150/5370-13[A], Offpeak Construction of Airports Using Hot-Mix Asphalt

Copies of these documents are included in the specifications.

CONTRACTOR SAFETY AND SECURITY OFFICER

102-2.1 CONTRACTOR SAFETY AND SECURITY OFFICER (CSSO). The Contractor shall appoint its on-site Construction Superintendent or other qualified individual(s) as its duly authorized representative to serve as Contractor Safety and Security Officer (CSSO) for the duration of the Contract. The CSSO shall thoroughly understand the safety and security requirements of the Contract, the necessity for them and shall have sufficient authority to implement its provisions without significant deviation. The Contractor shall notify the Engineer in writing of the name of the individual(s) selected for the assignment.

The CSSO shall represent the Contractor on safety and security requirements compliance. The CSSO shall be especially knowledgeable regarding the requirements of FAA AC's 150/5200-18, Airport Self Inspection Guide and 150/5370-2 Operational Safety on Airports During Construction, latest edition.

102-2.2 RESPONSIBILITIES OF THE CONTRACTOR SAFETY AND SECURITY OFFICER. Prior to the desired date for commencement of any work on the project, the CSSO shall accomplish the following:

a. Develop and submit in writing a detailed work sequence schedule with dates and times specified for all milestone events. This sequence schedule shall conform, as a minimum, to the events specified in Section 3.1, Construction Sequence, and shall be subject to the approval of the Engineer. To assure adequate time for coordination, this document shall be submitted at least one week prior to the date of the Preconstruction Conference.

b. Develop and submit in writing a detailed outline of the procedures to be followed to maintain safety and security of both Contractor operations and the integrity of airport landside and airside operations during the prosecution of contract work. This plan shall detail, in addition, the procedures to be followed in the event of an accident or fire involving Contractor personnel and the Contractor's efforts to maintain fire protection and security. These procedures shall be subject to the approval of the Engineer and reflect any change as may be deemed necessary.

c. Conduct at least one meeting of all Contractor supervisory personnel prior to the start of contract work. The purpose of this meeting is to review the approved Work sequence schedule and safety and security procedures. Attendance at this meeting by the CSSO, all Contractor supervisory personnel and the Engineer is mandatory. This meeting shall also be open to other employees of the Contractor and others as the Engineer may deem appropriate. Minutes of this meeting shall be taken by the CSSO, copies provided to each supervisor and kept on file in the Contractor's construction office for

periodic review and updating.

d. Develop a safety and security orientation program and provide a briefing for all employees of the Contractor and subcontractors that will be used on the project. A similar briefing will be given to new employees prior to their use on contract work. In addition, the CSSO shall be responsible for briefing, from time to time, all Contractor personnel on any changes to safety and security measures deemed necessary.

CONSTRUCTION SEQUENCING

102-3.1 CONSTRUCTION SEQUENCE. The Contractor shall prepare a construction schedule and submit to the Engineer at least one week prior to the pre-construction conference.

102-3.2 CLOSING RUNWAYS. The Contractor shall acquaint his supervisors and employees with the sequence of construction and its relationship to airport activity and aircraft operations that are inherent to this airport. No runway, taxiway, apron or airport roadway shall be closed without the written approval of the Owner, to enable necessary NOTAMS and/or advisories to airport fixed based operators (FBOs), tenants and users.

The Contractor shall contact the Engineer a minimum of ten (10) days prior to any requested closing.

Any construction activity within [200] feet of the centerline of an active runway or within [44.5] feet of the centerline of an active taxiway or apron requires the closure of the affected area. These safety areas are shown on the phasing plan.

The Engineer will arrange for an inspection prior to return to service of any facility, that has been closed for work, on or adjacent thereto, or that has been used for a crossing point or haul route by the Contractor.

MARKING AND LIGHTING

102-4.1 Proper marking and lighting of areas on the airfield associated with the construction shall be the responsibility of the Contractor. This will include properly marking and lighting closed runways, taxiways, taxilanes, and aprons, the limits of construction, material storage areas, equipment storage areas, haul routes, parking areas and other areas defined as required for the Contractor's exclusive use. The Contractor shall erect and maintain around the perimeter of these areas suitable marking and warning devices visible for day and night use. Temporary barricades, flagging, and flashing warning lights shall be required at critical access points. The type and location of marking and warning devices will be approved by the Engineer.

Special emphasis shall be given to open trenches, excavations, heavy equipment marshalling areas, and stockpiled material located in the airport operations area, which shall be predominantly marked by the Contractor with flags and lighted by approved light units during hours of restricted visibility and darkness. All marking shall be in accordance with FAA Advisory Circular (AC) 150/5340-1J or latest edition.

TRAFFIC CONTROL

102-5.1 VEHICLE IDENTIFICATION. The Contractor shall establish and maintain a list of Contractor and subcontractor vehicles authorized to operate on the site. Contractor employee vehicles shall be restricted to the Contractor's staging area and are not allowed in the Airport Operations Area (AOA) at any time. To be authorized to operate on the airport, each Contractor or subcontractor's vehicle shall:

- a. be marked/flagged for high daytime visibility and lighted for nighttime operations. Vehicles

that are not marked and/or lighted shall be escorted by a vehicle appropriately marked and/or lighted. Vehicles requiring escort shall be identified on the list.

b. be identified with the name and/or logo of the Contractor and be of sufficient size to be identified at a distance. Vehicles needing intermittent identification could be marked with tape or with commercially available magnetically attached markers. Vehicles that are not appropriately identified shall be escorted by a vehicle that conforms to this requirement. Vehicles requiring escort shall be identified on the list.

c. be operated in a manner that does not compromise the safety of either landside or airside airport operations. If, in the opinion of the Engineer, any vehicle is operated in a manner not fully consistent with this requirement, the Engineer has the right to restrict operation of the vehicle or prohibit its use on the airport.

102-5.2 ACCESS TO THE SITE OF CONSTRUCTION. The Contractor's access to the site shall be as shown on the Contract Layout Plan. No other access points shall be allowed unless approved by the Engineer. All Contractor traffic authorized to enter the site shall be experienced in the route or guided by Contractor personnel. The Contractor shall be responsible for traffic control to and from the various construction areas on the site, and for the operation and security of the access gate to the site. A Contractor's flagman or traffic control person shall monitor and coordinate all Contractor traffic at the access gate with Airport Security. The Contractor shall not permit any unauthorized construction personnel or traffic on the site. Access gates to the site shall be locked and secured at all times when not attended by the Contractor. If the Contractor chooses to leave any access gate open, it shall be attended by Contractor personnel who are familiar with the requirements of the Airport Security Program. The Contractor is responsible for the immediate cleanup of any debris deposited along the access route as a result of his construction traffic. Directional signing from the access gate along the delivery route to the storage area, plant site or work site shall be as directed by the Engineer. In addition, the following requirements are applicable:

a. All Contractor traffic authorized to travel on the airport shall have been briefed as part of the Contractor's construction safety and security orientation program, be thoroughly familiar with the access procedures and route for travel or be escorted by personnel authorized by the Contractor Safety and Security Officer (CSSO).

b. The Contractor shall install work site identification signs at the authorized access point(s). If, in the opinion of the Engineer, directional signs are needed for clarity, they shall be installed along the route authorized for access to each construction site.

c. Under no circumstance will Contractor personnel be permitted to drive their individually owned vehicles to any construction site on the airport. All vehicles must be parked in the area designated for employee parking and out of secured airport property.

d. In addition to the inspection and cleanup required at the end of each shift, the Contractor is responsible for the immediate cleanup of any debris generated along the construction site access route(s) as a result of construction related traffic or operations whether or not created by Contractor personnel.

102-5.3 MATERIAL SUPPLIERS. All material suppliers, subcontractors and visitors to the work site are obligated to follow the same safety and security operating procedures as the Contractor. All material suppliers shall make their deliveries using the same access points and routes as the Contractor and shall be advised of the appropriate delivery procedures at the time the materials order is placed. The Contractor shall not use the Airport address for any delivery but shall use the street address appropriate to the location of the entrance of the work site. If it is not practical to conform to the vehicle identification requirements of Section 102-5.1 and the safety and security operations program requirements of Section 102-2.2, the Contractor shall be prepared to escort all suppliers, subcontractors and visitors while they

are on the airport.

102-5.4 PERSONNEL IDENTIFICATION. All employees, agents, vendors, invitees, etc. of the Contractor or subcontractors requiring access to the construction site shall, conform to the Security Program.

GENERAL SAFETY REQUIREMENTS

102-6.1 All Contractor vehicles that are authorized to operate on the airport outside of the designated construction area limits or haul routes as defined herein shall display in full view above the vehicle a flashing amber (yellow) dome-type light or a three-foot by three-foot, or larger, orange and white checkerboard flag, each checkerboard color being one-foot square. Vehicles must be under control of a Contractor mobile (two-way) radio operator (flagmen) monitoring the Airport frequency. Vehicle operators must be vigilant for conflict with any aircraft and give way to any operating aircraft.

All Contractor vehicles that are required to operate outside of the construction area limits as defined herein and cross active runways, taxiways, aprons, or runway approach clear zones shall do so under the direct control of a flagman who is monitoring the Airport frequency. Flagmen and two-way radios shall be furnished by the Contractor. Flagmen shall be instructed in the use of two-way radios prior to use. All aircraft traffic on runways, taxiways and aprons shall have priority over Contractor's traffic.

Construction vehicles not in use for extended periods during the work day, or during nights and weekends (nonwork periods) shall be parked away from active runways, taxiways, and aprons in designated vehicle marshalling areas.

102-6.2 In order to protect all aircraft traffic, aviation related businesses, terminal apron areas, etc. from potential damage caused by foreign object debris (FOD) generated by construction activities, the Contractor shall provide a vacuum truck as required at the startup of construction to daily vacuum all pavements affected by construction. The vacuum truck shall remain on-site for the duration of the project and shall be available at the discretion of the Owner to vacuum pavement areas adjacent to the construction areas to ensure no FOD is present on pavements within 500 feet of any construction area. Protecting the aircraft, airport tenants, users, public, etc. against FOD is a critical safety issue therefore the cost of the vacuum truck will be included in the cost established for this specification item.

CONSTRUCTION CONTROL

102-7.1 A primary and alternate responsible Contractor's representative shall be designated by the Contractor. The Contractor's representatives shall be available locally on a 24-hour basis. Names of the primary and alternate, including phone number, shall be made available to the Engineer by the Contractor. The Contractor shall insure that the names and phone numbers are kept current and made available to the Engineer.

CONSTRUCTION TECHNIQUES

102-8.1 Construction shall be planned and conducted throughout this project in such a manner as to allow the maintenance of completely safe airport operations. Every effort shall be made to reduce the impact of construction activity on overall airport operations. To this end the Contractor's activities shall be conducted in such a manner so as to preclude, except where absolutely required, open excavations, trenches, ditches and above ground obstacles such as booms on cranes or obstacle markers such as wooden saw horses. The primary responsibility for assuring that the safest possible construction techniques are followed rests with the Contractor Safety and Security Officer (CSSO).

METHOD OF MEASUREMENT

102-9.1 The item of Safety and Security shall be measured as a lump sum item when required and furnished for the life of the Contract.

