

Instructions for Preparing Attachments for PFC Application Form
March 2007

Section 6 of FAA Form 5500-1

(Put each applicable attachment on separate pages of plain bond paper)

a. Airport Capital Improvement Plan.

For an application to impose a PFC or a concurrent application to impose and use, submit:

A copy of the airport capital improvement plan or other documentation of all planned improvements (AIP, PFC, and non-federally funded) for **each** airport at which a PFC financed project is proposed. **Note:** This does not need to be a stand-alone document prepared specifically for the PFC application.

For an application to use PFC revenue where authority to impose has been previously approved, include:

Any revision or update to the airport capital improvement plan since the previous approval.

b. Project Information for PFC Application.

[Project Information for a Non-hub Notice of Intent is the attachment H. Go to h.]

Complete a separate Attachment B for each proposed project using the form provided. The Attachment B may be obtained on the FAA Airports Internet site or contact the local FAA Airports office to obtain an electronic version. In addition to the hard copies submitted with the application, submit one copy of each Attachment B electronically. The following are instructions for completing the form. The paragraph of 14 CFR Part 158 which pertains to the information required is provided in parenthesis.

(1) AIRPORT WHERE PROJECT IS LOCATED [158.25(b)(4)]

(2) TYPE OF APPROVAL REQUESTED [158.25(a)]

(3) PROJECT TITLE [158.25(b)(16)]

Use a title that describes the project and differentiates it from other projects in this application or in your PFC program. Do not use "AIP Reimbursement" as a project title.

(4) PROJECT DESCRIPTION [158.25(b)(6)]:

(a)

1) Explain what is to be done in this project. Sufficient detail should be given so a person not familiar with the airport will be able to understand the project. Do not combine dissimilar projects, as you will be required to break the costs out later, e.g., snow removal equipment and security fencing or a runway and parallel taxiway.

2) In the case of a project for gates and related areas undertaken to enable additional air service by an air carrier with less than 50 percent of the annual passenger boardings at an airport under 158.15(b)(6) as amended by AIR 21, the public agency must show how the project will enable additional air service by an air carrier with less than 50 percent of the annual passenger boardings at the airport. This discussion should be included in the discussion on existing conditions that limit competition as required in §158.25(b)(7)

3) For a USE project, where the impose authority was previously approved, highlight any changes from the originally approved impose description. Note that material changes to a project, such as increasing the length of a taxiway, are acceptable when applying for USE approval. However, changing a taxiway project to extension of a runway is not a material change, it is a new project. Such changes require the submittal of the project as a new IMPOSE and USE project.

4) Where appropriate, include a sketch showing the location of the work.

5) For terminal development projects constructing or rehabilitating gates, ticket counters or baggage facilities, if the facilities will have a preferential lease, submit a copy of the lease with the application.

(b) For terminal development projects to construct and/or rehabilitate gates, ticket counters or baggage facilities: 1) indicate the number of gates, ticket counters, or baggage facilities at the airport prior to the implementation of this project; 2) indicate the number of gates, ticket counters, or baggage facilities being constructed or rehabilitated in this project; 3) indicate the net addition of gates, ticket counters, or baggage facilities at the airport after accounting for loss if decommissioning any of the existing facilities.

Baggage Carousel means the sum total of baggage carousels in all the terminals. The number is not per

terminal or concourse and not measured in linear feet. If the airport has 5 terminals and 3 terminals have 10 carousels each, 1 has 5 carousels and 1 has 4 carousels, the number to be entered into the terminal data would be 39 baggage carousels.

Gate means the sum total of gates for all terminals at that airport. The number is not per terminal or concourse. When counting gates, if the airport has gates which are split e.g. there is one entry door from the terminal and a jet bridge which leads to two aircraft parking positions, Gate 41A and 41B, these count as two gates. A gate with no jet bridge used to board various turbo prop and small RJ aircraft parked on the ramp near it would be counted as one gate.

