

Application Instructions
COAR Grant Program
Aviation System Action Program Fund



Funding Cycle I
September 2016



AVIATION SYSTEM ACTION PROGRAM FUND APPLICATION INSTRUCTIONS FOR COAR GRANTS

If you have not already done so, please sign up for the ASAP electronic mailing list by sending an email request with the subject line “ASAP Mailing List Request” to:

ASAP@aviation.state.or.us

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Application Period Begins:

September 12, 2016

Application Period Ends:

Applications submitted in person or by mail must be received by 5:00 PM on October 14, 2016.

OR

Applications submitted electronically must be received by 11:59 PM on October 14, 2016.



The application is a PDF form and must be completed using Adobe Acrobat or Reader.
Download the latest version of Adobe Reader: <https://get.adobe.com/reader/>

SECTION 1: APPLICATION FORM

(Question by Question Instructions)

General Instructions:

Save the application on your computer. You may work on the application at different times, saving your work as needed. Give it a filename with the following format: **[FAA Airport Identifier]_[Project Name]**. This is also discussed in Section 3.

Please note: Due to a lack of support for various functions in other PDF viewers, the application must be completed using the Adobe Acrobat or Reader. Download the latest version of Adobe Reader: <https://get.adobe.com/reader/>.

Application answers should be concise and to the point. No additional pages other than those specifically requested in these instructions will be used for the review process.

An application checklist is included as part of the application. The purpose of the checklist is to assist each applicant with submitting the required forms and optional attachments. The checklist must be completed and submitted with the application.

Failure to submit the aforementioned form will result in a project being declared ineligible due to incompleteness.

Applicants are strongly encouraged to review the ASAP Funding Instructions to Reviewers document prior to completing the application. The Instructions to Reviewers provides insight into the application scoring and selection process and may assist applicants with forming appropriate answers to application questions.

Answers to all questions are required even if N/A. Applications that are determined incomplete may not move forward in the review process.

Be concise and descriptive with your answers. Reviewers must be able to easily identify what your project does. Failure to clearly answer a question may result in a lower score when reviewed.

Once the application is complete, submit the application to the Oregon Department of Aviation (ODA) by following the directions outlined in Section 3 of these instructions.

Applicant Information, Project Location, and Certification

Question 1: Complete this information for the applicant. The contact person named here is the primary contact for this project. Other contact people will not be contacted unless the primary contact cannot be reached in an urgent situation. The applicant must provide its "Real and True Name" or "Registered Assumed Business Name". The applicant's organization must be registered with the Oregon Secretary of State's Corporation Division to do business in the State of Oregon by the time the agreement is written. ODA cannot, by law, enter into a grant agreement with a company that is not registered in the State of Oregon. Registration of a parent corporation in Oregon will not count as registration for a subsidiary corporation if the subsidiary is listed in the application. For more information about registering with the Oregon Secretary of State, visit:

http://www.filinginoregon.com/pages/business_registry/register/registering.html.

Question 2: The project name should be brief, and clearly describe the project. The name you provide will be used in summary reports and other published materials. The project location should include the City and State where the project is physically located. If the project is located in a remote area, list the County and State where the project is physically located.

For mobile projects, provide the address for the agency administrative facility.

Provide county tax parcel information (map and tax lot number).

Question 3: Select the appropriate category of airport as listed in the current Oregon Aviation Plan (OAP). To view which category your airport belongs to, please refer to Chapter 4 of the OAP by following the link:

http://www.oregon.gov/aviation/docs/system_plan/chapter_4_-_airport_functional_roles.pdf

Question 4: Select an Oregon Department of Transportation (ODOT) region for the project. You may not select more than one ODOT *ConnectOregon* region. The *ConnectOregon* VI regions are defined in Section 7 of 2015 House Bill 5030.

If a project falls within more than one region, identify the primary region for the project. This will be the region assigned to the project during the project review period and State Aviation Board selection.

