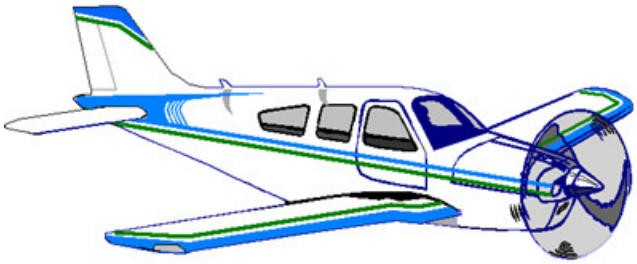
State Dollars for Your Airport



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Preface

The Caltrans Division of Aeronautics prepared this document for airport managers, sponsoring agencies, and airport land use commissions so that they can better understand the funding programs that the State of California uses to financially assist public-use airports.

If you have any questions about this publication, please contact us at (916) 654-4959 or www.dot.ca.gov/aeronautics.

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Introduction

The mission of the California Department of Transportation (Caltrans) in aviation is to foster and promote the development of a safe, efficient, dependable, and environmentally compatible air transportation system. Our vision is to develop a system of airports that will meet the majority of needs of the aviation community and the general public; and do so in a manner that provides safe, efficient, economically beneficial and environmentally compatible facilities within our available resources.

The State's aviation commitment began in 1947 with creation of the California Aeronautics Commission which eventually became the Division of Aeronautics in Caltrans. The State Aeronautics Act, Public Utilities Code (PUC) section 21001 et seq., is the foundation for the Department's aviation policies.

Grants and loans from the Division fund projects for safety, maintenance, and capital improvements at airports and also fund the preparation of airport land use compatibility plans. These funding programs are the focus of *State Dollars for Your Airport*.

We issue permits for, and periodically inspect, heliports and airports; make recommendations regarding proposed school sites within two miles of an airport runway; and authorize helicopter landing sites at/near schools. Aviation system planning provides for the integration of aviation into transportation system planning on a regional, statewide, and national basis. We administer noise regulations and land use planning laws that foster compatible land use around airports and we encourage mitigation measures to lessen environmental impacts caused by aviation.

As you read this document, the terms "Department," "Caltrans," "State," "Division," and "Aeronautics" are generally interchangeable and usually refer to the Division of Aeronautics in Caltrans.

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Chapter 1. State Grants and Credits

General Description of the California Aid to Airports Program (CAAP)

Aeronautics Account

All State funding programs for aviation purposes are supported by the Aeronautics Account in the State Transportation Fund.

Revenues from excise taxes on general aviation (GA) fuel are deposited in the Aeronautics Account. As of 2006, GA avgas is taxed at 18¢ per gallon and GA jet fuel at 2¢. These taxes generate about $7.5 million annually. The Aeronautics Account also receives small amounts from document sales and interest earned.

The Revenue & Taxation Code (§8352.3) mandates the priority for expending funds from the Aeronautics Account:

a. State Controller and the Board of Equalization for administering the collection of fuel taxes.
b. Division of Aeronautics' operations.
c. Grants and credits for airports.

The Public Utilities Code (§21682-21683.2) specifies the priority for distributing funds among the three funding programs:

#1 **Annual Credits**. $10,000 annually for each eligible airport.

#2 **AIP Matching Grants**. The amount set aside for this is at the discretion of the California Transportation Commission (CTC). CTC's goal is to match every eligible, federal Airport Improvement Program (AIP) grant that benefits GA.

#3 **A&D Grants**. The funds remaining after Annual Credits and AIP Matching are programmed for Acquisition and Development (A&D) grants, which CTC selects from the projects that the Capital Improvement Plan (CIP) identifies.

Ineligible Projects

Annual Credits

Annual Credits may not be used for:

a. Land that the sponsor acquired prior to applying to Caltrans.
b. Local matching prior to acceptance of the federal AIP grant.
c. Legal and administrative services.

AIP Matching Grants

AIP Matching grants will not be approved for projects that the sponsor started or completed prior to State allocation of AIP Matching funds; nor will AIP Matching be allowed prior to a sponsor's acceptance of the federal grant.