Ticket Counter means the sum total of ticket counters in all the terminals. The number is not per terminal. The ticket counter is the counter area behind which the air carrier employee mans the ticketing/baggage position. It is not measured in linear feet, but in the number of stations. This does not include kiosks or self-use terminals located in front of the ticket counters. If the airport has 3 terminals and one terminal has 50 ticket counter positions, a second has 25 ticket counter positions and the third has 10 ticket counter positions, the number to be entered into the terminal data would be 85 ticket counters.

(5) PROJECT JUSTIFICATION [158.25(b)(7)]:

- a) Provide sufficient details to demonstrate the need for the project. This section explains why the project is needed, and should be a narrative description. For example:
- security equipment should reference the TSA and Part 1542 requirements;
 - safety equipment: safety fencing should reference discouraging access of wildlife to the runway and taxiways; ARFF equipment should reference the airport index minimum requirements and whether the equipment replaces or is new, and if new why it is required;
 - pavement rehabilitation should mention age and condition of current pavement;
 - AIP reimbursement projects will use the same justification as was used in the AIP application, however simply stating that the project is in an AIP grant is not satisfactory justification; and

- snow removal equipment should reference the airport approved snow removal plan, whether the equipment replaces or is new, and if new, why it is required.
- b) If the proposed project involves terminal development, including gates and related areas, discuss any existing conditions that limit competition between or among air carriers and foreign air carriers at the airport, any initiatives proposed to foster opportunities for enhanced competition between and among such carriers, the expected results of such initiatives, and the role of the project in these initiatives. This discussion may be included as an attachment.
- c) For projects such as runway extensions and new runways, project justification depends on AIP project eligibility. Further discussion and documentation is required in such cases. Referenced documents should be attached. For example, runway extensions need a justification in terms of numbers and types of operations which require a longer runway. Also, land acquisitions need a discussion of the proposed use for the property, and the justification for that proposed use, to the extent available.
- d) For ground transportation projects such as new access roads or rail projects, forecast and existing traffic counts or documentation of existing access congestion should be provided.
- (6) LEVEL OF COLLECTION [158.5]
- a) Projects requesting the \$1, \$2, or \$3 PFC level. Provide an objective for the project in number 8. Project Objective.

b) Projects requesting the \$4 or \$4.50 PFC level are separated into two categories:

- Commercial service, non-hub and small hub airports must provide an objective for each project. Go to number 8. Project Objective.
- Medium and large hub airports must show that each project applied for at the above \$3 level will make a significant contribution. Go to number 7. Significant Contribution.

(7) SIGNIFICANT CONTRIBUTION [158.17]: (Medium and large hub airports). A project for a medium or large airport is only eligible for PFC funding at levels of \$4.00 or \$4.50 if the project will make a significant contribution to improving air safety and security, increasing competition between or among air carriers, reducing current or anticipated congestion, or reducing the impact of aviation noise on people living near the airport. The higher standard of the significant contribution must be documented and typically may not include projects such as rehabilitation or planning.

a) Safety and security projects may include any eligible item required under Part 1542 or 14 CFR Part 139 (subject to concurrence by FAA safety specialists or TSA FSD that the project makes a significant contribution to safety or security).

b) Competition projects may include any project that is an essential component in a competition plan required under 49 U.S.C. 40117(k) or a competition discussion required under Part 158.25(b)(7).

c) Projects to reduce current or anticipated congestion may use a variety of means to demonstrate that the standard is met including showing that: the project is approved, in part, for Letter of Intent funding with AIP grants; the project satisfies the FAA Airport Benefit-Cost Analysis Guidance; the project is identified in an FAA Airport Capacity Enhancement Plan; or the project alleviates a binding constraint on airport growth or service.

d) Noise projects may include any project mitigating noise impacts within the 65 DNL zone or higher.

Public agencies are invited to offer and justify alternative approaches in their PFC applications and amendments.

(8) PROJECT OBJECTIVE [158.25(b)(7)]: Provide information on the extent to which the project achieves one or more of the following objectives:

- a) Preserve or enhance safety, security, or capacity of the national air transportation system;
- b) Reduce noise or mitigate noise impacts resulting from the airport; or,
- c) Furnish opportunities for enhanced competition between or among air carriers.