BASIS OF PAYMENT

102-10.1 Payment shall be made for airport safety and security measures for personnel or materials related to this specification item and incidentally required to satisfy the specified objective(s) under item P-102-10.0, Safety and Security. This compensation shall be full compensation for furnishing all materials and for all labor, equipment, tools, and incidentals necessary to complete the item.

PARTIAL PAYMENTS. Partial payments will be made in accordance with the following:

<u>Percentage of Original Contract Earned</u>	<u>Allowable Percent of the Lump Sum Price for the Item</u>
5	15
15	20
25	25
50	50
75	75
100 (or Contract Completion)	100

Payment shall be made under:

Item P-102-10.1	Safety and Security - Per Lump Sum.
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TESTING REQUIREMENTS

102-11.1 None.

END OF ITEM P-102

ITEM P-104 PROJECT SURVEY AND STAKEOUT

DESCRIPTION

104-1.1 Under this item, the Contractor shall do all necessary surveying required to construct all elements of the work as shown on the Contract Drawings and specified in the proposal and specifications. This shall include but not be limited to stakeout, layout and elevations for pavements, structures, forms and appurtenances as shown and required, consistent with the current practices and shall be performed by qualified personnel acceptable to the Engineer. The stakeout survey shall proceed immediately following the award of the Contract or as soon as authorized by the Owner and shall be expeditiously progressed to completion in a manner and at a rate satisfactory to the Engineer. The Contractor shall keep the Engineer fully informed as to the progress of the stakeout survey. All survey work shall be provided under the direction of a licensed land surveyor.

MATERIALS

104-2.1 All instruments, equipment, stakes and any other material necessary to perform the work satisfactorily shall be provided by the Contractor.

All stakes used shall be of a type approved by the Engineer. It shall be the Contractor's responsibility to maintain these stakes in their proper position and location at all times.

The Contractor shall supply to the Engineer a rod, level and tripod for his exclusive use during the entire project. The rod shall be 15 feet in length with hundredth-of-a-foot graduation. The level shall be self-leveling and have documentation demonstrating it has been calibrated within one month of the work commencement. All provided equipment shall be in good working order and maintained by the Contractor throughout the course of the project.

CONSTRUCTION METHODS

104-3.1 The Contractor shall trim trees, brush and other interfering objects, not inconsistent with the Contract Drawings, from survey lines in advance of all survey work to permit accurate and unimpeded work by his stakeout survey crews.

The exact position of all work shall be established from control points, baseline transit points or other points of similar nature that are shown on the Contract Drawings and/or modified by the Engineer. Any error, apparent discrepancy or absence in or of data shown or required for accurately accomplishing the stakeout survey shall be referred to the Engineer for interpretation or furnishing when such is observed or required.

The Contractor shall place two offset stakes or references at each centerline station and at such intermediate locations as the Engineer may direct. From computations and measurements made by the Contractor, these stakes shall be clearly and legibly marked with the correct centerline station number, offset and cut or fill so as to permit the establishment of the exact centerline location and elevation during construction. If markings become faded or blurred for any reason, the markings shall be restored by the Contractor at the request of the Engineer. He shall locate and place all cut, fill, slope, fine grade or other stakes and points, as the Engineer may direct, for the proper progress of the work. All control points shall be properly guarded and flagged for easy identification.

Drainage structures shall be staked out by the Contractor at the locations and elevations shown on the Contract Drawings or specified by the Engineer.

Reference points, baselines, stakes and benchmarks for borrow pits shall be established by the Contractor.

Permanent survey marker locations shall be established and referenced by the Contractor.

The Contractor shall be responsible for the accuracy of his work and shall maintain all reference points, stakes, etc., throughout the life of the work. Damaged or destroyed points, benchmarks or stakes, or any reference points made inaccessible by the progress of the construction, shall be replaced or transferred by the Contractor. Any of the above points which may be destroyed or damaged shall be transferred by the Contractor before they are damaged or destroyed. All control points shall be referenced by ties to acceptable objects and recorded. Any alterations or revisions in the ties shall be so noted and the information furnished to the Engineer immediately. All stakeout survey work shall be referenced to the centerlines shown on the Contract Drawings. All computations necessary to establish the exact position of the work from control points shall be made and preserved by the Contractor. All computations, survey notes and other records necessary to accomplish the work, shall be neatly made. Such computations, survey notes and other records shall be made available to the Engineer upon request and shall become the property of the Owner and delivered to the Engineer not later than the date of acceptance of the Contract.

The Contractor shall furnish, at his expense, all horizontal and vertical control, all staking and layout of construction work called for on the plans and the Engineer and Owner shall not be responsible for such work. However, the Owner and Engineer reserve the right to check all said lines, grades, and measurements with their appointed surveyor. Should the Owner's surveyor detect errors in said lines, grades, and measurements, the Contractor shall pay for all said surveying costs and subsequent surveying costs performed to verify correction of errors found in said lines, grades and measurements. Included in this are all blue top staking for subgrade and base course installation. Definition of an error shall be a discrepancy of 1/4" or more. In the case of a discrepancy between the technical specifications and this defined tolerance, this tolerance shall govern.

Prior to the final cross-section survey of the work by the Contractor, the Contractor shall reestablish centerline or baseline points and stationing as required by the Engineer.

Prior to the final cross-section survey of any borrow pits, the Contractor shall reestablish the baseline points and stationing, as well as any necessary benchmarks as required by the Engineer.

During the progress of the construction work, the Contractor will be required to furnish all of the surveying and stakeout incidental to the proper location by line and grade for each phase of the work. For paving and any other operation requiring extreme accuracy, the Contractor will restake with pins or other acceptable hubs located directly adjacent to the work at a spacing directed by the Engineer.

Any existing stakes, iron pins, survey monuments or other markers defining property lines which may be disturbed during construction shall be properly tied into fixed reference points before being disturbed and accurately reset in their proper position upon completion of the work.

Just prior to completion of the work, the Contractor shall reestablish, if necessary, and retie all control points as permanently as possible and to the satisfaction of the Engineer.

104-3.2 The Contractor shall be required to submit cross sectional data to the Engineer at monthly intervals prior to the Contractor submittal of the monthly application for payment so that the Engineer can verify the quantities of various earthwork and materials volumes for payment. All cross sectional data provided at any time will be in AutoCad 2000 or higher format ~~only~~ and CSV files provided. No other formats will be accepted. If the data is submitted in another format other than AutoCad, no earthwork or other materials volumes will be calculated and approved for payment. The earthwork shall include, but not be limited to, unclassified excavation, embankment, new or existing subbase courses, new or existing base courses, sand/asphalt subgrade, topsoil, etc.

METHOD OF MEASUREMENT

104-4.1 Payment will be made at the lump sum price bid for this item.

BASIS OF PAYMENT

104-5.1 The lump sum price bid shall include the cost of furnishing all labor, equipment, instruments and all other material necessary to satisfactorily complete the work's surveying and stakeout. Partial payments will be made at the discretion of the Engineer as the work progresses based generally on the percentage of actual work completed compared to the total construction cost.

Payment will be made under:

Item P-104-5.1	Survey and Stakeout - Per Lump Sum.
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TESTING REQUIREMENTS

104-6.1 None.

END OF ITEM P-104

ITEM P-156 TEMPORARY AIR AND WATER POLLUTION, SOIL EROSION, AND SILTATION CONTROL

DESCRIPTION

156-1.1 This item shall consist of temporary control measures as shown on the plans or as ordered by the Engineer during the life of a contract to control water pollution, soil erosion, and siltation through the use of silt fences, berms, dikes, dams, sediment basins, fiber mats, gravel, mulches, grasses, slope drains, and other erosion control devices or methods.

The temporary erosion control measures contained herein shall be coordinated with the permanent erosion control measures specified as part of this contract to the extent practical to assure economical, effective, and continuous erosion control throughout the construction period.

Temporary control may include work outside the construction limits such as borrow pit operations, equipment and material storage sites, waste areas, and temporary plant sites.

Temporary control measures shall be design, installed and maintained to minimize the creation of wildlife attractants that have the potential to attract hazardous wildlife on or near public-use airports.

156-1.2 Any permits which the Owner has obtained for any purpose such as NPDES, SPCC, etc., does not include nor cover the Contractor's haul routes, equipment access points, staging areas, office compounds, materials stockpiles, blending and batch plant areas and operations or other project related activity areas outside the project limits or off site.

156-1.3 The Contractor shall prepare all required documentation, pay all fees and perform all services and work necessary to obtain all permits and approvals from any and all local, state and federal regulatory agencies for the Contractor's staging, stockpile, blending and batch plant areas and operations. The cost of all permitting shall be subsidiary to other items of work.

156-1.4 The Contractor shall develop a Pollution Prevention Plan to supplement the Owner's Stormwater Pollution Prevention Plan (SWPPP) as contained in the drawings. The plan shall be in strict compliance with the National Pollutant Discharge Elimination System (NPDES) permit issued or approved by the U.S. Environmental Protection Agency (EPA) pursuant to 40 CFR Part 122.6. The Plan shall address all measures to dispose of, control, or prevent the discharge of solid, hazardous and sanitary wastes to the waters of the U.S. The plan shall include procedures to control offsite tracking of soil by vehicles and construction equipment and procedures for cleanup and reporting of non-storm water discharges such as contaminated groundwater or accidental spills.

The Contractor shall also be required to submit a written documentation that all required permits have been obtained to the Engineer prior to start up of construction activities.

MATERIALS

156-2.1 Grass. Grass that will not compete with the grasses sown later for permanent cover per Item T-901 shall be a quick-growing species (such as ryegrass, Italian ryegrass, or cereal grasses) suitable to the area providing a temporary cover. Selected grass species shall not create a wildlife attractant. Expressly prohibited from use at all times is Millet seed in any combination or percentage with other seeds.

156-2.2 Mulches. Mulches may be hay, straw, fiber mats, netting, bark, wood chips, or other suitable material reasonably clean and free of noxious weeds and deleterious materials per Item T-908. Mulches shall not create a wildlife attractant.

156-2.3 Fertilizer. Fertilizer shall be a standard commercial grade and shall conform to all Federal and state regulations and to the standards of the Association of Official Agricultural Chemists.

156-2.4 Slope drains. Slope drains may be constructed of pipe, fiber mats, rubble, Portland cement concrete, bituminous concrete, or other materials that will adequately control erosion.

156-2.5 Silt fence. The silt fence shall consist of polymeric filaments which are formed into a stable network such that filaments retain their relative positions. Synthetic filter fabric shall contain ultraviolet ray inhibitors and stabilizers to provide a minimum of six months of expected usable construction life. Silt fence shall meet the requirements of ASTM D6461.

156-2.6 Other. All other materials shall meet commercial grade standards and shall be approved by the Engineer before being incorporated into the project.

156-2.7 Soil Stabilization Mat. Soil Stabilization mat as specified in the plans shall be installed at the locations called for and shall be paid for by the square yard and shall include all materials, equipment, preparation, excavation, placing of materials and for all equipment, tools and incidentals necessary to complete the installation.