Land Acquisition will not be approved if the sponsor purchases the property prior to the date that the Department receives the application for an AIP Matching grant.

Acquisition and Development (A&D) Grants

A&D grants may not be used for:

a. Land that the sponsor acquired prior to applying to Caltrans.
b. Local match for a federal AIP grant.
c. Legal and administrative services.
d. A project that has been completed.
e. A project for which construction has already started.

Annual Credits

Type of Assistance

These are State funds that accrue to each eligible airport for use at the sponsor's discretion, subject to applicable laws and regulations.

Sponsor Eligibility

The airport must be owned by an eligible public entity (city, county or district). The sponsor must:

- Have a valid State permit for a public-use airport.
- Ensure that the airport is open to the public without restriction to general and commercial aviation.
- Adopt rules that give it sufficient control over airport operations.
- Have height restrictions that prevent obstructions in the airport's "imaginary" surfaces.
- Establish a Special Aviation Fund which accounts for airport payments received and expenditures related to CAAP funds.
- Annually certify eligibility with the form DOA-0007.
- Not have federal designation as a Reliever or Commercial Service airport.

Uses and Restrictions

The Annual Credit can fund projects for "airport and aviation purposes" and "operation and maintenance," fueling facilities, restrooms, aircraft wash racks, and matching federal AIP grants as defined in the State Aeronautics Act (Sections 21681 (f) and (g). (Aeronautics Act excerpts, CAAP regulations, and a list of CAAP-eligible projects are in the Appendix.) In addition, Annual Credits can be used for operation.

A sponsor with more than one eligible airport may transfer Annual Credit funds between its airports with prior approval from the Department.

Funding Level

Annual Credits accrue at $10,000 per year. At the sponsor's discretion, up to five years' worth of Annual Credits may be accumulated. Eligible accrued funds are held by Caltrans.

Matching Requirement

The Annual Credit has no local match requirement.

Funding Cycle

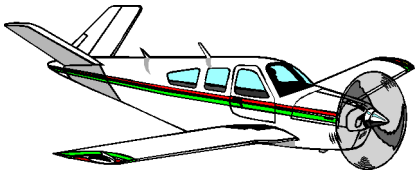
Once the sponsor certifies that its airport is eligible (via form DOA-0007), the Department credits the airport's account once each fiscal year. This certification occurs annually but the airport may apply to expend its Annual Credits at any time. Every year, the Department notifies eligible sponsors of the process and provides the necessary forms for certification and expenditure.

The full process for Annual Credits is outlined in Chapter 5 "Processes."

Pay-back Requirements

If an airport is closed to the public for more than one year, a portion of the Annual Credit funds that the sponsor expended in the previous 20 years must be paid back to the Department. The amount to be repaid is the original amount reduced at the rate of 5% per year. Pay-back is not required for an airport that has been replaced by a comparable facility within one year. The Department may also waive repayment of Annual Credits if it determines that the airport is not necessary to the system of public airports.

Annual Credits are subject to State audit. Records that substantiate the expenditure of Annual Credit monies should be retained for three years. The sponsor may have to repay funds if an audit finds that State law or generally accepted accounting principles have been violated.



Capital Improvement Plan (CIP)

CIP Background

The CIP is a 10-year capital improvement plan (CIP) for each eligible airport. It is based on the airport's adopted Master Plan (or other comparable planning document) and is approved by the applicable regional transportation planning agency (RTPA). The Department updates the CIP every two years.

As an element of the overall California Aviation System Plan (CASP), the CIP is a tool to link ongoing statewide aviation system planning with project funding. The CIP serves as an unconstrained fiscal estimate for airport development projects as desired by airport sponsors, and for airport land use compatibility plans.

Using projects in the CIP, the Department applies a priority matrix to select A&D grants. Also, eligibility for AIP Matching grants is predicated upon a project's inclusion in the CIP.

A current version of the CIP is available from the Aeronautics website.