State how the project accomplishes the specific objective listed above. For example, this runway widening project enhances safety by bringing the runway into compliance with AC XXXX.

A statement of which objective the public agency believes the project meets without an explanation is not adequate.

(9) For FAA use only. Do not fill in any information.

(10) ESTIMATED PROJECT IMPLEMENTATION and COMPLETION DATES [158.25(b)(14)(iv)]:

- a) List projected dates of project implementation and completion either actual or estimated.
- b) Indicate any pending actions upon which the project implementation is dependent, such as local government approval, or completion of a related project.

c) Implementation of a project means:

<u>Type of Project</u>	<u>Start of Project</u>
Construction (includes construction projects combined with design and/or land acquisition	Date of notice to proceed or start of physical construction for the PFC project or an element thereof
Equipment/Vehicle (Refurbish)	Date of award of contract to refurbish the vehicle or equipment
Equipment/Vehicle (New)	Date of award of contract or delivery date for new equipment
Land	Date of signing of contract/agreement for the purchase of the parcel
Planning	Date of notice to proceed or commencement of work
Project formulation costs (includes appraisals, engineering, title searches, etc.) as a separate project(s)	Date of notice to proceed or commencement of work

If the proposed project contains both design and construction work, the project implementation date is the date of the notice to proceed (or start of physical construction) for the construction project.

(11) For an IMPOSE ONLY project, estimate date that USE application will be submitted to the FAA [158.25(b)(14)(iii)].

(12) CARRIER COMMENTS

- a) CARRIERS CERTIFYING AGREEMENT [158.25(b)(11)(iii)]: List all air carriers which certified agreement with this project following consultation.

b) CARRIERS CERTIFYING DISAGREEMENT [158.25(b)(11)(iii) and (v)]:

- I. Provide a recap of each disagreement. Identify the air carrier(s) asserting each disagreement and address each disagreement.
- II. The public agency shall provide the reasons for proceeding with the project in the face of this disagreement. Be specific.

(13) PUBLIC NOTICE COMMENTS [158.25(b)(11)(v)]:

a) RESPONDENTS CERTIFYING PUBLIC NOTICE AGREEMENT

List all respondents to the public notice which certified agreement with this project following publication of the public notice.

b) RESPONDENTS CERTIFYING PUBLIC NOTICE DISAGREEMENT

- I. Provide a recap of each disagreement. Identify the respondent(s) asserting each disagreement and address each disagreement.
- II. The public agency shall provide the reasons for proceeding with the project in the face of this disagreement. Be specific.

(14) FINANCING PLAN [158.25(b)(13)]: Use the format provided in Attachment B. If the project was previously approved for authority to IMPOSE, and costs or method of financing have changed, provide the original financing plan and a current financing plan. Note that PFC "Pay-as-you-go" is defined as PFC funds used to pay costs directly as opposed to paying debt service on bonds or other debt instruments.

For each project proposing PFC funding in excess of \$10,000,000, public agencies are required to provide detailed basis of cost information (beyond what is provided in the Attachment B form). This detailed information should, at a minimum, provide detail regarding the cost of each major project component. Ideally, this information will consist of the document(s) the public agency used to determine the amount shown in this section. It is the FAA's intention for the public agency to use existing information rather than creating new documents and analysis. The public agency should also clearly indicate whether the information is based on conceptual design or feasibility studies, construction design, contract, appraisal, or actual costs. The FAA's authority for requiring public agencies to submit detailed basis of cost information is found in

§158.25(b)(16) which states that the public agency must provide “Such additional information as the Administrator may require,” in the application.

IF THE PROJECT’S FUNDING LEVEL IS PROPOSED TO BE \$4.00 AND \$4.50, the public agency must respond to items a – c.