For a map of the regions, please visit:

<http://www.oregon.gov/ODOT/TD/TP/CO/ConnectOregon%20Region%20Map.pdf>

The purpose of this question is to determine where in Oregon grants have been awarded and the total grant amounts distributed to each ODOT region. ODA will likely share the information with the Oregon Legislature.

Question 5: The Certification is very important. The Applicant Organization listed in Question 1 must check the box and provide the date on the form. Applications that do not contain these items will be considered ineligible due to incompleteness.

Project Description

Question 6: Provide a brief description of the proposed project to be funded. The description will be used in summary reports, ODA web pages, and other published materials. The summary should

include what the project will do or build and who will benefit from it.

Question 7: Provide a detailed project description. Describe the public benefits that will result from the project. Describe the aviation asset resulting from the proposed project. This description should be the equivalent of a project scope, defining the efforts needed for construction. Claims of project benefits should cite verifiable sources.

Capital construction projects at airports included in the National Plan of Integrated Airport Systems (NPIAS) must meet current FAA design criteria and grant assurances. Provide details of future maintenance commitments; describe potential for on-airport expansion; and show availability of adequate surface access to the airport.

Descriptions should clearly define what is being constructed (e.g. Project will perform the rehabilitation of 5,300 feet of runway along with associated improvements such as 10,600 feet of underdrain, lighting rewiring, etc.).

Question 8: Select “Yes” if the criterion is applicable to your project or will occur as a result of your project.

Select “No” if the criterion is not applicable to your project or will not occur as a result of your project.

If you have attached supporting documentation that supports an item on the list, please provide the name or type of document in the designated space.

Examples of supporting documentation: Maps, letters of support from the community, document showing federal funds are available for the project, commitment to providing continuing maintenance for the project, a written “Negative Environmental Declaration” or a FAA Environmental Checklist to confirm there will be no significant environmental impact (for NPIAS airports), Environmental Impact Statement (EIS), etc.

Question 9: Select the appropriate category of project.

Example 1: The project is funded by an FAA AIP grant. The application is to request funding assistance with a portion of the FAA AIP grant match requirement.

Project Category: Check the box for “Assistance with FAA AIP grant match”.

Example 2: The project is to build an aircraft maintenance facility on the airport, for which you are requesting funding assistance. The facility will be used for aviation-related business development on the airport.

Project element: Check the box for “Aviation-related business development on airport”.

Question 10: Provide a brief description of how your funding request fits in with the category of project selected in question 9. The examples below follow the examples provided for question 9.

Example 1:

Project element description:

Assistance with FAA AIP grant match – The project costs are 90% funded by an FAA AIP grant. The funding request to ODA is solely for assistance with the 10% federal grant match requirement.

Example 2:

Project element description:

Aviation-related business development on airport – The funding request is for the construction of an aircraft maintenance facility on the airport which will support aviation-related business development on the airport by _____ (briefly describe how it supports aviation-related business development).

Question 11: Documents: The first table is related to pre-construction documents. Provide the date of when the specified document was completed and select “Completed” from the status drop-down menu. If the document has been started but is not yet complete, select “Underway” from the status drop-down menu and provide the expected date of completion. Select “Don’t Know” from the drop-down menu if the level of completion may be uncertain, or if you do not know if the specific task or document applies to the project. If the document is not applicable to the project, select “Not Applicable” from the drop-down menu.

Check the “Equipment” box if the project funding request is for assistance with the purchase of equipment.

The following provides information about the documents.

- a. The Airport Layout Plan (ALP) serves as a critical planning tool that depicts both existing facilities and planned development for an airport. Sponsors of airport development carried out at federally obligated airports must accomplish the improvement in accordance with an FAA-approved ALP.

By definition, the ALP is a plan for a specific airport that shows:

- Boundaries and proposed additions to all areas owned or controlled by the sponsor for airport purposes
- The location and nature of existing and proposed airport facilities and structures
- The location on the airport of existing and proposed non-aviation areas and improvements thereon.