Applying for the CIP

Inclusion in the CIP follows one of the two following processes:

♦♦ **NPIAS Airports**. When submitting the annual ACIP to the FAA, the sponsor of a NPIAS airport provides a copy of the federal ACIP to Caltrans. Aeronautics compiles these annual requests for the biennial CIP.

♦♦ **ALUC & Non-NPIAS Airports**. Caltrans sends application forms to each sponsor every other year. ALUCs and sponsors of each non-NPIAS airport then submit their CIP project lists to their RTPAs and to Aeronautics.

Aeronautics combines the federal ACIP information from NPIAS airports, the ALUC/Non-NPIAS CIP applications, and the RTPA comments to prepare the statewide CIP. The CTC then reviews and adopts the CIP. This occurs in "odd" years.

Note: Inclusion of an airport project or an ALUCP in the CIP does not imply compliance with either the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA).

AIP Matching Grants

Type of Assistance

These are State grants to assist a sponsor in meeting the local match for an AIP grant from the Federal Aviation Administration (FAA).

Sponsor Eligibility

The sponsor must meet the same eligibility requirements as for Annual Credits. In addition, reliever airports are eligible for AIP Matching grants.

Uses and Restrictions

Caltrans may provide a match not to exceed 5% of the sponsor's AIP grant. The State will match only those portions of an AIP grant which are primarily for GA purposes.

A project, which an AIP grant funds, must be included in the State's CIP to be eligible for a State matching grant.

Funding Level

The Division sets aside an amount for AIP Matching grants in the biennial Aeronautics Program. The goal for the set-aside is to have an amount that will be sufficient to match all likely AIP grants.

Matching Requirement

The State AIP Matching grant can be up to 5% of the AIP grant. CTC may adjust the actual State AIP Matching grant rate in accordance with the federal matching rate and the availability of State funds. Currently, the match rate is 2.5%.

Besides an AIP Matching grant, a sponsor may also use its Annual Credits towards its share of the local match.

Funding Cycle

The AIP project must be included in the State's CIP, which Caltrans prepares every other year. The sponsor initiates its input to the CIP by providing Aeronautics with a copy of the federal ACIP that the sponsor submits to the FAA annually.

A sponsor may apply for AIP Matching funds once the FAA awards an AIP grant and the sponsor accepts that grant, but before starting the project.

Aeronautics will review the application package for: (1) project's inclusion in the CIP, (2) copy of the executed FAA grant agreement, (3) authorization from the sponsor, (4) AIP grant compliance with CEQA, (5) project and airport eligibility, etc. After this review, and pending funding availability, Caltrans will prepare an AIP Matching Grant Agreement.

Chapter 5 "Processes" has a flowchart which provides more detail about the process for AIP Matching.

Pay-back Requirements

If an airport is closed to the public for more than one year, a portion of the AIP Matching funds that the sponsor received in the previous 20 years must be paid back to the Department. The amount to be repaid is the original amount reduced at the rate of 5% per year. Pay-back is not required for an airport that has been replaced by a comparable facility within one year.

AIP Matching grants are subject to State audit. Records that substantiate the expenditure of AIP Matching monies must be retained for three years after final payment as per the Grant Agreement. The sponsor may have to repay funds if an audit finds that State law, generally accepted accounting principles, or the Grant Agreement's provisions have been violated.

Acquisition and Development (A&D) Grants

Type of Assistance

These are 90% State grants subject to CTC allocation.

Sponsor Eligibility

The sponsor must meet the same eligibility requirements as for the Annual Credit. In addition, Reliever and Commercial Service airports are eligible for A&D grants. Also, an airport land use commission (ALUC) can receive funding to prepare/update an airport land use compatibility plan (ALUCP).

Uses and Restrictions

The A&D grants are for the "acquisition and development of airports." (PUC Section 21683).

Funding Level

The amount available for A&D grants is whatever is left over in the Aeronautics Account after funding State Operations, Annual Credits and AIP Matching grants.

Total A&D funding for a single airport is limited to $500,000 annually, although regulation 4063(c) allows for certain exceptions.