- a) Certify that the amount requested for the project cannot be paid from funds reasonably expected to be available through AIP funding.
- b) If the FAA determines that the project may qualify for AIP funding, the choose whether the FAA to approve the amount of the local match to be collected at a \$4.50 PFC level or collect the entire amount requested at \$3.00 PFC level.
- c) If the project is either Terminal or Surface transportation, the public agency certifies adequate provision for financing the airside needs of the airport, including runways, taxiways, aprons, and aircraft gates.
- d) Comments.

(15) BACK-UP FINANCING PLAN [158.25(b)(16)]: If proposed AIP discretionary funds are included in the Financing Plan (No. 14 above), provide a Back-up Financing Plan (using the format in No. 14), or a project phasing plan, in the event the discretionary funds are not available for the project. This also applies if the public agency is requesting an LOI to fund a portion of the project, whether the proposed LOI does or doesn’t include discretionary funds.

c. Air Carrier Consultation and Public Notice Information.

a) For an application to impose a PFC or a concurrent application to impose and use, or a use application for which a consultation meeting was held, supply a summary of the consultation with air carriers and foreign air carriers operating at the airport, including:

- A list of such carriers and those notified.
- A list of carriers that acknowledged receipt of the notice.
- A copy of the information provided to the carriers at or before the consultation meeting, and after the meeting (if applicable).
- Minutes, notes or a summary of the discussions (recommended).

b) For an application to use PFC revenue where authority to impose has been previously approved and where there are no changes to the projects which would otherwise require a consultation meeting, submit a summary

of further consultation undertaken with the air carriers and foreign air carriers operating at the airport.

c) For an application to amend an existing PFC, submit a summary of further consultation undertaken with the air carriers and foreign air carriers operating at the airport including their agreement or disagreement. In the event of any carrier disagreement, submit the reasons presented by the carriers for disagreeing with the proposed amendment and the public agency's reasons for requesting the amendment in the face of such disagreement.

d) For all PFC applications and, if required, amendment requests, submit a copy of the notice(s) made available to the public and interested agencies. Specify which method(s) were used to distribute the notice.

d. Request to Exclude a Class or Classes of Carriers from PFC Collection.

For an application to impose a PFC or a concurrent application to impose and use that includes a request that a class or classes of carriers not be required to collect PFCs, submit:

(1) A request to exclude a class or classes of carriers;

(2) A copy of the information provided to the carriers during consultation including:

- (i) the designation of each such class,
- (ii) the names of the carriers belonging to each class, to the extent the names are known,
- (iii) the estimated number of passengers enplaned annually by each such class, and
- (iv) the public agency's reasons for requesting that carriers in each such class not be required to collect the PFC;

(3) A copy of the carriers' comments with respect to such information;

(4) A list of any class or classes of carriers that would not be required to collect a PFC based on the official application to FAA, if the request is approved; and

(5) The public agency's reasons for submitting the request in the face of any opposing comments.

For an application to amend an existing PFC, when requesting to establish a new class of carriers, or to amend a previously approved class of carriers, that would not be required to collect the PFC, submit a request to

exclude a class or classes of carriers from the requirement to collect PFCs, including that information required by items d(1) through (5) above.

e. Alternative Uses / Projects.

For a project to impose a PFC (which is not accompanied by a concurrent application for authority to use PFC revenue), submit a description of alternative uses of the PFC revenue to ensure such revenue can be used on eligible projects in the event the proposed project cannot be implemented. Alternatives must equal or exceed the allowable costs of the impose only projects or 5 years collections, whichever is less.

f. Competition Plan/Update. (PGL 04-08)

Each covered airport, as defined in 49 U.S.C. 47106(f), must submit a competition plan to the Secretary in accordance with such section.

A competition plan under this subsection shall include information on the availability of airport gates and related facilities, leasing and sub-leasing arrangements, gate-use requirements, patterns of air service, gate-assignment policy, financial constraints, airport controls over air- and ground-side capacity, whether the airport intends to build or acquire gates that would be used as common facilities, and airfare levels (as compiled by the Department of Transportation) compared to other large airports. The plan will be reviewed to ensure that it meets the requirements of 49 U.S.C. 47106.

g. ALP/Airspace/Environmental

Complete each of the three items in Attachment G.