156-2.8 Open Burning of Combustible Wastes. The following requirements shall govern open burning of combustible wastes on airport property:

- a. No tires, oils, asphalt, paint, or coated metals will be permitted to be burned at any time.
- b. Burning will not be permitted within 1,000 feet of a residential or built-up area or within 100 feet of standing timber or flammable growth.
- c. Burning will not be permitted unless the prevailing wind is away from any nearby town or built-up area.
- d. Burning will not be permitted during a local air inversion or other climatic condition as would result in a pall of smoke over a nearby town or built-up area.
- e. Burning will not be permitted when the danger of brush or forest fires is made known by State, local or Federal officials.
- f. No open pile burning will be allowed at any time.
- g. Burning shall be authorized only when the proposed process for burning is submitted to the Owner and Engineer prior to bid opening and the process is approved by the Owner. The submittal for the burning process shall include the mechanical system proposed, temperatures, smoke discharge levels expected, and any other requirement that the process may be inherent to the process.
- h. If burning is not allowed, all debris including combustible wastes will be removed from the airport and disposed of off-airport at a location acceptable to the Owner.

CONSTRUCTION REQUIREMENTS

156-3.1 General. In the event of conflict between these requirements and pollution control laws, rules, or regulations of other Federal, state, or local agencies, the more restrictive laws, rules, or regulations shall apply.

The Engineer shall be responsible for assuring compliance to the extent that construction practices, construction operations, and construction work are involved.

156-3.2 Schedule. Prior to the start of construction, the Contractor shall submit a Pollution Control Plan including schedules for accomplishment of temporary and permanent erosion control work for clearing and grubbing; grading; construction; paving; and structures at watercourses. The Contractor shall also submit a proposed method of erosion and dust control on haul roads and borrow pits and a plan for disposal of waste materials. Work shall not be started until the erosion control schedules and methods of operation for the applicable construction have been accepted by the Engineer.

156-3.3 Construction details. The Contractor will be required to incorporate all permanent erosion control features into the project at the earliest practicable time as outlined in the accepted schedule. Except where future construction operations will damage slopes, the Contractor shall perform the permanent seeding and mulching and other specified slope protection work in stages, as soon as substantial areas of exposed slopes can be made available. Temporary erosion and pollution control measures will be used to correct conditions that develop during construction that were not foreseen during the design stage; that are needed prior to installation of permanent control features; or that are needed temporarily to control erosion that develops during normal construction practices, but are not associated with permanent control features on the project.

Where erosion may be a problem, clearing and grubbing operations should be scheduled and performed so that grading operations and permanent erosion control features can follow immediately if project conditions permit; otherwise, temporary erosion control measures may be required.

The Engineer shall limit the area of clearing and grubbing, excavation, borrow, and embankment operations in progress, commensurate with the Contractor's capability and progress in keeping the finish grading, mulching, seeding, and other such permanent control measures current with the accepted schedule. If seasonal limitations make such coordination unrealistic, temporary erosion control measures shall be taken immediately to the extent feasible and justified as directed by the Engineer.

The Contractor shall provide immediate permanent or temporary pollution control measures to minimize contamination of adjacent streams or other watercourses, lakes, ponds, or other areas of water impoundment as directed by the Engineer. If temporary erosion and pollution control measures are required due to the Contractor's negligence, carelessness, or failure to install permanent controls as a part of the work as scheduled or directed by the Engineer, the work shall be performed by the Contractor and the cost shall be incidental to this item.

The Engineer may increase or decrease the area of erodible earth material that can be exposed at any time based on an analysis of project conditions.

The erosion control features installed by the Contractor shall be acceptably maintained by the Contractor during the construction period.

Whenever construction equipment must cross watercourses at frequent intervals, temporary structures should be provided.

Pollutants such as fuels, lubricants, bitumen, raw sewage, wash water from concrete mixing operations, and other harmful materials shall not be discharged into any waterways, impoundments or into natural or manmade channels.

The Contractor shall provide equipment wash out areas and these areas will be so constructed and protected to not allow any discharge of silt, fuels, lubricants and other harmful materials into nearby impoundments, ponds or surface water drainage systems.

The Contractor shall periodically inspect the pollution control features at the intervals stated in the approved Pollution Control Plan, and immediately after each rainfall and at least daily during prolonged

rainfall and immediately correct any deficiencies. The Contractor shall review the location of pollution control features for effectiveness. If deficiencies exist, the Contractor shall correct as directed by the Engineer.

Remove sediment deposits when the deposit reaches approximately 1/3 of the volume capacity of the sediment control feature, or as otherwise required. Remove all sediment deposits when the sediment control feature is removed. Grade and dress area to restore to preconstruction condition or finish grade as called for on the plans.

Operate and maintain turbidity barriers as required by permit to contain turbidity that may occur as a result of construction operations.

In compliance with the General Provisions Section 50, Control of Work, the Contractor shall continuously maintain permanent and temporary pollution control features. Maintenance shall include periodic watering and mowing of grassed areas. There shall be no additional or separate compensation paid to the Contractor for such work.

If construction is suspended, the Contractor shall inspect, maintain and operate temporary and permanent pollution control features during such suspension. If suspension is part of the project phasing and sequencing plan, or if the suspension is requested by the Contractor, the Contractor shall not be paid additional or separate compensation for the Contractor to inspect, maintain and operate the pollution control facilities.

The Contractor is also responsible for the removal of all temporary erosion/pollution control facilities and the restoration of those sites. This work will include the repair of any trenching for silt fence, removal of all silt build-up, the removal of fencing, barriers and silt bales and the associated stakes and appurtenances, and the placing of seeding or sodding to restore those sites. All inlets, catch basins and manholes constructed for this project shall be cleaned and the new drainage pipes flushed. All materials taken from the facilities or flushed from the new piping system shall be collected by the Contractor and disposed of off site.

156-3.4 Installation, maintenance and removal of silt fences. Silt fences shall extend a minimum of 16 inches (41 cm) and a maximum of 34 inches (86 cm) above the ground surface. Posts shall be set no more than 10 feet (3 m) on center. Filter fabric shall be cut from a continuous roll to the length required minimizing joints where possible. When joints are necessary, the fabric shall be spliced at a support post with a minimum 12-inch (300-mm) overlap and securely sealed. A trench shall be excavated approximately 4 inches (100 mm) deep by 4 inches (100 mm) wide on the upslope side of the silt fence. The trench shall be backfilled and the soil compacted over the silt fence fabric. The Contractor shall remove and dispose of silt that accumulates during construction and prior to establishment of permanent erosion control. The fence shall be maintained in good working condition until permanent erosion control is established. Silt fence shall be removed upon approval of the Engineer.

METHOD OF MEASUREMENT

156-4.1 Temporary erosion and pollution control work required will be performed as scheduled or directed by the Engineer. Completed and accepted work will be measured as follows:

- ~~a. Temporary seeding and mulching will be measured by the square yard (square meter).~~
- ~~b. Temporary slope drains will be measured by the linear foot (meter).~~

~~c. Temporary benches, dikes, dams, and sediment basins will be measured by the cubic yard (cubic meter) of excavation performed, including necessary cleaning of sediment basins, and the cubic yard (cubic meter) of embankment placed as directed by the Engineer.~~

d. All fertilizing will be measured by the ton (kg).

~~e. Erosion and sedimentation control will be measured by the lump sum.~~

f. Installation and removal of silt fence will be measured by the linear foot.

g. Inlet and outlet protection will be measured by each.

~~h. Soil stabilization mat will be measured by the square yard.~~

156-4.2 Control work performed for protection of construction areas outside the construction limits, such as borrow and waste areas, haul roads, equipment and material storage sites, and temporary plant sites, will not be measured and paid for directly but shall be considered as a subsidiary obligation of the Contractor.

BASIS OF PAYMENT

156-5.1 Accepted quantities of temporary water pollution, soil erosion, and siltation control work ordered by the Engineer and measured as provided in paragraph 156-4.1 will be paid for under:

Item P-156-5.1a ——— Temporary seeding and mulching -- per square yard (square meter)

Item P-156-5.1b ——— Temporary slope drains -- per linear foot (meter)

Item P-156-5.1c ——— Temporary benches, dikes, dams and sediment basins -- per cubic yard (cubic meter)

Item P-156-5.1d ——— Fertilizing -- per ton (kg)

Item P-156-5.1f ——— Installation and removal of silt fence – per linear feet (meter)

Item P-156-5.1g ——— Inlet and Outlet Protection -- Per Each

~~Item P-156-5.1h ——— Soil Stabilization Mat -- Per Square Yard~~

~~Item P-156-5.1 ——— Erosion and Sedimentation Control -- Per Lump Sum~~

Where other directed work falls within the specifications for a work item that has a contract price, the units of work shall be measured and paid for at the contract unit price bid for the various items.

Temporary control features not covered by contract items that are ordered by the Engineer will be paid for in accordance with Section 90-05 Payment for Extra work.

MATERIAL REQUIREMENTS

ASTM D6461 Standard Specification for Silt Fence Materials

AC 150/5200-33

Hazardous Wildlife Attractants

END OF ITEM P-156

ITEM F-162 CHAIN-LINK FENCE

DESCRIPTION

162-1.1 This item shall consist of furnishing and erecting a chain-link fence in accordance with these specifications, the details shown on the plans, and in conformity with the lines and grades shown on the plans or established by the Engineer.

MATERIALS

162-2.1 Fabric. [The fabric shall be woven with a 9-gauge [galvanized steel wire] [~~polyvinyl chloride (PVC)-coated steel~~] [~~aluminum alloy~~] [~~zinc-5% aluminum mischmetal~~] wire in a 2-inch (50 mm) mesh and shall meet the requirements of [ASTM A 121].] [~~The fabric shall be woven from a [~~—~~] gauge aluminum-coated steel wire in a 2-inch (50 mm) mesh and shall conform to the requirements of ASTM A491.—~~]

162-2.2 Barbed wire. Barbed wire shall be 2-strand 12-1/2 gauge [zinc-coated] [~~aluminum-coated~~] wire with 4-point barbs and shall conform to the requirements of [ASTM A 121, CLASS 3, CHAIN LINK FENCE GRADE].

162-2.3 Posts, rails, and braces. Line posts, rails, and braces shall conform to the requirements of ASTM F1043 or ASTM F1083 as follows:

Galvanized tubular steel pipe shall conform to the requirements of Group IA, (Schedule 40) coatings conforming to Type A, or Group IC (High Strength Pipe), External coating Type B, and internal coating Type B or D.

Roll Formed Steel Shapes (C-Sections) shall conform to the requirements of Group IIA, and be galvanized in accordance with the requirements of ASTM F1043, Type A.

Hot-Rolled Shapes (H Beams) shall meet the requirements of Group III, and be galvanized in accordance with the requirements of ASTM F1043, Type A.

Aluminum Pipe shall conform to the requirements of Group IB.

Aluminum Shapes shall conform to the requirements of Group IIB.

Vinyl or polyester coated steel shall conform to the requirements of ASTM F1043, Paragraph 7.3, Optional Supplemental Color Coating.

Composite posts shall conform to the strength requirements of ASTM F1043 or ASTM F1083. The strength loss of composite posts shall not exceed 10% when subjected to 3,600 hours of exposure to light and water in accordance with ASTM G152, ASTM G153, ASTM G154, and ASTM G155.