An A&D grant may be no smaller than twice the Annual Credit amount (i.e., $20,000).

Matching Requirement

The sponsor must provide a 10% match. The matching rate can vary from 10% to 50% at CTC's discretion but, to date, only 10% has been selected. Neither the Annual Credit nor a State loan may be used as the local match for an A&D grant.

Funding Cycle

A sponsor initiates its A&D request through the Capital Improvement Plan (CIP). Projects which are selected from the CIP for funding become the Aeronautics Program. For NPIAS airports, sponsor submits project list to Caltrans for the State's CIP by sending a copy of its federal ACIP projects. Non-NPIAS airports and ALUCs submit projects directly to Caltrans for inclusion in the CIP.

Project selection is in accordance with a CTC-approved priority matrix, which is on the Division's website. In addition to the three categories of the matrix (safety, capacity and security), selection is based upon an airport's eligibility for AIP grants. The Department sets aside funds for Non-NPIAS airports, NPIAS airports and ALUCPs. Prioritization occurs within each set-aside.

Each time that the CTC adopts the multi-year Aeronautics Program, the Department will notify the airports and ALUCs and provide a list of selected projects, their amount, and their programmed year.

Prior to the state fiscal year in which a sponsor's project has been programmed, Caltrans will contact the sponsor with instructions and forms for the next step: allocation of funds by the CTC. A sponsor's submittal of forms DOA-0007 and DOA-0010 (see Chapter 6 "Forms") initiates Aeronautics' procedures that bring the sponsor's allocation request to the CTC.

An allocation can be accelerated ahead of its programmed year if funds are available.

Upon CTC allocation, the Department will encumber funds for the project and notify the sponsor to begin project design. The plans and specifications for a construction project must be reviewed and approved by the Department's Airport Engineer. Aeronautics must also approve the sponsor's selection of a construction contractor. Upon

approving the sponsor's selection of a contractor, Caltrans will prepare a Grant Agreement and send it to the sponsor. Progress payments, as appropriate, can be made but the Department will hold 10% of each payment pending inspection of the final product. Similar processes are used for an ALUCP, an airport layout plan (ALP), a Master Plan, and land acquisition.

Project services (engineering, design, etc.) are limited to 12% of the total construction cost for the project. For land acquisition, project services includes appraisals, escrow fees, and title fees.

Chapter 5 "Processes" has several flowcharts which provide more detail about the processes for A&D construction projects and ALUCP funding.

Pay-back Requirements

If an airport is closed to the public for more than one year, a portion of the A&D grant funds that the sponsor expended in the previous 20 years must be paid back to the Department. The amount to be repaid is the original amount reduced at the rate of 5% per year. Pay-back is not required for an airport that has been replaced by a comparable facility within one year.

Grants are subject to State audit. Records that substantiate the expenditure of A&D monies must be retained for three years after final payment as per the Grant Agreement. The sponsor may have to repay funds if an audit finds that State law, generally accepted accounting principles, or the Grant Agreement's provisions have been violated.

Chapter 2. California Airport Loan Program

Type of Assistance

These are discretionary State loans to eligible airports for construction and land acquisition projects that benefit an airport and/or improve its self-sufficiency.

Sponsor Eligibility

The sponsor eligibility requirements for grants apply equally to loans.

Uses and Restrictions

Projects that enhance an airport's ability to provide general aviation services (hangars, GA terminals, utilities, GA fueling facilities, A&D-eligible projects, etc.) are eligible. A loan may also provide the local share for an AIP grant. Such a loan can be used in conjunction with a State-funded AIP Matching grant.

Caltrans cannot approve loans for (1) the local match on an A&D grant, or (2) projects that accommodate scheduled air carriers.

For a revenue-producing project, the sponsor must establish a separate account to receive income from the project. In this account, the sponsor will hold in trust an amount equal to one year's repayment of the loan.

The Department approves the amount of the loan in accordance with the project's feasibility and the sponsor's financial situation. Economic feasibility is an especially strong factor in the approval of revenue-generating projects (e.g., hangars).