If filing a Notice of Intent, the ALP/Airspace/Environmental information is contained on page 4 of the Attachment H and qualifying airports do not need to complete the Attachment G unless requested by the FAA.

h. Notice of Intent Project Information

Complete the Attachment H to provide project information for a Notice of Intent. The Attachment H may be obtained on the FAA PFC Database reports page, the FAA Airports website, or contact the local FAA Airports office to obtain an electronic version. One hard copy is submitted to the FAA Airports office and one electronic copy. The following are instructions for completing the form. The paragraph 14 CFR 158 which pertains to the information required is provided in parenthesis.

SUMMARY INFORMATION (page 1)

PUBLIC AGENCY Public agency full name

LOCATION City and state of the impose airport

IMPOSE AIRPORT Full airport name

USE AIRPORT Full airport name at which PFC's will be used. If PFC is to be used at more than one airport, a separate Attachment H should be prepared for each Use airport.

PROJECT TITLE [158.30(b)(2)] Use a title that describes the project and differentiates it from other projects in this application or in your PFC program. Do not use "AIP Reimbursement" as a project title. Do not combine projects such as 'Construct runway and taxiway'.

PFC LEVEL REQUESTED [158.30(b)(2)] \$1, \$2, \$3, \$4, \$4.50

PFC REVENUE REQUESTED [158.30(b)(2)] The Financing Plan. Note that PFC "Pay-as-you-go" is defined as PFC funds used to pay costs directly as opposed to paying debt service on bonds or other debt instruments.

TOTAL PROJECT COST The total amount allocated to complete the project, including all funding sources.

AIP FUNDS [158.30(b)(2)] Does the project include AIP funding

AIP GRANT NUMBER [158.30(b)(2)] Grant number and year, shortened version

PROJECT TYPE [158.30(b)(2)] Choose Impose, Concurrent (impose and use) or Use.

PFC OBJECTIVE [158.30(b)(3)] Choose appropriate the objective.

PROPOSED EXCLUDED CLASS(ES) OF CARRIER [158.30(b)(4)]
For a notice of intent to impose a PFC or a notice of intent to impose and use that includes a request that a class or classes of carriers not be required to collect PFCs, enter:

(1) A request to exclude a class or classes of carriers;

On a separate piece of paper, submit:

(2) A copy of the information provided to the carriers during consultation including:

(i) the designation of each such class,

- (ii) the names of the carriers belonging to each class, to the extent the names are known,
- (iii) the estimated number of passengers enplaned annually by each such class, and
- (iv) the public agency's reasons for requesting that carriers in each such class not be required to collect the PFC;

(3) A copy of the carriers' comments with respect to such information;

(4) A list of any class or classes of carriers that would not be required to collect a PFC based on the official application to FAA, if the request is approved; and

(5) The public agency's reasons for submitting the request in the face of any opposing comments.

For an application to amend an existing PFC, when requesting to establish a new class of carriers, or to amend a previously approved class of carriers, that would not be required to collect the PFC, submit a request to exclude a class or classes of carriers from the requirement to collect PFCs, including that information required by items d(1) through (5) above.

PROJECT DESCRIPTION [158.30(b)(2)] page 2

PUBLIC AGENCY NUMBER - The number used by the Public Agency to identify this project (Optional)

DETAILED PROJECT DESCRIPTION 1) Explain what is to be done in this project. Sufficient detail should be given so a person not familiar with the airport will be able to understand the project. Do not combine dissimilar projects, as you will be required to break the costs out later, e.g., snow removal equipment and security fencing or a runway and taxiway.

2) For a USE project, where the impose authority was previously approved, highlight any changes from the originally approved impose description. Note that material changes to a project, such as increasing the length of a taxiway, are acceptable when applying for USE approval. However, changing a taxiway project to extension of a runway is not a material change. Such changes require the submittal of the project as a new IMPOSE and USE project.