Posts, rails, and braces furnished for use in conjunction with aluminum alloy fabric shall be aluminum alloy or composite.

Posts, rails, and braces, with the exception of galvanized steel conforming to ASTM F1043 or ASTM F1083, Group 1A, Type A, or aluminum alloy, shall demonstrate the ability to withstand testing in salt spray in accordance with ASTM B117 as follows:

- External: 1,000 hours with a maximum of 5% red rust.
- Internal: 650 hours with a maximum of 5% red rust.

The dimensions of the posts, rails, and braces shall be in accordance with Tables I through VI of Federal Specification RR-F-191/3.

162-2.4 Gates. Gate frames shall consist of [galvanized steel pipe] [~~polymer-coated steel pipe~~] [~~aluminum alloy pipe~~] [~~composite posts~~] and shall conform to the specifications for the same material under paragraph 162-2.3. The fabric shall be of the same type material as used in the fence.

162-2.5 Wire ties and tension wires. Wire ties for use in conjunction with a given type of fabric shall be of the same material and coating weight identified with the fabric type. Tension wire shall be 7-gauge marcelled steel wire with the same coating as the fabric type and shall conform to ASTM A824. All material shall conform to Federal Specification RR-F-191/4.

162-2.6 Miscellaneous fittings and hardware. Miscellaneous steel fittings and hardware for use with [zinc-coated] [~~aluminum-coated~~] [~~zinc-5% aluminum-mischmetal alloy-coated~~] steel fabric shall be of commercial grade steel or better quality, wrought or cast as appropriate to the article, and sufficient in strength to provide a balanced design when used in conjunction with fabric posts, and wires of the quality specified herein. [All steel fittings and hardware shall be protected with a zinc coating applied in conformance with ASTM A153.] [~~Miscellaneous aluminum fittings for use with aluminum alloy fabric shall be wrought or cast aluminum alloy.~~] Barbed wire support arms shall withstand a load of 250 pounds (113 kg) applied vertically to the outermost end of the arm.

162-2.7 Concrete. Concrete shall be of a commercial grade with a minimum 28-day compressive strength of 2500 psi (17 240 kPa) meeting the requirements of P-610 Structural Portland Cement Concrete.

162-2.8 Marking. Each roll of fabric shall carry a tag showing the kind of base metal (steel, aluminum, or aluminum alloy number), kind of coating, the gauge of the wire, the length of fencing in the roll, and the name of the manufacturer. Posts, wire, and other fittings shall be identified as to manufacturer, kind of base metal (steel, aluminum, or aluminum alloy number), and kind of coating.

162-2.9 POST CAPS. All posts shall have post caps installed on top to prevent moisture from entering through the top of the post. The post caps shall meet the requirements of paragraph 162-2.6 and shall be of the size such that when the post cap is installed over the top of the fence top, it will fit securely and not be loose. The post caps shall have at least the industry standard side depth.

CONSTRUCTION METHODS

162-3.1 Clearing fence line. All trees, brush, stumps, logs, and other debris which would interfere with the proper construction of the fence in the required location shall be removed a minimum width of 5 feet (1.5 m) on each side of the fence centerline before starting fencing operations. The cost of removing and disposing of the material shall not constitute a pay item and shall be considered incidental to fence construction.

162-3.2 Installing posts. All posts shall be set in concrete at the required dimension and depth and at the spacing shown on the plans.

The concrete shall be thoroughly compacted around the posts by tamping or vibrating and shall have a smooth finish slightly higher than the ground and sloped to drain away from the posts. All posts shall be set plumb and to the required grade and alignment. No materials shall be installed on the posts, nor shall the posts be disturbed in any manner within seven (7) days after the individual post footing is completed.

Should rock be encountered at a depth less than the planned footing depth, a hole 2 inches (50 mm) larger than the greatest dimension of the posts shall be drilled to a depth of 12 inches (300 mm). After the posts are set, the remainder of the drilled hole shall be filled with grout, composed of one part Portland

cement and two parts mortar sand. Any remaining space above the rock shall be filled with concrete in the manner described above.

In lieu of drilling, the rock may be excavated to the required footing depth. No extra compensation shall be made for rock excavation.

162-3.3 Installing top rails. The top rail shall be continuous and shall pass through the post tops. The coupling used to join the top rail lengths shall allow for expansion.

162-3.4 Installing braces. Horizontal brace rails, with diagonal truss rods and turnbuckles, shall be installed at all terminal posts.

162-3.5 Installing fabric. The wire fabric shall be firmly attached to the posts and braced as shown on the plans. All wire shall be stretched taut and shall be installed to the required elevations. The fence shall generally follow the contour of the ground, with the bottom of the fence fabric no less than one inch (25 mm) or more than 4 inches (100 mm) from the ground surface. Grading shall be performed where necessary to provide a neat appearance.

At locations of small natural swales or drainage ditches and where it is not practical to have the fence conform to the general contour of the ground surface, longer posts may be used and multiple strands of barbed wire stretched to span the opening below the fence. The vertical clearance between strands of barbed wire shall be 6 inches (150 mm) or less.

162-3.6 Electrical grounds. ~~Electrical grounds shall be constructed [where a power line passes over the fence] [at 500 foot (150 m) intervals]. [The ground shall be installed directly below the point of crossing.]~~ The ground shall be accomplished with a copper clad rod 8 feet (2.4 m) long and a minimum of 5/8 inches (16 mm) in diameter driven vertically until the top is 6 inches (150 mm) below the ground surface. A No. 6 solid copper conductor shall be clamped to the rod and to the fence in such a manner that each element of the fence is grounded. Installation of ground rods shall not constitute a pay item and shall be considered incidental to fence construction. The Contractor shall comply with FAA-STD-019, Lightning and Surge Protection, Grounding, Bonding and Shielding Requirements for Facilities and Electronic Equipment, Paragraph 4.2.3.8, Lightning Protection for Fences and Gates, when fencing is adjacent to FAA facilities.

162-3.7 Cleaning up. The Contractor shall remove from the vicinity of the completed work all tools, buildings, equipment, etc., used during construction. All disturbed areas shall be seeded per T-901.

METHOD OF MEASUREMENT

162-4.1 Chain-link fence will be measured for payment by the linear foot (meter). Measurement will be along the top of the fence from center to center of end posts, excluding the length occupied by gate openings.

162-4.2 Gates will be measured as complete units.

BASIS OF PAYMENT

162-5.1 Payment for chain-link fence will be made at the contract unit price per linear foot (meter).

162-5.2 Payment for vehicle or pedestrian gates will be made at the contract unit price for each gate. The price shall be full compensation for furnishing all materials, and for all preparation, erection, and installation of these materials, and for all labor equipment, tools, and incidentals necessary to complete the item.

Payment will be made under:

Item F-162-5.1	Chain-Link Fence 6'- per linear foot (meter)
Item F-162-5.2a	Vehicle Gates Vertical Pivot Gate - per each
Item F-162-5.2b	Pedestrian Gates - per each
Item F-162-5.3	Fence Demolition -- Per Linear Foot
Item F-162-5.4	Electric Slide Gate Demolition -- Per Each
Item F-162-5.5	Pedestrian Gate Demolition -- Per Each

MATERIAL REQUIREMENTS

ASTM A121	Standard Specification for Metallic-Coated Carbon Steel Barbed Wire
ASTM A123	Standard Specification for Zinc (Hot Dip Galvanized) Coatings on Iron and Steel Products
ASTM A153	Standard Specification for Zinc Coating (Hot-Dip) on Iron and Steel Hardware
ASTM A392	Standard Specification for Zinc-Coated Steel Chain-Link Fence Fabric
ASTM A491	Standard Specification for Aluminum-Coated Steel Chain-Link Fence Fabric
ASTM A572	Standard Specification for High-Strength Low-Alloy Columbium-Vanadium Structural Steel
ASTM A653	Standard Specification for Steel Sheet, Zinc-Coated (Galvanized) or Zinc-Iron Alloy-Coated (Galvannealed) by the Hot-Dip Process
ASTM A824	Standard Specification for Metallic-Coated Steel Marcellled Tension Wire for Use With Chain Link Fence
ASTM A1011	Standard Specification for Steel, Sheet and Strip, Hot-Rolled, Carbon, Structural, High-Strength Low-Alloy, High Strength Low Alloy with Improved Formability, and Ultra High Strength
ASTM B117	Standard Practice for Operating Salt Spray (Fog) Apparatus
ASTM B221	Standard Specification for Aluminum and Aluminum Alloy Extruded Bars, Rods, Wire, Profiles and Tubes
ASTM B429	Standard Specification for Aluminum-Alloy Extruded Structural Pipe and Tube
ASTM F668	Standard Specification for Polyvinyl Chloride(PVC), Polyolefin and other Organic Polymer Coated Steel Chain-Link Fence Fabric
ASTM F1043	Standard Specification for Strength and Protective Coatings on Steel Industrial Fence Framework
ASTM F1083	Standard Specification for Pipe, Steel, Hot-Dipped Zinc-Coated (Galvanized) Welded, for Fence Structures

ASTM F1183	Standard Specification for Aluminum Alloy Chain Link Fence Fabric
ASTM F1345	Standard Specification for Zinc 5% Aluminum-Mischmetal Alloy Coated Steel Chain-Link Fence Fabric
ASTM G152	Standard Practice for Operating Open Flame Carbon Arc Light Apparatus for Exposure of Nonmetallic Materials
ASTM G153	Standard Practice for Operating Enclosed Carbon Arc Light Apparatus for Exposure of Nonmetallic Materials
ASTM G154	Standard Practice for Operating Fluorescent Ultraviolet (UV) Lamp Apparatus for Exposure of Nonmetallic Materials
ASTM G155	Standard Practice for Operating Xenon Arc Light Apparatus for Exposure of Nonmetallic Materials
FED SPEC RR-F-191/3	Fencing, Wire and Post, Metal (Chain-Link Fence Posts, Top Rails and Braces)
FED SPEC RR-F-191/4	Fencing, Wire and Post, Metal (Chain-Link Fence Accessories)
FAA-STD-019	Lightning and Surge Protection, Grounding, Bonding and Shielding Requirements for Facilities and Electronic Equipment

END OF ITEM F-162

ITEM L-110 AIRPORT UNDERGROUND ELECTRICAL DUCT BANKS AND CONDUITS

DESCRIPTION

110-1.1 This item shall consist of underground electrical conduits and duct banks (single or multiple conduits encased in concrete or buried in sand) installed per this specification at the locations and per the dimensions, designs, and details shown on the plans. This item shall include furnishing and installing of all underground electrical duct banks and individual and multiple underground conduits. It shall also include all turfing trenching, backfilling, removal, and restoration of any paved or turfed areas; counterpoise wire, concrete encasement, mandrelling, pulling lines, duct markers, plugging of conduits, and the testing of the installation as a completed system ready for installation of cables per the plans and specifications. This item shall also include furnishing and installing conduits and all incidentals for providing positive drainage of the system. Verification of existing ducts is incidental to the pay items provided in this specification.