- b. An Environmental Impact Statement (EIS) is a document, required under the National Environmental Policy Act (NEPA), prepared for projects or decisions (including project funding) by federal agencies, which includes a detailed environmental evaluation of the proposed action and possible alternative actions. (For more information see: <http://www.epa.gov/compliance/nepa/index.html>) Unless a required EIS is close to completion, needing one means a project is not construction ready.

Permits: The second table is related to permits required for the project. Consider if you have met all local jurisdictional permits, i.e. building, zoning, planning, utility, facilities, etc. Also consider any airport clearances and other federal, state and/or local requirements. Please identify any additional items as necessary.

In the table, provide the permit type and the date issued or the date expected to be completed. Select the completion status from the drop-down menu. If you have submitted for the permit but it has not yet been issued, select "Underway" from the drop-down menu. Select "Don't Know" if the level of completion may be uncertain. Select the permit required status. Select "Don't Know" if you are uncertain whether the permit is required for the project.

Question 12: Complete the table regarding the project's current and projected milestones using the contract date as a start date. While six milestone spaces are provided, projects may have more or less than six milestones. These milestones will be used when developing the grant agreement should your project be selected for funding and you will be held accountable to the dates provided. Careful consideration should be given when developing timeframes. They will be used when developing grant Agreements should you receive funding. Grant recipients will be held accountable to the milestones.

Equipment purchases are exempt from milestone schedules and from the National Environmental Policy Act (NEPA).

Agreements are not usually signed before December. Milestone dates should be adjusted accordingly.

Standardized construction milestones are provided. For non-construction projects please propose equivalent milestones. Non-construction milestones may include such phases as purchase of materials, purchase of equipment, installation of equipment, etc. Non-construction projects should have "Project Completion" as their last milestone.

For Construction Milestones:

1. Scoping and Planning means the development of the project size and scope, determination of operational requirements, and required public comment periods.
2. Right-of-way and Land Acquisition means the process of securing land for the project site, including purchases, leases, eminent domain/condemnation, and the acquisition of required easements.
3. Permits means the process of securing any required permits, approvals, or permission from any local, state, or federal agency.
4. Final Plans/Bidding Engineering Documents means the development of any structural or operational documents required to build or implement the project.
5. Construction Contract Award means the securing of a contract to build, install, or otherwise prepare the project for operations or use.
6. Project Completion means construction or installation is complete and the project is ready for operation or use.

For Non-Construction Milestones:

Provide name of milestone and milestone start and end dates beginning with "Milestone1". Briefly describe each milestone.

Below are some examples of non-construction milestones:

- Economic analysis
- Cost estimates

- Public involvement/Stakeholder engagement
- Concept designs
- Secure city, state, and/or federal approval
- Secure project site
- Bid, Award, Procure
- Order equipment
- Installation, testing, and implementation

Statewide Impact of Project

Each applicant is responsible for providing as much detail as possible in the space provided. **Do not skip questions.** If they clearly do not apply, write “N/A” in the response section. Due to the potential variety of eligible projects, ODA anticipates that some applicants will not be able to answer all of these questions.

Please use the “ –“ reset button on the right side of the response boxes if you need to reset your responses to the questions in this section (questions 13 – 18).

Question 13: Identify if the project will serve one or more of Oregon’s “Statewide Business Clusters”. For the purposes of this question, the service provided by the project either should reduce transportation costs for Oregon businesses or improves access to labor.

Oregon’s “Statewide Business Clusters” are identified by the Oregon Business Development Department. Definitions of Oregon “Statewide Business Clusters” (Key Industries) are available at (<http://www.oregonbusinessplan.org/Industry-Clusters/The-Industry-Cluster-Network/>).

In the space provided, explain how the project reduces transportation costs or improves access to labor for the selected business cluster(s). Detail if possible, any specific businesses, the number of businesses, and how the project will provide cost savings (e.g. time savings, provision of an alternate route, provides access to a new mode). Detail, if possible, any specific businesses that will be connected to residential areas and how the project will improve their connection to sources of labor (e.g. traveler time savings, provision of an alternate route, provision of direct access between residential areas and commercial/industrial areas). You may also describe the demographics or other relevant characteristics of the residential areas that gain new or improved access to jobs as a result of this project. Explain if these areas are low income, disadvantaged or other significant characteristics.

