



***Aviation Project Funding Request
Application Instructions***

Aviation System Action Program (ASAP)

September 2016

AVIATION SYSTEM ACTION PROGRAM (ASAP) FUNDING APPLICATION INSTRUCTIONS

If you have not already done so, please sign up for the ASAP electronic mailing list by sending an email request to: Aviation.mail@state.or.us

SECTION 1: APPLICATION FORM	3
General Instructions:	3
Applicant Information, Project Location, and Certification.....	4
Project Description	6
Statewide Impact of Project.....	9
SECTION 2: QUESTIONS AND COMMUNICATION.....	13
Email Notice List	13
Website.....	13
Questions.....	13
Public Records Note.....	13
Additional information	13
Schedule.....	13
SECTION 3: SUBMISSION INSTRUCTIONS	14
Electronic Submission via E-mail	14
Hard Copy Submission via Postal Mail or In Person.....	14

Application Period Begins: September 1, 2016
Application Period Ends: 4:00 PM, September 30, 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 as instructed 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. There is one page of additional space in the Addenda if you wish to provide additional detail on a given topic. 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. The required forms include:

- Application with box checked in Question 4
- Tax Declaration
- Department of Revenue Tax Certification
- Racial and Ethnic Impact Statement

Failure to submit the aforementioned forms will result in a project being declared ineligible due to incompleteness. Instructions for the Tax Declaration and Department of Revenue Tax Certification are below in Question 5.

A completed Racial and Ethnic Impact Statement form must be completed for application to be considered complete. The form is available at: <http://www.oregon.gov/ODOT/TD/TP/CO/COVI-RacialEthnicImpact.pdf>.

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 ODA by following the directions outlined in Section 3 of these instructions.

Comment [RN1]: Will we require all of these forms?

Comment [RN2]: If we require this, we will need to put it on our website and update this link.

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. Additionally, the Organization Name must match the name used in the Department of Revenue Tax Certification. 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. Tax information for a parent corporation will not be accepted for a subsidiary company. For more information about registering with the Oregon Secretary of State, visit:
http://www.filinginoregon.com/pages/business_registry/register/registering.html.

Comment [RN3]: Is this also true for ODA?

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 for non-linear projects such as airports.

Comment [RN4]: Not sure what this means. Should this be required on the app?

Question 3: Check the appropriate box. 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 CO 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 CO Region map 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 how much grant monies have been distributed to each region. ODA will likely share the information with the Oregon Legislature.

Question 4: Check the appropriate box next to the grant program for which you are applying. You may not select more than one program.

COAR Grant Program: For a list of the project criteria, please refer to OAR 738-125-0025. Grants under the COAR Program will be distributed for the following purposes:

- a. To assist airports in Oregon with match requirements for Federal Aviation Administration Airport Improvement Program grants.
- b. To make grants for emergency preparedness and infrastructure projects, in accordance with the Oregon Resilience Plan, including grants for emergency management plan development, seismic studies and emergency generators and similar equipment.

- c. To make grants for services critical or essential to aviation, including, but not limited to, fuel, sewer, water and weather equipment.
- d. Aviation-related business development, including, but not limited to, hangars, parking for business aircraft and related facilities.
- e. Airport development for local economic benefit, including, but not limited to, signs and marketing.

ROAR Program: Applications submitted for the purpose of receiving funding to assist commercial air service to rural Oregon will follow the ROAR Program guidelines set forth in the Department's current program Policy.

Comment [RN5]: A policy for ROAR needs to be adopted and then referenced here by Policy Number.

Question 5: OAR 738-124-0045 (3)(j) states that recipients, if applicable, must covenant, represent and agree to remain current on all state and local taxes, fees and assessments for the useful life of the Project as prescribed in the Agreement.

Comment [RN6]: The rules don't say that the applicant must be current on all state and local taxes, fees, and assessments. The only time this is mentioned is in the ASAP rules under "Project Administration".

To verify currency ODA will use a two part approach: (1) Department of Revenue Tax Certification and (2) ASAP Tax Declaration from.

Each applicant that is responsible for state taxes (including withholding tax) must complete the Department of Revenue Tax Certification and attach to application. Failure to submit the certification with the application will result in an ineligible application due to incompleteness. This form is necessary for **public, private, and non-profit** entities that have some sort of state tax liability including withholding taxes. Applicants must receive a statement from the Oregon Department of Revenue a Tax Compliance Certification. Non-compliance will result in an ineligible application.