Funding Level

Funding varies with the available balance in the Local Airport Loan Account. This is a revolving fund which was initiated with seed money from the Aeronautics Account. As principal and interest payments come into the Loan Account, the Division of Aeronautics can provide loans to airports.

Matching Requirement

No local match is required for a loan.

Funding Cycle

A sponsor may request a loan at any time. Aeronautics reviews the application and assesses the project's feasibility. Next, the Division conducts a public hearing on the loan. After execution of the Loan Agreement, the State issues a warrant for the loan amount.

The loan process is outlined in Chapter 5 "Processes." Application forms are included in Chapter 6 "Forms."

Pay-back Requirements

A payback schedule is included with each Loan Agreement. Payments are annual. The interest rate is the same as for the State general obligation bonds that were sold at the time of the loan and is computed as simple interest. The maximum term is 17 years.

Loans are subject to State audit. Records that substantiate the expenditure of loan monies must be retained until three years after the loan's retirement. The sponsor may have to repay funds if an audit finds that State law, generally accepted accounting principles or the Loan Agreement's provisions have been violated.

Chapter 3. Processes

This chapter consists of flowchart-like descriptions for each of the following processes:

a. Annual Credit (formerly known as the Annual Grant).
b. AIP Matching Grant.
c. Acquisition and Development (A&D) grant for a construction project at a Non-NPIAS airport.
d. Acquisition and Development (A&D) grant for an Airport Land Use Commission (ALUC) to use in preparing or updating an airport land use compatibility plan (ALUCP).
e. Acquisition and Development (A&D) grant for a construction project at a NPIAS airport.
f. Airport Loan.
g. CEQA (Environmental Review). A text description and web references for CEQA forms follow the flowchart.

Local Government Approval. In the interest of brevity, these process descriptions do not mention the need for an authorizing resolution to accompany applications for grants and loans. However, each grant/loan application does have this requirement. (The Annual Credit is exempt from such an approval.) To assist sponsors in developing applications, the Department offers examples of authorizing resolutions in the Appendix. These may be used to guide preparation of local resolutions for the governing body (city council, board of supervisors, etc.) to authorize grant/loan applications. The examples are illustrative only and are not intended to replace local policies and formats for such resolutions.

Annual Credit

Sponsor Action	Caltrans Aeronautics Action
	Transmit DOA-0007 and DOA-0009 forms to sponsors (annual).
Return DOA-0007 (eligibility certification) to Caltrans. Include DOA-0009 (Annual Credit disbursement) if expending some or all of the Annual Credit.	
	Upon receipt of DOA-0007, confirm eligibility and encumber $10,000 (maximum) for the airport's Annual Credit account.
	Upon receipt of DOA-0009, review request for compliance with laws and regulations. Forward to the State Controller for payment.
	Maintain a record of accumulated Annual Credits for each airport.
If desired, request transfer of Annual Credits between eligible airports that the sponsor owns. Caltrans does not have a form for a transfer request, so the request should be in letter format.	
	Review and approve/reject sponsor's transfer request.

Non-NPIAS Airport: Construct a Project with an A&D Grant

Sponsor Action	Caltrans Aeronautics Action	CTC Action
	Transmit CIP forms and instructions to sponsors of Non-NPIAS airports with a request for projects (biennual).	
Prepare CIP. Transmit to Caltrans.		
	Compile statewide CIP with requests from airports/ALUCs and RTPA input.	
		Adopt CIP.
	Apply priority matrix and funding constraints to the CIP to select projects for the Aeronautics Program (biennial).	
		Adopt Aeronautics Program.
	Notify airports of the adopted Program.	
	Send forms/instructions to sponsors with a programmed project (annual).	
Return DOA-0007 (eligibility certification) and DOA-0010 (A&D request) to Caltrans.		
	Review request and forward to CTC.	
		Allocate funds.
	Notify sponsor of the allocation and need to work with the Caltrans Airport Engineer to complete project design. Encumber funds for the project.	
Submit plans, specifications and estimates (PS&E) for the project to Caltrans.		
	Review PS&E. Recommend changes. Notify sponsor to initiate bidding for construction.	
Receive construction bids. Submit preference to Caltrans.		
	Approve selection of contractor. Prepare Grant Agreement and send to sponsor.	
Accept/sign Grant Agreement and return to Caltrans.		
	Execute Grant Agreement. Notify sponsor to award contract and start work.	
Begin construction.		