EQUIPMENT AND MATERIALS

110-2.1 General.

a. All equipment and materials covered by referenced specifications shall be subject to acceptance through manufacturer's certification of compliance with the applicable specification when requested by the Engineer.

b. Manufacturer's certifications shall not relieve the Contractor of the responsibility to provide [materials](#) per these specifications and acceptable to the Engineer. Materials supplied and/or installed that do not comply with these specifications shall be removed, when directed by the Engineer and replaced with materials, that comply with these specifications, at the Contractor's cost.

c. All materials and equipment used to construct this item shall be submitted to the Engineer for approval prior to ordering the equipment. Submittals consisting of marked catalog sheets or shop drawings shall be provided. Submittal data shall be presented in a clear, precise and thorough manner. Original catalog sheets are preferred. Photocopies are acceptable provided they are as good a quality as the original. Clearly and boldly mark each copy to identify products or models applicable to this project. Indicate all optional equipment and delete non-pertinent data. Submittals for components of electrical equipment and systems shall identify the equipment for which they apply on each submittal sheet. Markings shall be made bold and clear with arrows or circles (highlighting is not acceptable). The Contractor is solely responsible for delays in project that accrue directly or indirectly from late submissions or resubmissions of submittals.

d. The data submitted shall be sufficient, in the opinion of the Engineer, to determine compliance with the plans and specifications. [The Contractor's submittals shall be neatly bound in a properly sized 3-ring binder, tabbed by specification section.] The Contractor's submittals shall be submitted to the Engineer within fifteen (15) days of the notice to proceed. The Engineer reserves the right to reject any and all equipment, materials or procedures that do not meet the system design and the standards and codes specified in this document.

e. All equipment and materials furnished and installed under this section shall be guaranteed against defects in materials and workmanship for a period of at least [twelve (12) months] from final acceptance by the Owner. The defective materials and/or equipment shall be repaired or replaced, at the Owner's discretion, with no additional cost to the Owner.

110-2.2 Steel conduit. Rigid galvanized steel (RGS) conduit and fittings shall be hot dipped galvanized inside and out and conform to the requirements of Underwriters Laboratories Standards 6, 514B, and

1242. All RGS conduits or RGS elbows installed below grade, in concrete, permanently wet locations or other similar environments shall be painted with a 10 mil thick coat of asphaltum sealer or shall have a factory bonded polyvinyl chloride (PVC) cover. Any exposed galvanizing or steel shall be coated with 10 mil of asphaltum sealer. When using PVC coated RGS conduit, care shall be exercised not to damage the factory PVC coating. Damaged PVC coating shall be repaired per the manufacturer's written instructions.

110-2.3 Plastic conduit. Plastic conduit and fittings shall conform to the following requirements:

- UL 514B covers W-C-1094-Conduit fittings all types, classes 1 thru 3 and 6 thru 10.
- UL 514C covers W-C-1094- all types, Class 5 junction box and cover in plastic (PVC).
- UL 651 covers W-C-1094-Rigid PVC Conduit, types I and II, Class 4.
- UL 651A covers W-C-1094-Rigid PVC Conduit and high density polyethylene (HDPE) Conduit type III and Class 4.

Underwriters Laboratories Standards UL-651 and Article 352 of the current National Electrical Code shall be one of the following, as shown on the plans:

- a. Type I—Schedule 40 PVC suitable for underground use either direct-buried or encased in concrete.
- b. Type II—Schedule 40 PVC suitable for either above ground or underground use.
- c. Type III – Schedule 80 PVC suitable for either above ground or underground use either direct-buried or encased in concrete.
- d. Type III –HDPE pipe, minimum standard dimensional ratio (SDR) 11, suitable for placement with directional boring under pavement.

The type of solvent cement shall be as recommended by the conduit/fitting manufacturer.

110-2.4 Split conduit. Split conduit shall be pre-manufactured for the intended purpose and shall be made of steel or plastic.

110-2.5 Conduit spacers. Conduit spacers shall be prefabricated interlocking units manufactured for the intended purpose. They shall be of double wall construction made of high grade, high density polyethylene complete with interlocking cap and base pads, They shall be designed to accept No. 4 reinforcing bars installed vertically.

110-2.6 Concrete. Concrete shall conform to Item P-610, Structural Portland Cement Concrete, using [1] inch maximum size coarse aggregate with a minimum 28-day compressive strength of [4,000] psi. Where reinforced duct banks are specified, reinforcing steel shall conform to ASTM A615 Grade 60. Concrete and reinforcing steel are incidental to the respective pay item of which they are a component part.

110-2.7 Flowable backfill. Flowable material used to back fill conduit and duct bank trenches shall conform to the requirements of Item P-153, Controlled Low Strength Material. Fill shall be designed to achieve a 28-day compressive strength of 200 psi (1.4 MPa) under pavement.

110-2.8 Detectable warning tape. Plastic, detectable, American Wood Preservers Association (AWPA) Red (electrical power lines, cables, conduit and lighting cable) with continuous legend magnetic tape shall be polyethylene film with a metallized foil core and shall be 3-6 inches (75-150 mm) wide. Detectable tape is incidental to the respective bid item.

110-2.9 COUNTERPOISE WIRE. Counterpoise wire shall be as specified in Item L-110 Airport Underground Electrical Duct Banks and Conduits.

CONSTRUCTION METHODS

110-3.1 General. The Contractor shall install underground duct banks and conduits at the approximate locations indicated on the plans. The Engineer shall indicate specific locations as the work progresses, if required to differ from the plans. Duct banks and conduits shall be of the size, material, and type indicated on the plans or specifications. Where no size is indicated on the plans or in the specifications, conduits shall be not less than 2 inches (50 mm) inside diameter or comply with the National Electrical Code based on cable to be installed, whichever is larger. All duct bank and conduit lines shall be laid so as to grade toward access points and duct or conduit ends for drainage. Unless shown otherwise on the plans, grades shall be at least 3 inches (75 mm) per 100 feet (30 m). On runs where it is not practicable to maintain the grade all one way, the duct bank and conduit lines shall be graded from the center in both directions toward access points or conduit ends, with a drain into the storm drainage system. Pockets or traps where moisture may accumulate shall be avoided. No duct bank or underground conduit shall be less than 18 inches (0.5 m) below finished grade. Where under pavement, the top of the duct bank shall not be less than 18 inches (0.5 m) below the subgrade.

The Contractor shall mandrel each individual conduit whether the conduit is direct-buried or part of a duct bank. A flexible ~~An iron shoe~~ mandrel, not more than 1/4 inch (6 mm) smaller than the bore of the conduit shall be pulled or pushed through each conduit. The mandrel shall have a leather or rubber gasket slightly larger than the conduit hole.

The Contractor shall swab out all conduits/ducts and clean base can, manhole, pull boxes, etc., interiors IMMEDIATELY prior to pulling cable. Once cleaned and swabbed the light bases, manholes, pull boxes, etc., and all accessible points of entry to the duct/conduit system shall be kept closed except when installing cables. Cleaning of ducts, base cans, manholes, etc., is incidental to the pay item of the item being cleaned. All raceway systems left open, after initial cleaning, for any reason shall be recleaned at the Contractor's expense. All accessible points shall be kept closed when not installing cable. The Contractor shall verify existing ducts proposed for use in this project as clear and open. The Contractor shall notify the Engineer of any blockage in the existing ducts.

For pulling the permanent wiring, each individual conduit, whether the conduit is direct-buried or part of a duct bank, shall be provided with a 200 pound (90 kg) test polypropylene pull rope. The ends shall be secured and sufficient length shall be left in access points to prevent it from slipping back into the conduit. Where spare conduits are installed, as indicated on the plans, the open ends shall be plugged with removable tapered plugs, designed for this purpose.

All conduits shall be securely fastened in place during construction and shall be plugged to prevent contaminants from entering the conduits. Any conduit section having a defective joint shall not be installed. Ducts shall be supported and spaced apart using approved spacers at intervals not to exceed 5 feet (1.5 m).

Unless otherwise shown on the plans, concrete encased duct banks shall be used when crossing under pavements expected to carry aircraft loads, such as runways, taxiways, taxilanes, ramps and aprons. When under paved shoulders and other paved areas, conduit and duct banks shall be encased using flowable fill for protection.

All conduits within concrete encasement of the duct banks shall terminate with female ends for ease in current and future use. Install factory plugs in all unused ends. Do not cover the ends or plugs with concrete.

~~Where turf is well established and the sod can be removed, it shall be carefully stripped and properly stored.~~

Trenches for conduits and duct banks may be excavated manually or with mechanical trenching equipment unless in pavement, in which case they shall be excavated with mechanical trenching equipment. Walls of trenches shall be essentially vertical so that a minimum of shoulder surface is disturbed. Blades of graders shall not be used to excavate the trench.

When rock is encountered, the rock shall be removed to a depth of at least 3 inches (75 mm) below the required conduit or duct bank depth and it shall be replaced with bedding material of earth or sand containing no mineral aggregate particles that would be retained on a 1/4 inch (6 mm) sieve. Flowable backfill may alternatively be used. The Contractor shall ascertain the type of soil or rock to be excavated before bidding. All such rock removal shall be performed and paid for under Item P-152 Excavation and Embankment.

Underground electrical warning (Caution) tape shall be installed in the trench above all underground duct banks and conduits in unpaved areas. Contractor shall submit a sample of the proposed warning tape for approval by the Engineer. If not shown on the plans, the warning tape shall be located 6 inches above the duct/conduit or the counterpoise wire if present.

Joints in plastic conduit shall be prepared per the manufacturer's recommendations for the particular type of conduit. Plastic conduit shall be prepared by application of a plastic cleaner and brushing a plastic solvent on the outside of the conduit ends and on the inside of the couplings. The conduit fitting shall then be slipped together with a quick one-quarter turn twist to set the joint tightly. Where more than one conduit is placed in a single trench, or in duct banks, joints in the conduit shall be staggered a minimum of 2 feet (60 cm).

Changes in direction of runs exceeding 10 degrees, either vertical or horizontal, shall be accomplished using manufactured sweep bends.

Whether or not specifically indicated on the drawings, where the soil encountered at established duct bank grade is an unsuitable material, as determined by the Engineer, the unsuitable material shall be removed per Item P-152 and replaced with suitable material. Alternatively, additional duct bank supports that are adequate and stable shall be installed, as approved by the Engineer.

All excavation shall be unclassified and shall be considered incidental to the respective L-110 pay item of which it is a component part. Dewatering necessary for duct installation, erosion and turbidity control, per Federal, state, and local requirements is incidental to its respective pay item as a part of Item L-110. The cost of all excavation regardless of type of material encountered, shall be included in the unit price bid for the L-110 Item.

Unless otherwise specified, excavated materials that are deemed by the Engineer to be unsuitable for use in backfill or embankments shall be removed and disposed of offsite.

Any excess excavation shall be filled with suitable material approved by the Engineer and compacted per Item P-152.

It is the Contractor's responsibility to locate existing utilities within the work area prior to excavation. Where existing active cables cross proposed installations, the Contractor shall ensure that these cables are adequately protected. Where crossings are unavoidable, no splices will be allowed in the existing cables, except as specified on the plans. Installation of new cable where such crossings must occur shall proceed as follows:

a. Existing cables shall be located manually. Unearthed cables shall be inspected to assure absolutely no damage has occurred

b. Trenching, etc., in cable areas shall then proceed with approval of the Engineer, with care taken to minimize possible damage or disruption of existing cable, including careful backfilling in area of cable.