Comment [RN7]: Will we require this?

To obtain Oregon Department of Revenue Tax Compliance Certification see the document titled DOR Tax Certification Instructions on the ConnectOregon website at <http://www.oregon.gov/odot/td/tp/pages/connector.aspx>.

Comment [RN8]: If it is determined that we will implement this procedure with the grant program, then a similar Tax Declaration Form and Tax Compliance Certification Request Letter will need to be drafted.

Applicants should submit the Certificate of Compliance to ODA with the application as instructed in Section 3 below by September 30, 2015. To avoid any possible timelines issues applicants should request Department of Revenue Certification early in the application open period. The Certification received from the Department of Revenue should be submitted whether in compliance or non-compliance.

Applicants who receive a non-compliance certification from Oregon Department of Revenue will have until December 31, 2016 to obtain Compliance Certification. Applicants will need to work with Department of Revenue staff to determine the best course to obtain a Compliance Certification.

As the Oregon Department of Revenue does not monitor all taxes and fees, **each applicant (public, private, and non-profit) must also submit a completed Tax Declaration form.** The form is available on the website with the *Application*.

Question 6: 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 7: 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 8: 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.

Project maps must be included with the application. If any portion of the project is in the roadway right-of-way, the right-of-way must be clearly defined and an explanation of any project work in the right-of-way must be explained.

Comment [RN9]: Leave or eliminate?

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.).

Consider including quantitative information, such as:

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

Question 9: 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: 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.

Comment [RN10]: Are these good examples? Are there better examples?

Question 10: Check the appropriate box for your project funding request. Only consider the portion of the project for which you are requesting funding, not the project as a whole. Do not check a box for an element that is not part of the funding request to ODA.

Example 1 (common): The project is a taxiway rehabilitation and has a total project cost of \$3 million. The project is 90% (\$2.7 million) funded by an FAA AIP grant. The request to ODA is for assistance with half (\$150,000) of the total FAA AIP grant match amount (\$300,000).

Project element: Check the box for "Assistance with FAA AIP grant match".

Percentage of Funding Request: Apply 100% in the box adjacent to the selected element. This is because the entire request to ODA is to receive funding assistance with the FAA grant match.

Example 2 (common): The project is to build an aircraft maintenance facility on the airport for aviation-related business development on the airport. You are requesting funding assistance in the amount of \$150,000.

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

Percentage of Funding Request: Apply 100% in the box adjacent to the selected element. This is because the entire request to ODA is to receive funding assistance for aviation-related business development.

Example 3 (uncommon): The applicant will be constructing an aircraft maintenance facility. The request to ODA is for assistance to fund \$150,000 of the costs associated with the infrastructure, building, and ramp.

As part of the project, the applicant will also market the new facility through billboards, posters, and commercials. The applicant will pay for the marketing portion of the project with other funds not associated with ODA grants. The total marketing costs are \$25,000.

Correct Response:

The applicant marks "Aviation-Related Business Development" and applies 100% in the corresponding space under the Percentage of Funding Request column.

This response is correct because although the entire project falls under two elements, the applicant is **requesting funding assistance for only one element**.

Incorrect Response:

The applicant marks "Aviation-Related Business Development" and writes "86%" (\$150,000 divided by \$175,000) in the corresponding space under Percentage of Funding Request column. The applicant also marks "Airport Development for Local Economic Benefit" and writes "14%" (\$25,000 divided by \$175,000) in the adjacent space.

This response is incorrect because the question asks the applicant to identify an element **only for the portion that relates to the funding request**. It is not necessary to assess the entire project as a whole for this question, only the ODA funding request portion.

Question 11: Provide short descriptions of how the funding request fits in with the element(s) that you selected in question 9.

Question 12: Documents: The first table is related to pre-construction documents. In the first table, write the date of when the specified document was completed. If the document has been started but is not yet complete, check the "Underway" box and write the estimated date of completion. If the document is not applicable to the project, check the Not Applicable box.