ALUC: Prepare or Update an ALUCP with an A&D Grant

ALUC/Sponsor Action	Caltrans Aeronautics Action	CTC Action
	Transmit CIP forms and instructions to ALUCs (biennial).	
Prepare CIP. Transmit to Caltrans.		
	Compile statewide CIP with requests from airports/ALUCs and RTPA input.	
		Adopt CIP.
	Apply priority matrix and funding constraints to the CIP to select projects for the Aeronautics Program (biennial).	
		Adopt Aeronautics Program.
	Notify ALUCs of the adopted Program.	
	Send forms/instructions to the ALUCs with a programmed ALUCP (annual).	
Return DOA-0010 (A&D request) to Caltrans.		
	Review request and forward to CTC.	
		Allocate funds.
	Notify ALUC of the allocation and need to work with the Caltrans Land Use Planner. Encumber funds for the ALUCP.	
Submit work plan to prepare or update ALUCP.		
	Review work plan specifications. Recommend changes. Notify ALUC to initiate bidding for a consultant.	
Receive consultant bids. Submit preference to Caltrans.		
	Approve consultant selection. Prepare Grant Agreement and send to ALUC.	
Accept/sign Grant Agreement and return to Caltrans.		
	Execute Grant Agreement. Notify ALUC to award contract and start work.	
Begin work on ALUCP.		
Note: Project is considered complete when the ALUCP is adopted.		

If the ALUC prepares the ALUCP with its own staff, the contract steps above are not necessary. However, Caltrans would still approve the ALUC's work plan for the ALUCP.

NPIAS Airport: Construct a Project with an A&D Grant

Sponsor Action	Caltrans Aeronautics Action	CTC Action
Prepare the ACIP for FAA. Transmit ACIP to FAA and Caltrans (annual).		
	Compile statewide CIP with requests from airports/ALUCs and RTPA input.	
		Adopt CIP.
	Apply priority matrix and funding constraints to the CIP to select projects for the Aeronautics Program (biennial).	
		Adopt Aeronautics Program.
	Notify airports of the adopted Program.	
	Send forms/instructions to sponsors with a programmed project (annual).	
Return DOA-0007 (eligibility certification) and DOA-0010 (A&D request) to Caltrans.		
	Review request and forward to CTC.	
		Allocate funds.
	Notify sponsor of the allocation and need to work with the Caltrans Airport Engineer to complete project design. Encumber funds for the project.	
Submit plans, specifications and estimates (PS&E) for the project to Caltrans.		
	Review PS&E. Recommend changes. Notify sponsor to initiate bidding for construction.	
Receive construction bids. Submit preference to Caltrans.		
	Approve contractor selection. Prepare Grant Agreement and send to sponsor.	
Accept/sign Grant Agreement and return to Caltrans.		
	Execute Grant Agreement. Notify sponsor to award contract and start work.	
Begin construction.		

NPIAS Airport: AIP Matching Grant

Sponsor Action	Caltrans Aeronautics Action	CTC Action	FAA Action
Prepare ACIP for FAA. Transmit ACIP to FAA and Caltrans (annual).			
	Compile statewide CIP with requests from airports/ALUCs and RTPA input. Submit to CTC (biennial).		
		Adopt CIP	
		Allocate funds in a set-aside for AIP Matching (annual)	
			Award AIP grants (annual)
Receive AIP grant. Submit DOA-0007 (eligibility certification) and DOA-0012 (AIP Match) to Caltrans with all supporting documentation (listed in Part III on application).			
	Review application. Determine eligibility, verify CIP entry, etc. Encumber AIP Matching funds for the project if funds are available.		
	Prepare Grant Agreement and send to sponsor.		
Accept/sign Grant Agreement and return to Caltrans.			
	Execute Grant Agreement. Notify sponsor to begin construction.		
Begin construction.			