Question 14: Consider the following in your response to this question. According to the Federal Highway Administration, “Some measures of economic growth and quality of life include things such as:

- Number of jobs created;
- Number of business establishments created;
- Overall increases in gross domestic product or gross regional product; and,
- Increases in property values or tax bases.

Describe if the project will result in businesses being able to stay in Oregon by retaining long-term jobs, or locate/expand in Oregon by adding long-term jobs. Identify the businesses that will

be able to stay in Oregon or locate/expand in Oregon as a direct result of the project.

Indicate the amount of private investment that would be made if and only if the project is implemented. You may include letters of commitment detailing the number of long-term jobs or the amount of additional private investment the project would generate. Commitment letters from businesses or organizations must state their intention to operate in Oregon and their intentions regarding job creation and private investment plans over a specified period. In the explanation box, limit the discussion of economic benefit to the project's impact on the state's ability to attract or retain business or industry.

Consider including quantitative information, such as:

- The demand for the project by the community has increased by x % over the past x years.
- Number of short-term and long-term jobs that will be created as a result of the project, if known.
- Are there any cost-benefits?

Question 15: Describe how the project creates a new transportation connection or if it improves an existing connection. Indicate if the project links multiple modes of transportation. Indicate if the project improves or creates links to a transportation network outside Oregon. Detail the international or interstate destination or source. Explain any benefits to Oregon's economy. Explain how this project improves or creates linkages to markets outside Oregon.

Describe what the measurement of success is for the project and include the calculation methodology for determining the projected success rate. Cite industry accepted standards to justify the answer.

The measurement of success for the project should be a quantifiable expression of the amount, cost, or result of the project that indicates how much, how well, and at what level, products or services are provided during a given time period. Measures should focus on the utilization and/or efficiency of the project.

Grant recipients may be required to supply ODA with a report regarding these measures within 12 months of project completion. ODA will likely share the information obtained with the Oregon Legislature. Applicants should carefully consider these measures used in this section to ensure an ability to accurately report in the future.

Measures of success may be:

- Flow Rates
- Capacity Measures
- Safety Measures
- Financial Returns
- Measures of Customer Satisfaction
- Measures of Public Benefit

Depending on the scope of a project, multiple measures may be identified.

- a. Indicate the current level of success as defined above.
- b. Indicate the expected level of success once the project is fully operational.

Example:

Measurement: Daily aircraft operations

Current level: 4,000

Expected level: 8,000

The purpose of this question is to ascertain how well a project will meet requirements of ORS 367.084 concerning “whether a proposed transportation project is a critical link connecting elements of Oregon’s transportation system that will measurably improve utilization and efficiency of the system.” Success refers to the measurable improvements in use and/or efficiency that each project will achieve once it is “fully operational.” “Fully operational” is when the proposed project is complete and in service.

Question 16: Complete the project funding tables. Do fill in the percentage fields; these fields will update automatically after you fill in the “Amount” column, as will all of the totals.

- a. Type the total project cost, or if applying for assistance with FAA AIP grant match then indicate the total federal match requirement.

Example 1: A category 4 airport has a \$50,000 FAA AIP match requirement. The applicant would type in \$50,000 for 16a.

Example 2: An airport has a non-federally funded project. The total project costs are \$150,000. The applicant would type in \$150,000 for 16a.

- b. The minimum COAR Grant match requirement field will auto-populate based on your selection for Question 3. The auto-filled answer will indicate the COAR match requirement for your specific airport.