In the event that any previously identified cable is damaged during the course of construction, the Contractor shall be responsible for the complete repair.

110-3.2 Duct banks. Unless otherwise shown in the plans, duct banks shall be installed so that the top of the concrete envelope is not less than 18 inches (0.5 m) below the bottom of the base or stabilized base course layers where installed under runways, taxiways, aprons, or other paved areas, and not less than 18 inches (0.5 m) below finished grade where installed in unpaved areas.

Unless otherwise shown on the plans, duct banks under paved areas shall extend at least 3 feet (1 m) beyond the edges of the pavement or 3 feet (1 m) beyond any under drains that may be installed alongside the paved area. Trenches for duct banks shall be opened the complete length before concrete is placed so that if any obstructions are encountered, provisions can be made to avoid them. Unless otherwise shown on the plans, all duct banks shall be placed on a layer of concrete not less than 3 inches (75 mm) thick prior to its initial set. The Contractor shall space the conduits not less than 3 inch (75 mm) apart (measured from outside wall to outside wall). All such multiple conduits shall be placed using conduit spacers applicable to the type of conduit. As the conduit laying progresses, concrete shall be placed around and on top of the conduits not less than 3 inches (75 mm) thick unless otherwise shown on the plans. All conduits shall terminate with female ends for ease of access in current and future use. Install factory plugs in all unused ends. Do not cover the ends or plugs with concrete.

Conduits forming the duct bank shall be installed using conduit spacers. No. 4 reinforcing bars shall be driven vertically into the soil a minimum of 6 inches (150 mm) to anchor the assembly into the earth prior to placing the concrete encasement. For this purpose, the spacers shall be fastened down with locking collars attached to the vertical bars. Spacers shall be installed at 5-foot (1.5-m) intervals. Spacers shall be in the proper sizes and configurations to fit the conduits. Locking collars and spacers shall be submitted to the Engineer for review prior to use.

When specified, the Contractor shall reinforce the bottom side and top of encasements with steel reinforcing mesh or fabric or other approved metal reinforcement. When directed, the Contractor shall supply additional supports where the ground is soft and boggy, where ducts cross under roadways, or where shown on the plans. Under such conditions, the complete duct structure shall be supported on reinforced concrete footings, piers, or piles located at approximately 5-foot (1.5-m) intervals.

All pavement surfaces that are to have ducts installed therein shall be neatly saw cut to form a vertical face. All excavation shall be included in the contract with price for the duct.

Install a plastic, detectable, color as noted, 3 to 6 inches (75 to 150 mm) wide tape, 8 inches (200 mm) minimum below grade above all underground conduit or duct lines not installed under pavement. Utilize the 3-inch (75-mm) wide tape only for single conduit runs. Utilize the 6-inch (150-mm) wide tape for multiple conduits and duct banks. For duct banks equal to or greater than 24 inches (600 mm) in width, utilize more than one tape for sufficient coverage and identification of the duct bank as required.

When existing cables are to be placed in split duct, encased in concrete, the cable shall be carefully located and exposed by hand tools. Prior to being placed in duct, the Engineer shall be notified so that he may inspect the cable and determine that it is in good condition. Where required, split duct shall be installed as shown on the drawings or as required by the Engineer.

110-3.3 Conduits without concrete encasement. Trenches for single-conduit lines shall be not less than 6 inches (150 mm) nor more than 12 inches (300 mm) wide. The trench for 2 or more conduits installed at the same level shall be proportionately wider. Trench bottoms for conduits without concrete encasement shall be made to conform accurately to grade so as to provide uniform support for the conduit along its entire length.

Unless otherwise shown on the plans, a layer of fine earth material, at least 4 inches (100 mm) thick (loose measurement) shall be placed in the bottom of the trench as bedding for the conduit. The bedding material shall consist of soft dirt, sand or other fine fill, and it shall contain no particles that would be

retained on a 1/4 inch (6 mm) sieve. The bedding material shall be tamped until firm. Flowable backfill may alternatively be used.

Unless otherwise shown on plans, conduits shall be installed so that the tops of all conduits within the Airport's secured area where trespassing is prohibited are at least 18 inches (0.5 m) below the finished grade. Conduits outside the Airport's secured area shall be installed so that the tops of the conduits are at least 24 inches (60 cm) below the finished grade per National Electric Code (NEC), Table 300.5.

When two or more individual conduits intended to carry conductors of equivalent voltage insulation rating are installed in the same trench without concrete encasement, they shall be spaced not less than 3 inches (75 mm) apart (measured from outside wall to outside wall) in a horizontal direction and not less than 6 inches (150 mm) apart in a vertical direction. Where two or more individual conduits intended to carry conductors of differing voltage insulation rating are installed in the same trench without concrete encasement, they shall be placed not less than 3 inches (75 mm) apart (measured from outside wall to outside wall) in a horizontal direction and not less than 6 inches (150 mm) apart in a vertical direction.

Trenches shall be opened the complete length between normal termination points before conduit is installed so that if any unforeseen obstructions are encountered, proper provisions can be made to avoid them.

Conduits shall be installed using conduit spacers. No. 4 reinforcing bars shall be driven vertically into the soil a minimum of 6 inches (150 mm) to anchor the assembly into the earth while backfilling. For this purpose, the spacers shall be fastened down with locking collars attached to the vertical bars. Spacers shall be installed at 5-foot (1.5-m) intervals. Spacers shall be in the proper sizes and configurations to fit the conduits. Locking collars and spacers shall be submitted to the Engineer for review prior to use.

110-3.4 Markers. The location of each end and of each change of direction of conduits and duct banks shall be marked by a concrete slab marker 2 feet (60 cm) square and 4 - 6 inches (100 - 150 mm) thick extending approximately one inch (25 mm) above the surface. The markers shall also be located directly above the ends of all conduits or duct banks, except where they terminate in a junction/access structure or building. Each cable or duct run from a line of lights and signs to the equipment vault must be marked at approximately every 200 feet (61 m) along the cable or duct run, with an additional marker at each change of direction of cable or duct run.

The Contractor shall impress the word "DUCT" or "CONDUIT" on each marker slab. Impression of letters shall be done in a manner, approved by the Engineer, for a neat, professional appearance. All letters and words must be neatly stenciled. After placement, all markers shall be given one coat of high-visibility orange paint, as approved by the Engineer. The Contractor shall also impress on the slab the number and size of conduits beneath the marker along with all other necessary information as determined by the Engineer. The letters shall be 4 inches (100 mm) high and 3 inches (75 mm) wide with width of stroke 1/2 inch (12 mm) and 1/4 inch (6 mm) deep or as large as the available space permits. Furnishing and installation of duct markers is incidental to the respective duct pay item.

110-3.5 Backfilling for conduits. For conduits, 8 inches (200 mm) of sand, soft earth, or other fine fill (loose measurement) shall be placed around the conduits ducts and carefully tamped around and over them with hand tampers. The remaining trench shall then be backfilled and compacted per Item P-152 "Excavation and Embankment" except that material used for back fill shall be select material not larger than 4 inches (100 mm) in diameter.

Flowable backfill may alternatively be used.

Trenches shall not contain pools of water during back filling operations.

The trench shall be completely backfilled and tamped level with the adjacent surface; except that, where sod is to be placed over the trench, the backfilling shall be stopped at a depth equal to the thickness of the sod to be used, with proper allowance for settlement.

Any excess excavated material shall be removed and disposed of per instructions issued by the Engineer.

110-3.6 Backfilling for duct banks. After the concrete has cured, the remaining trench shall be backfilled and compacted per Item P-152 "Excavation and Embankment" except that the material used for backfill shall be select material not larger than 4 inches (100 mm) in diameter. In addition to the requirements of P-152, where duct banks are installed under pavement, one moisture/density test per lift shall be made for each 250 linear feet (76 m) of duct bank or one work period's construction, whichever is less.

Flowable backfill may alternatively be used.

Trenches shall not contain pools of water during backfilling operations.

The trench shall be completely backfilled and tamped level with the adjacent surface; except that, where sod is to be placed over the trench, the backfilling shall be stopped at a depth equal to the thickness of the sod to be used, with proper allowance for settlement.

Any excess excavated material shall be removed and disposed of per instructions issued by the Engineer.

110-3.7 Restoration. Where sod has been removed, it shall be replaced as soon as possible after the backfilling is completed. All areas disturbed by the work shall be restored to its original condition. The restoration shall include [sodding] ~~[topsoiling]~~ ~~[fertilizing]~~ ~~[liming]~~ [seeding] ~~[sprigging]~~ [mulching] as shown on the plans. Refer to specifications T-901 Seeding, T-904 Sodding and T-908 Mulching. The Contractor shall be held responsible for maintaining all disturbed surfaces and replacements until final acceptance. All restoration shall be considered incidental to the respective L-110 pay item. Following restoration of all trenching near airport movement surfaces, the Contractor shall thoroughly visually inspect the area for foreign object debris (FOD), and remove any such FOD that is found. This FOD inspection and removal shall be considered incidental to the pay item of which it is a component part.

METHOD OF MEASUREMENT

110-4.1 Underground conduits and duct banks shall be measured by the linear feet (meter) of conduits and duct banks installed, including encasement, counterpoise wire, locator tape, trenching and backfill with designated material, and for drain lines, the termination at the drainage structure, all measured in place, completed, and accepted. Separate measurement shall be made for the various types and sizes.

BASIS OF PAYMENT

110-5.1 Payment will be made at the contract unit price per linear foot for each type and size of conduit and duct bank completed and accepted, including trench and backfill with the designated material, and, for drain lines, the termination at the drainage structure. This price shall be full compensation for furnishing all materials and for all preparation, assembly, and installation of these materials, and for all labor, equipment, tools, and incidentals necessary to complete this item per the provisions and intent of the plans and specifications.