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: 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 check the appropriate box for the status. If the permit has been completed, write the date the permit was issued. If you have submitted for the permit but it has not yet been issued, check the "Underway" box. If you have not yet submitted for the permit and it is still required, check the "Required" box. If you are unsure whether a certain permit will be necessary, check the "Don't Know" box.

Question 13: 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.

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:

- a. Scoping and Planning means the development of the project size and scope, determination of operational requirements, and required public comment periods.

- b. 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.
- c. Permits means the process of securing any required permits, approvals, or permission from any local, state, or federal agency.
- d. Final Plans/Bidding Engineering Documents means the development of any structural or operational documents required to build or implement the project.
- e. Construction Contract Award means the securing of a contract to build, install, or otherwise prepare the project for operations or use.
- f. 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 "Milestone 1." Briefly describe each milestone.

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.

Question 14: 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). 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 15: 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. Identified jobs should be a direct result of the project improvements. Do not include jobs that will be shifted from one location in Oregon to another within the state, indirect or induced job estimates (multiplier effects), or (short-term) construction 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 approximate average annual wage of the long-term jobs created by the project. 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. Include letters of commitment detailing the number of long-term (non-construction) 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.

Question 16: 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. Be concise with your answer. Cite industry accepted standards to justify the answer. You may attach additional justification documents as necessary and cite those documents. Please provide only the relevant pages that pertain to the project. Each page of supplemental documents should include the document author, title and refer to the question number.

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 will be required to supply ODA with a report regarding these measures within 18 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:

- Speeds
- Flow Rates
- Capacity Measures
- Safety Measures
- Financial Returns
- Measures of Customer Satisfaction

Comment [RN11]: Is this the time frame we will use? This may be a good time frame because it allows the grant recipient to collect sufficient information on the success of the project.

- Measures of Public Benefit

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

- Indicate the current level of success as defined above.
- 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 17: Complete the project funding tables. Do not enter in the percentage fields. These fields will update automatically after you fill in the "Amounts" column.

- Detail the source of the applicant's matching funds (i.e. Connect Oregon, 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 General revenue funds are available immediately.

Grant match requirements are based on the airport's category as listed in the current Oregon Aviation Plan (OAP). This match will be:

- Category 1a -- Commercial Primary: 50%
 - Category 1b -- Other Commercial Non-Primary (less than 10,000 enplanements): 35%
 - Category 2 -- Business: 25%
 - Category 3 -- Regional: 10%
 - Category 4 -- Community: 10%
 - Category 5 -- Low Activity: 5%
- Complete the amount of any requested ODA grant funds.
 - The Project Budget Summary table will update automatically after you complete the first two tables (a and b).
 - Provide information on expenditures that have been incurred prior to the completion of this agreement if the project is selected and awarded. Explain whether you are requesting reimbursement from ODA for any of these expenditures.

Question 18: 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.

Provide names and employers of professionals who determined the project schedule (i.e. Engineer, certified construction project manager, etc.). Detail his/her level of expertise.

Question 19: 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 instances, 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 to: aviation.mail@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.aspx>

Questions

All questions should be emailed to aviation.mail@state.or.us

Individual questions will be answered via email and then the answer will be posted on the website's Program Information & Frequently Asked Questions (FAQs) for the benefit of all other applicants: <http://www.oregon.gov/ODOT/TD/TP/CO/COVI-FAQ.pdf>.

ODA will provide as much assistance as possible. However, because ODA is administering the project selection process, ODA cannot provide individual project-specific advice to applicants. 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 support materials must be received by **4:00 p.m.** on **Friday, September 30, 2016**. Late and incomplete applications will not be accepted. Use one of the following methods to submit your electronic application.

Electronic Submission via E-mail

Applications (including all support materials) that are 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: (Applicant)_(Project Name).
3. Attach the application and all support materials to an e-mail addressed to Aviation.mail@state.or.us. Include in the e-mail body a contact name and phone number and a listing of the attachments.
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 via postal mail or in person.

Hard Copy Submission via Postal Mail or In Person

Applications and all support materials may be submitted in person or via postal mail. All hard copy submissions must be signed where appropriate. Hard copy submissions must be submitted to ODA by the due date. Postmarks and late applications will not be accepted.

Submit hardcopy applications to:

Nohemi Ramos
3040 25th Street SE
Salem OR 97302-1125
Attn: ASAP Program