ODA grant match requirements are based on the airport’s category as listed in Chapter 4 of the current Oregon Aviation Plan (OAP)

http://www.oregon.gov/aviation/docs/system_plan/chapter_4_-_airport_functional_roles.pdf

The match requirement is:

- A. Category 1a -- Commercial Primary: 50%
- B. Category 1b -- Other Commercial Non-Primary (less than 10,000 enplanements): 35%
- C. Category 2 -- Business: 25%
- D. Category 3 -- Regional: 10%
- E. Category 4 -- Community: 10%
- F. Category 5 -- Low Activity: 5%

In the table, detail the source of the applicant’s matching funds (i.e. FAA grant, city funds, etc.). Indicate the amount and the when the funds will be available; for example, FAA funds will become available Oct 2017 or Sponsor funds are available immediately. You may also use the pop-up calendar to select a date.

Example 1: A Category 4 airport has a project funded at 90% by an FAA AIP grant. Their total match amount for the FAA AIP grant is \$150,000. The airport can apply for a COAR grant to cover the FAA match requirement, minus the COAR match requirement.

The applicant's match requirement for COAR Grants is 10% of the \$150,000 (category 4 airport); therefore:

Total COAR match requirement: \$1,500

- c. Complete the table by indicating the amount of project grant funds you are requesting from ODA.

| If you... | Then... | And... |
|--|--|---|
| Do have an FAA funded project | Determine your COAR match requirement by locating your category of airport in Table 4.2 of the current OAP http://www.oregon.gov/aviation/docs/system_plan/chapter_4_-_airport_functional_roles.pdf | Apply for a COAR grant for assistance with a portion of your FAA match amount, minus your COAR Grant match requirement. |
| Example: | | |
| FAA match amount is \$26,000 | Category 2 – ODA match requirement is 25%. | Apply for a COAR grant for assistance with up to 75% (or \$19,500) of your FAA match. |
| If you ... | Then... | And... |
| Do not have an FAA funded project | Determine your ODA match requirement by locating your category of airport in Table 4.2 of the current OAP http://www.oregon.gov/aviation/docs/system_plan/chapter_4_-_airport_functional_roles.pdf | Apply for a COAR grant for assistance with the project costs, minus the COAR Grant match requirement. |
| Example: | | |
| Project cost is \$200,000 | Category 2 – ODA match requirement is 25%. | Apply for a COAR grant for assistance with up to 75% (or \$150,000) of the project costs. |

- d. The Project Budget Summary table will update automatically after you complete the first part of question 16. This table provides a summary of the total matching funds, the total funds requested from ODA, and the total project cost.
- e. Provide brief information on expenditures that will have been incurred prior to the completion of this agreement, if the project is selected and awarded. Discuss only the expenditures that you seek to be reimbursed for by COAR grants.

Question 17: At its August 2015, the Oregon Transportation Commission provided the following definition for project construction readiness:

Whether a Project is ready to begin elements of work necessary to commence with construction in a reasonable timeframe, or if the Project does not involve construction, whether the Project is ready for implementation. The following considerations, in addition to others, are used by staff when scoring project readiness:

- Applicant responses
- Permitting
- Match financing
- Plan inclusion where necessary
- Land use approval
- Applicant capacity

Provide any additional detail regarding construction readiness or implementation issues. Indicate the level of risk involved with meeting the provided schedule you gave in Question 12.

Explain the level of level of risk with the project schedule (i.e. high risk, medium risk, or low risk) and describe the reason regarding the level of risk. Discuss the length of any required permitting processes, property acquisition, or other parts of the project schedule that are subject to a high level of uncertainty.

Question 18: Provide the project's useful life in years. Useful life pertains to the main element of the project. Explain how this figure was calculated and cite documents that explain useful life. These documents may include industry standards, previously documented projects, research papers, etc. In some cases, a project may have a documented useful life that is different from the common actual life. For instance, airfield lighting and signage may have FAA designated useful life of 10 years; however, due to exceptional maintenance and other conditions, the historical useful life has been 20 years. Applicants should document this difference and explain. Review the Sample Draft Agreement to ensure the project design will be able to meet the contractual useful life. The Sample Draft Agreement identifies the useful life of a construction project as 20 years; non-construction projects should have years; non-construction projects should have a comparable useful life.