Payment will be made under:

Item L-110-5.1 ~~_____ [Concrete Encased] [Non-Encased] Electrical Duct Bank, [# and Size] per linear foot (meter)~~

~~Item L-110-5.2 [Concrete Encased] [Non-Encased] Electrical Conduit, [# and Size]-
per linear foot (meter)~~

Item L-110-5.3 4-Way, 3", Schedule 80 PVC, **direct buried--** Per Linear Foot

Item L-110-5.4 1-Way, 2", Schedule 40 **PVC, direct buried--** Per Linear Foot

MATERIAL REQUIREMENTS

- Advisory Circular (AC) 150/5340-30
Design and Installation Details for Airport Visual Aids
- AC 150/5345-53 Airport Lighting Equipment Certification Program
- ASTM A615 Standard Specification for Deformed and Plain Carbon-Steel Bars for Concrete Reinforcement
- ASTM D1556 Standard Test Method for Density and Unit Weight of Soil in Place by the Sand-Cone Method
- ASTM D1557 Standard Test Methods for Laboratory Compaction Characteristics of Soil Using Modified Effort (56,000 ft-lbf/ft³(2,700 kN-m/m³))
- ASTM D2167 Standard Test Method for Density and Unit Weight of Soil in Place by the Rubber Balloon Method
- ASTM D2922 Standard Test Methods for Density of Soil and Soil-Aggregate in Place by Nuclear Methods (Shallow Depth)
- NFPA-70 National Electrical Code (NEC)
- Underwriters Laboratories Standard 6
Electrical Rigid Metal Conduit - Steel
- Underwriters Laboratories Standard 514B
Conduit, Tubing, and Cable Fittings
- Underwriters Laboratories Standard 514C
Nonmetallic Outlet Boxes, Flush-Device Boxes, and Covers
- Underwriters Laboratories Standard 1242
Electrical Intermediate Metal Conduit Steel
- Underwriters Laboratories Standard 651
Schedule 40, 80, Type EB and A Rigid PVC Conduit and Fittings
- Underwriters Laboratories Standard 651A
Type EB and A Rigid PVC Conduit and HDPE Conduit

END OF ITEM L-110

ITEM L-115 ELECTRICAL MANHOLES AND JUNCTION STRUCTURES

DESCRIPTION

115-1.1 This item shall consist of electrical manholes and junction structures (hand holes, pull boxes, junction cans, etc.) installed per this specification, at the indicated locations and conforming to the lines, grades and dimensions shown on the plans or as required by the Engineer. This item shall include the installation of each electrical manhole and/or junction structures with all associated excavation, backfilling, sheeting and bracing, concrete, reinforcing steel, ladders, appurtenances, testing, dewatering and restoration of surfaces to the satisfaction of the Engineer.

EQUIPMENT AND MATERIALS

115-2.1 General.

a. All equipment and materials covered by referenced specifications shall be subject to acceptance through manufacturer's certification of compliance with the applicable specification when so requested by the Engineer.

b. Manufacturer's certifications shall not relieve the Contractor of the responsibility to provide materials per these specifications. Materials supplied and/or installed that do not comply with these specifications shall be removed (when directed by the Engineer) and replaced with materials that comply with these specifications at the Contractor's cost.

c. All materials and equipment used to construct this item shall be submitted to the Engineer for approval prior to ordering the equipment. Submittals consisting of marked catalog sheets or shop drawings shall be provided. Submittal data shall be presented in a clear, precise and thorough manner. Original catalog sheets are preferred. Photocopies are acceptable provided they are as good a quality as the original. Clearly and boldly mark each copy to identify products or models applicable to this project. Indicate all optional equipment and delete any non-pertinent data. Submittals for components of electrical equipment and systems shall identify the equipment to which they apply on each submittal sheet. Markings shall be made bold and clear with arrows or circles (highlighting is not acceptable). The Contractor is solely responsible for delays in the project that may accrue directly or indirectly from late submissions or resubmissions of submittals.

d. The data submitted shall be sufficient, in the opinion of the Engineer, to determine compliance with the plans and specifications. [The Contractor's submittals shall be neatly bound in a properly sized 3-ring binder, tabbed by specification section.] The Engineer reserves the right to reject any and all equipment, materials or procedures that do not meet the system design and the standards and codes, specified in this document.

e. All equipment and materials furnished and installed under this section shall be guaranteed against defects in materials and workmanship for a period of at least [twelve (12) months] from the date of final acceptance by the Owner. The defective materials and/or equipment shall be repaired or replaced, at the Owner's discretion, with no additional cost to the Owner.

115-2.2 Concrete structures. Cast-in-place concrete structures shall be per the details and dimensions shown on the plans.

Provide precast concrete structures where shown on the plans. Precast concrete structures shall be an approved standard design of the manufacturer, sealed and signed by a licensed professional engineer in the applicable state where the project is being performed. Precast units shall have mortar or bitumastic sealer placed between all joints to make them watertight. The structure shall be designed to withstand [300,000 lb aircraft] loads, unless otherwise shown on the plans. Openings or knockouts shall be

provided in the structure as detailed on the plans. The Contractor shall be responsible for providing structures that meet the loading requirements whether or not the details provided in the plans are designed to accommodate the design loads. The intent is for the Contractor to provide all structures that meet the required design load. Any structure within the defined runway, taxiway or apron safety area for which the structure is to be installed shall be aircraft rated. Any structure outside the runway, taxiway or apron safety area for which the structure is to be installed shall be HS-20 load rated.

Threaded inserts and pulling eyes shall be cast in as shown.

If the Contractor chooses to propose a different structural design, signed and sealed shop drawings by a registered professional engineer within the state the project is being performed, along with all design calculations, and other information requested by the Engineer shall be submitted by the Contractor to allow for a full evaluation by the Engineer. The Engineer shall review per the process defined in the General Provisions.

115-2.3 Junction boxes. Junction boxes shall be ~~L-867 Class 1 (non-load bearing)~~ or L-868 Class 1 (load bearing) airport light bases that are encased in concrete. The light bases shall have a galvanized steel blank cover, gasket, and stainless steel or coated steel hardware per FAA Engineering Brief (EB) #83. Covers shall be 3/8-inch (9-mm) thickness for L-867 and 3/4-inch (19-mm) thickness for L-868.

115-2.4 Mortar. The mortar shall be composed of one part of Portland cement and two parts of mortar sand, by volume. The Portland cement shall be per the requirements in ASTM C150, Type I. The sand shall be per the requirements in ASTM C144. Hydrated lime may be added to the mixture of sand and cement in an amount not to exceed 15% of the weight of cement used. The hydrated lime shall meet the requirements of ASTM C6. Water shall be potable, reasonably clean and free of oil, salt, acid, alkali, sugar, vegetable, or other substances injurious to the finished product.

115-2.5 Concrete. All concrete used in structures shall conform to the requirements of Item P-610, Structural Portland Cement Concrete and shall be 3,500 psi at 28-days.

115-2.6 Frames and covers. The frames shall conform to one of the following requirements:

- a. ASTM A48 Gray iron castings
- b. ASTM A47 Malleable iron castings
- c. ASTM A27 Steel castings
- d. ASTM A283, Grade D Structural steel for grates and frames
- e. ASTM A536 Ductile iron castings
- f. ASTM A897 Austempered ductile iron castings

All castings specified shall withstand a maximum tire pressure of [250] psi and maximum load of [300,000] lbs. Any casting within the defined runway, taxiway or apron safety area for which the casting is to be installed shall be aircraft rated. Any casting outside the runway, taxiway or apron safety area for which the structure is to be installed shall be HS-20 load rated.

All castings or structural steel units shall conform to the dimensions shown on the plans and shall be designed to support the loadings specified.

Each frame and cover unit shall be provided with fastening members to prevent it from being dislodged by traffic, but which will allow easy removal for access to the structure.

All castings shall be thoroughly cleaned. After fabrication, structural steel units shall be galvanized to meet the requirements of ASTM A123.

Each cover shall have the word "ELECTRIC" or other approved designation cast on it. Each frame and cover shall be as shown on the plans or approved equivalent. No cable notches are required.

Each manhole shall be provided with a "DANGER -- PERMIT-REQUIRED CONFINED SPACE, DO NOT ENTER" safety warning sign as detailed in the Contract Documents and in accordance with OSHA 1910.146 (c)(2).

115-2.7 Ladders. Ladders, if specified, shall be galvanized steel or as shown on the plans.

115-2.8 Reinforcing steel. All reinforcing steel shall be deformed bars of new billet steel meeting the requirements of ASTM A615, Grade 60.

115-2.9 Bedding/special backfill. Bedding or special backfill shall be as shown on the plans.

115-2.10 Flowable backfill. Flowable material used to backfill shall conform to the requirements of Item P-153, Controlled Low Strength Material.

115-2.11 Cable trays. Cable trays shall be of galvanized steel, plastic, or aluminum. Cable trays shall be located as shown on the plans.

115-2.12 Plastic conduit. Plastic conduit shall comply with Item L-110, Airport Underground Electrical Duct Banks and Conduits.

115-2.13 Conduit terminators. Conduit terminators shall be pre-manufactured for the specific purpose and sized as required or as shown on the plans.

115-2.14 Pulling-in irons. Pulling-in irons shall be manufactured with 7/8 inch (22 mm) diameter hot-dipped galvanized steel or stress-relieved carbon steel roping designed for concrete applications (7 strand, 1/2 inch (12 mm) diameter with an ultimate strength of 270,000 psi (1862 MPa)). Where stress-relieved carbon steel roping is used, a rustproof sleeve shall be installed at the hooking point and all exposed surfaces shall be encapsulated with a polyester coating to prevent corrosion.

115-2.15 Ground rods. Ground rods shall be one piece, [solid stainless steel] [copper] or [copper clad]. The ground rods shall be of the length and diameter specified on the plans, but in no case shall they be less than 8 feet (2.4 m) long nor less than ~~5/8-inch (16 mm)~~ 3/4-in in diameter.

CONSTRUCTION METHODS

115-3.1 Unclassified excavation. It is the Contractor's responsibility to locate existing utilities within the work area prior to excavation. Damage to utility lines, through lack of care in excavating, shall be repaired or replaced to the satisfaction of the Engineer without additional expense to the Owner.

The Contractor shall perform excavation for structures and structure footings to the lines and grades or elevations shown on the plans or as staked by the ~~Engineer~~ Contractor. The excavation shall be of sufficient size to permit the placing of the full width and length of the structure or structure footings shown.

All excavation shall be unclassified and shall be considered incidental to the respective L-115 pay item of which it is a component part. Dewatering necessary for L-115 structure installation, erosion and turbidity control, per Federal, state, and local requirements is incidental to its respective pay item as a part of Item L-115. The cost of all excavation regardless of type of material encountered, shall be included in the unit price bid for the L-115 Item.

Boulders, logs and all other objectionable material encountered in excavation shall be removed. All rock and other hard foundation material shall be cleaned of all loose material and cut to a firm surface either level, stepped or serrated, as directed by the Engineer. All seams, crevices, disintegrated rock and thin strata shall be removed. When concrete is to rest on a surface other than rock, special care shall be taken not to disturb the bottom of the excavation. Excavation to final grade shall not be made until just before the concrete or reinforcing is to be placed.

The Contractor shall provide all bracing, sheeting and shoring necessary to implement and protect the excavation and the structure as required for safety or conformance to governing laws. The cost of bracing, sheeting and shoring shall be included in the unit price bid for the structure.

Unless otherwise provided, bracing, sheeting and shoring involved in the construction of this item shall be removed by the Contractor after the completion of the structure. Removal shall be effected in a manner that will not disturb or mar finished masonry. The cost of removal shall be included in the unit price bid for the structure.

After each excavation is completed, the Contractor shall notify the Engineer. Structures shall be placed after the Engineer has approved the depth of the excavation and the suitability of the foundation material. Prior to installation the Contractor shall provide a minimum of 6 inches (150 mm) of sand or a material approved by the Engineer as a suitable base to receive the structure. The base material shall be compacted and graded level and at proper elevation to receive the structure in proper relation to the conduit grade or ground cover requirements, as indicated on the plans.

115-3.2 Concrete structures. Concrete structures shall be built on prepared foundations conforming to the dimensions and form indicated on the plans. The concrete and construction methods shall conform to the requirements specified in Item P-610. Any reinforcement required shall be placed as indicated on the plans and shall be approved by the Engineer before the concrete is placed.