Physical Dates [158.30(b)(3)] Estimated or Actual

Project Start
Project End

Implementation of a project means:

<u>Type of Project</u>	<u>Start of Project</u>
Construction (includes construction projects combined with design and/or land acquisition	Date of notice to proceed or start of physical construction for the PFC project or an element thereof
Equipment/Vehicle (Refurbish)	Date of award of contract to refurbish the vehicle or equipment
Equipment/Vehicle (New)	Date of award of contract or delivery date for new equipment
Land	Date of signing of contract/agreement for the purchase of the parcel
Planning	Date of notice to proceed or commencement of work
Project formulation costs (includes appraisals, engineering, title searches, etc.) as a separate project(s)	Date of notice to proceed or commencement of work

If the proposed project contains both design and construction work, the project implementation date is the date of the notice to proceed (or start of physical construction) for the construction project.

Terminal Information

Pre PFC Action
Post PFC Action

For terminal development projects to construct and/or rehabilitate gates, ticket counters or baggage facilities: 1) indicate the number of gates, ticket counters, or baggage facilities at the airport prior to the implementation of this project; 2) indicate the number of gates, ticket counters, or baggage facilities at the airport at the completion of this project.

Baggage Carousel means the sum total of baggage carousels in all the terminals. The number is not per terminal or concourse and not measured in linear feet. If the airport has 5 terminals and 3 terminals have 10 carousels each, 1 has 5 carousels and 1 has 4 carousels, the number

to be entered into the terminal data would be 39 baggage carousels.

Gate means the sum total of gates for all terminals at that airport. The number is not per terminal or concourse. When counting gates, if the airport has gates which are split e.g. there is one entry door from the terminal and a jet bridge which leads to two aircraft parking positions, Gate 41A and 41B, these count as two gates. A gate with no jet bridge used to board various turbo prop and small RJ aircraft parked on the ramp near it would be counted as one gate.

Ticket Counter means the sum total of ticket counters in all the terminals. The number is not per terminal. The ticket counter is the counter area behind which the air carrier employee mans the ticketing/baggage position. It is not measured in linear feet, but in the number of stations. This does not include kiosks or self-use terminals located in front of the ticket counters. If the airport has 3 terminals and one terminal has 50 ticket counter positions, a second has 25 ticket counter positions and the third has 10 ticket counter positions, the number to be entered into the terminal data would be 85 ticket counters.

Disagreement [158.30(b)(4)] page 3

DISAGREEMENT Did the public agency receive any disagreements from air carriers or the public?

DESCRIBE DISAGREEMENT AND SOURCE Provide a recap of each disagreement. Identify the air carrier(s) and/or responder from public the public notice asserting each disagreement.

PUBLIC AGENCY REASON FOR PROCEEDING The public agency shall provide the reasons for proceeding with the project in the face of this disagreement. Be specific.

Environmental, ALP, Airspace Findings and Non-AIP Justification page 4

PROJECT JUSTIFICATION [158.30(b)(3)] *for projects with no existing or approved AIP funding:*

Provide sufficient details to demonstrate the need for the project. This section explains why the project is needed, and should be a narrative description. For example:

- security equipment should reference the equipment required by 49 CFR Part 1542, safety equipment required by Part 139;
- safety equipment: safety fencing should reference discouraging access of wildlife to the runway and taxiways; ARFF equipment should reference the airport index minimum requirements and whether the equipment replaces or is new, and if new why it is required;
- pavement rehabilitation should mention age and condition of current pavement, and;
- snow removal equipment should reference the airport approved snow removal plan, whether the equipment replaces or is new, and if new, why it is required.

AIRPORT LAYOUT PLAN (ALP), AIRSPACE, AND ENVIRONMENTAL FINDINGS [158.30(c)] *for all concurrent and use projects.*

Complete the ALP, airspace and environmental findings for each project. Or complete the Attachment G.

FAA Findings & Comments page 5

For FAA Use only

i. Other.

Please indicate any other materials attached to the application.