SECTION 2: QUESTIONS AND COMMUNICATION

Email Notice List

All applicants and interested parties should submit a request to be added to the Email Notice List by sending an email request with the subject line “ASAP Mailing List Request” to: ASAP@aviation.state.or.us

ODA will use this Email Notice List to update applicants and interested parties with notices, information, and any program and application updates.

Website

Interested parties can check the ODA website:

http://www.oregon.gov/aviation/Pages/Aviation_System_Action_Program.aspx

Questions

All questions should be emailed with the subject line “ASAP Questions” to: ASAP@aviation.state.or.us

Individual questions will be answered via email and then the answer will be posted on the ODA website under the program’s Frequently Asked Questions (FAQs) for the benefit of all other applicants.

ODA will provide as much assistance as possible. General help will continue to be posted on the website.

Public Records Note

Basic information on all projects under consideration will be posted on the ODA website.

All information submitted may be posted on the website. Applicants may request confidentiality protection of matters that the law allows a state agency to protect. For assistance see ORS 367.800 to 367.826, the Public Records law; ORS 192.410 to 192.505, the Uniform Trade Secrets Act; ORS 646.461 to 646.475.

Additional Information

For additional information including a copy of 2015 House Bill 2075, the Draft Revised Rule, and Frequently Asked Questions please refer to the ODA website.

Schedule

The Grant Program schedule including the timing of the above steps is posted on the ODA website.

SECTION 3: SUBMISSION INSTRUCTIONS

Applications, checklists, and all supporting materials must be received by **5:00 p.m. on Friday, October 14, 2016 if submitted by mail or in person.** Applications must be received by **11:59 p.m. on Friday, October 14, 2016 if submitted electronically.** Late and incomplete applications will not be accepted. Use one of the following methods to submit your application.

Electronic Submission via ODOT FTP Site

All applications may be submitted via the ODOT FTP site; electronic applications (including all support materials) larger than 10 megabytes must use the FTP site.

1. All electronic submissions must contain additional forms and signatures where instructed.
2. Create a new folder using the following naming format: **[FAA Airport Identifier]_[Project Name]** and place your application and all support materials there.
3. Using Internet Explorer, go to the ODOT FTP site:
[ftp://ftp.odot.state.or.us/incoming/Aviation%20System%20Action%20Program%20\(ASAP\)/](ftp://ftp.odot.state.or.us/incoming/Aviation%20System%20Action%20Program%20(ASAP)/)
4. Open the FTP site in Windows Explorer by pressing Alt, clicking View from the menu bar, and then selecting Open FTP Site in Windows Explorer.
5. Drag and drop or copy and paste your application folder in the FTP window.
6. Once your upload is complete, notify us via email: ASAP@aviation.state.or.us
Include in the e-mail a contact name and telephone number.
7. An e-mail verification will be sent to you if the application materials were received successfully. This is not an automated response and may take one (1) to two (2) business days. Keep this verification as your receipt.

Electronic Submission via E-mail

Applications (including all support materials) smaller than 10 megabytes may be submitted via e-mail.

1. All electronic submissions must contain signatures where instructed.
2. Save the application with the following name format: **[FAA Airport Identifier]_[Project Name]**
3. Attach the application and all supporting materials to an e-mail addressed to ASAP@aviation.state.or.us
Include in the e-mail body a contact name and phone number and a listing of the attachments. The subject line should be in the following format:
COAR Application [FAA Airport Identifier]_[Project Name]
4. Do not send more than one (1) e-mail for each application. If the combined file size of your application and support materials is larger than 10 megabytes, please submit electronically via the FTP site or submit a hard copy via postal mail or in person.

Hard Copy Submission via Postal Mail or In Person

Applications and all supporting materials may be submitted in person or via postal mail. All hard copy submissions must be signed where appropriate. **Hard copy submissions must be received by ODA no later than 5:00 p.m. on October 14, 2016.** Postmarks and late applications will not be accepted.

Submit hardcopy applications to:

Oregon Department of Aviation
3040 25th Street SE
Salem OR 97302-1125
Attn: ASAP - COAR Program