115-3.3 Precast unit installations. Precast units shall be installed plumb and true. Joints shall be made watertight by use of sealant at each tongue-and-groove joint and at roof of manhole. Excess sealant shall be removed and severe surface projections on exterior of neck shall be removed.

115-3.4 Placement and treatment of castings, frames and fittings. All castings, frames and fittings shall be placed in the positions indicated on the Plans or as directed by the Engineer and shall be set true to line and to correct elevation. If frames or fittings are to be set in concrete or cement mortar, all anchors or bolts shall be in place and position before the concrete or mortar is placed. The unit shall not be disturbed until the mortar or concrete has set.

Field connections shall be made with bolts, unless indicated otherwise. Welding will not be permitted unless shown otherwise on the approved shop drawings and written permission is granted by the casting manufacturer. Erection equipment shall be suitable and safe for the workman. Errors in shop fabrication or deformation resulting from handling and transportation that prevent the proper assembly and fitting of parts shall be reported immediately to the Engineer and approval of the method of correction shall be obtained. Approved corrections shall be made at Contractor's expense.

Anchor bolts and anchors shall be properly located and built into connection work. Bolts and anchors shall be preset by the use of templates or such other methods as may be required to locate the anchors and anchor bolts accurately.

Pulling-in irons shall be located opposite all conduit entrances into structures to provide a strong, convenient attachment for pulling-in blocks when installing cables. Pulling-in irons shall be set directly into the concrete walls of the structure.

115-3.5 Installation of ladders. Ladders shall be installed such that they may be removed if necessary. Mounting brackets shall be supplied top and bottom and shall be cast in place during fabrication of the structure or drilled and grouted in place after erection of the structure.

115-3.6 Removal of sheeting and bracing. In general, all sheeting and bracing used to support the sides of trenches or other open excavations shall be withdrawn as the trenches or other open excavations are being refilled. That portion of the sheeting extending below the top of a structure shall be withdrawn, unless otherwise directed, before more than 6 inches (150 mm) of material is placed above the top of the structure and before any bracing is removed. Voids left by the sheeting shall be carefully refilled with selected material and rammed tight with tools especially adapted for the purpose or otherwise as may be approved.

The Engineer may order the Contractor to delay the removal of sheeting and bracing if, in his judgment, the installed work has not attained the necessary strength to permit placing of backfill.

115-3.7 Backfilling. After a structure has been completed, the area around it shall be backfilled in horizontal layers not to exceed 6 inches (150 mm) in thickness measured after compaction to the density requirements in Item P-152. Each layer shall be deposited all around the structure to approximately the same elevation. The top of the fill shall meet the elevation shown on the plans or as directed by the Engineer.

Backfill shall not be placed against any structure until permission is given by the Engineer. In the case of concrete, such permission shall not be given until tests made by the laboratory under supervision of the Engineer establish that the concrete has attained sufficient strength to provide a factor of safety against damage or strain in withstanding any pressure created by the backfill or the methods used in placing it.

Where required, the Engineer may direct the Contractor to add, at his own expense, sufficient water during compaction to assure a complete consolidation of the backfill. The Contractor shall be responsible for all damage or injury done to conduits, duct banks, structures, property or persons due to improper placing or compacting of backfill.

115-3.8 Connection of duct banks. To relieve stress of joint between concrete-encased duct banks and structure walls, reinforcement rods shall be placed in the structure wall and shall be formed and tied into duct bank reinforcement at the time the duct bank is installed.

115-3.9 Grounding. A ground rod shall be installed in the floor of all concrete structures so that the top of rod extends 6 inches (150 mm) above the floor. The ground rod shall be installed within one foot (30 cm) of a corner of the concrete structure. Ground rods shall be installed prior to casting the bottom slab. Where the soil condition does not permit driving the ground rod into the earth without damage to the ground rod, the Contractor shall drill a 4 inch (100 mm) diameter hole into the earth to receive the ground rod. The hole around the ground rod shall be filled throughout its length, below slab, with Portland cement grout. Ground rods shall be installed in precast bottom slab of structures by drilling a hole through bottom slab and installing the ground rod. Bottom slab penetration shall be sealed watertight with Portland cement grout around the ground rod.

A grounding bus of 4/0 bare stranded copper shall be exothermically bonded to the ground rod and loop the concrete structure walls. The ground bus shall be a minimum of one foot (30 cm) above the floor of the structure and separate from other cables. No. 2 American wire gauge (AWG) bare copper pigtailed shall bond the grounding bus to all cable trays and other metal hardware within the concrete structure. Connections to the grounding bus shall be exothermic. If an exothermic weld is not possible, connections to the grounding bus shall be made by using connectors approved for direct burial in soil or concrete per UL 467. Hardware connections may be mechanical, using a lug designed for that purpose.

115-3.10 Cleanup and repair. After erection of all galvanized items, damaged areas shall be repaired by applying a liquid cold-galvanizing compound per MIL-P-21035. Surfaces shall be prepared and compound applied per the manufacturer's recommendations.

Prior to acceptance, the entire structure shall be cleaned of all dirt and debris.

115-3.11 Restoration. After the backfill is completed, the Contractor shall dispose of all surplus material, dirt and rubbish from the site. The Contractor shall restore all disturbed areas equivalent to or better than their original condition. All sodding, grading and restoration shall be considered incidental to the respective L-115 pay item.

The Contractor shall grade around structures as required to provide positive drainage away from the structure.

Areas with special surface treatment, such as roads, sidewalks, or other paved areas shall have backfill compacted to match surrounding areas, and surfaces shall be repaired using materials comparable to original materials.

Following restoration of all trenching near airport movement surfaces, the Contractor shall thoroughly visually inspect the area for foreign object debris (FOD), and remove any such FOD that is found. This FOD inspection and removal shall be considered incidental to the pay item of which it is a component part.

After all work is completed, the Contractor shall remove all tools and other equipment, leaving the entire site free, clear and in good condition.

115-3.12 Inspection. Prior to final approval, the electrical structures shall be thoroughly inspected for conformance with the plans and this specification. Any indication of defects in materials or workmanship shall be further investigated and corrected. ~~The earth resistance to ground of each ground rod shall not exceed 25 ohms. Each ground rod shall be tested using the fall-of-potential ground impedance test per American National Standards Institute / Institute of Electrical and Electronic Engineers (ANSI/IEEE) Standard 81. This test shall be performed prior to establishing connections to other ground electrodes.~~

115-3.13 Manhole elevation adjustments. The Contractor shall adjust the tops of existing manholes in areas designated in the Contract Documents to the new elevations shown. The Contractor shall be responsible for determining the exact height adjustment required to raise the top of each manhole to the new elevations. The existing top elevation of each manhole to be adjusted shall be determined in the field and subtracted/added from the proposed top elevation.

The Contractor shall remove/extend the existing top section or ring and cover on the manhole structure or manhole access. The Contractor shall then install precast concrete sections or grade rings of the required dimensions to adjust the manhole top to the new proposed elevation or shall cut the existing manhole walls to shorten the existing structure, as required by final grades. Finally, the Contractor shall reinstall the manhole top section or ring and cover on top and check the new top elevation.

The Contractor shall construct a concrete slab around the top of adjusted structures located in graded areas that are not to be paved. The concrete slab shall conform to the dimensions shown on the plans.

115-3.14 Duct extension to existing ducts. Where existing concrete encased ducts are to be extended, the duct extension shall be concrete encased plastic conduit. The fittings to connect the ducts together shall be standard manufactured connectors designed and approved for the purpose. The duct extensions shall be installed according to the concrete encased duct detail and as shown on the plans.

METHOD OF MEASUREMENT

115-4.1 Electrical manholes and junction structures shall be measured by each unit completed in place and accepted. The following additional items are specifically included in each unit:

- All Required Excavation, Dewatering
- Sheeting and Bracing
- All Required Backfilling with On-Site Materials
- Restoration of All Surfaces and Finished Grading, Sodding
- All Required Connections
- Dewatering If Required
- Temporary Cables and Connections
- Ground Rod Testing

115-4.2 Manhole/Handhole elevation adjustments shall be measured by the completed unit installed, in place, completed, and accepted. Separate measurement shall not be made for the various types and sizes.

BASIS OF PAYMENT

115-5.1 The accepted quantity of electrical manholes and junction structures will be paid for at the Contract unit price per each, complete and in place. This price shall be full compensation for furnishing all materials and for all preparation, excavation, backfilling and placing of the materials, furnishing and installation of appurtenances and connections to duct banks and other structures as may be required to complete the item as shown on the plans and for all labor, equipment, tools and incidentals necessary to complete the structure.

115-5.2 Payment shall be made at the contract unit price for manhole/handhole elevation adjustments. This price shall be full compensation for furnishing all materials and for all preparation, assembly, and installation of these materials, and for all labor, equipment, tools, and incidentals necessary, including but not limited to, spacers, concrete, rebar, dewatering, excavating, backfill, topsoil, sodding and pavement restoration, where required, to complete this item as shown in the plans and to the satisfaction of the Engineer.

Payment will be made under:

~~Item L-115-5.1 Electrical Manhole [size and type] Per Each~~

~~Item L-115-5.2 Electrical Junction Structure [size and type] Per Each~~

~~Item L-115-5.3 Existing Electrical Manhole/Junction Structure Elevation Adjustment [size and type] Per Each~~

Item L-115-5.4 Electrical Handhole [Quazite Vehicle Rated, 24"x24"x18" Solid Bottom, Tier 22 Hubbell Handhole or Equal] –Per Each

MATERIAL REQUIREMENTS

ANSI/IEEE STD 81	IEEE Guide for Measuring Earth Resistivity, Ground Impedance, and Earth Surface Potentials of a Ground System
Advisory Circular (AC) 150/5345-7	Specification for L-824 Underground Electrical Cable for Airport Lighting Circuits
AC 150/5345-26	Specification for L-823 Plug and Receptacle, Cable Connectors
AC 150/5345-42	Specification for Airport Light Bases, Transformer Housings, Junction Boxes, and Accessories
AC 150/5340-30	Design and Installation Details for Airport Visual Aids
AC 150/5345-53	Airport Lighting Equipment Certification Program
Commercial Item Description A-A 59544	Cable and Wire, Electrical (Power, Fixed Installation)
ASTM A27	Standard Specification for Steel Castings, Carbon, for General Application
ASTM A47	Standard Specification for Ferritic Malleable Iron Castings
ASTM A48	Standard Specification for Gray Iron Castings
ASTM A123	Standard Specification for Zinc (Hot Dip Galvanized) Coatings on Iron and Steel Products
ASTM A283	Standard Specification for Low and Intermediate Tensile Strength Carbon Steel Plates
ASTM A536	Standard Specification for Ductile Iron Castings
ASTM A615	Standard Specification for Deformed and Plain Carbon-Steel Bars for Concrete Reinforcement
ASTM A897	Standard Specification for Austempered Ductile Iron Castings
ASTM C144	Standard Specification for Aggregate for Masonry Mortar
ASTM C150	Standard Specification for Portland Cement
ASTM C206	Standard Specification for Finishing Hydrated Lime
FAA EB #83	In Pavement Light Fixture Bolts
MIL-P-21035	Paint High Zinc Dust Content, Galvanizing Repair
NFPA-70	National Electrical Code (NEC)

END OF ITEM L-115