Airport Loan

Sponsor Action	Caltrans Aeronautics Action
Submit DOA-0007 and form DOA-0020 to Caltrans.	
	Determine project feasibility and fund availability. Reject or approve application. "Approved" applications are subject to the subsequent public hearing and execution of Loan Agreement.
	Conduct public hearing on loan.
	Prepare Loan Agreement and send to sponsor. The interest rate for the loan is set at this time. Because the repayment schedule starts when the State warrant for the loan is issued, the sponsor may request that Aeronautics hold a Loan Agreement to better coordinate timing for construction & funding.
Accept/sign Loan Agreement and return to Caltrans.	
	Execute the Loan Agreement which involves approval by the State's Department of General Services. Request payment by the State Controller.
Notes on "timing": 1. The sponsor may construct the project at any time but Caltrans can guarantee loan funds only after the public hearing and General Services' approval of the Loan Agreement. 2. The State Controller's warrant for an AIP Matching loan will not be issued until the sponsor provides Caltrans with an executed copy of the federal AIP Grant Agreement.	
	The Caltrans Division of Accounting transmits a payment invoice annually to the sponsor, beginning one year after the State warrant.
Pay interest and principal as per the annual Caltrans invoice and provisions of the Loan Agreement.	

CEQA (Environmental Review)

For the purposes this funding manual, the airport sponsor is assumed to be the Lead Agency. The complete description of the CEQA process is available in Appendix C of the CEQA Handbook (URL is below).

CEQA (Public Resources Code § 21000 *et. seq.*) requires State and local agencies to identify the significant environmental impacts of their actions and avoid or mitigate those impacts, if feasible. The CEQA Guidelines are the State regulations that explain and interpret the law for the public agencies which administer CEQA.

As a "Responsible Agency" under CEQA, the Division has discretionary approval authority over State funds for airport grants/loans and new/amended airport/heliport permit applications.

The following websites provide detailed information concerning the CEQA process.

- CEQA Guidelines: http://ceres.ca.gov/topic/env_law/ceqa/guidelines/
- CEQA Handbook: http://www.opr.ca.gov/planning/PDFs/sch_handbook.pdf
- CEQA website: http://ceres.ca.gov/ceqa/
- CEQA statute: http://ceres.ca.gov/topic/env_law/ceqa/stat/

For specifics concerning the Division of Aeronautics' CEQA requirements go to:

http://www.dot.ca.gov/hq/planning/aeronaut/htmlfile/environment.php

Refer to the Aeronautics website for Environmental staff assignments.

For projects with federal involvement and subject to the National Environmental Policy Act, the Federal Aviation Administration's environmental management policies in FAA Orders 1050.1E and 5050.4A should also be considered.

http://www.faa.gov/airports_airtraffic/airports/regional_guidance/central/environmental/

Chapter 4. Frequently Asked Questions

1. Do I have to certify my eligibility for the California Aid to Airports Program (CAAP) every year?

   Answer: Yes. Aeronautics sends the certification form (DOA-0007) annually. The form is also available from Aeronautics' website and Chapter 5 of this Manual.

2. Do I have to request disbursement of my Annual Credit every year?

   Answer: No. Airports may accrue up to $50,000 over 5 years in their account. Any funds remaining in the account over $50,000 revert to the Aeronautics Account. Use Form DOA-0009 to request reimbursement for qualified expenses. This form is in Chapter 5 "Forms." Annual Credit eligible projects are found in PUC 21681(f) and (g) and Section 4062 of the regulations and are also listed in Appendix 5. These items are also available on the Aeronautics website.

3. Can I use my Annual Credit for the local match to an AIP grant?

   Answer: Yes. Annual Credits can used as part or all of the local match for a federal AIP grant. The Annual Credit may be used in conjunction with a State AIP Matching grant, too.

4. Can I use my Annual Credit for the local match to an A&D grant?

   Answer: No. State law expressly prohibits using the Annual Credit for the local match to an A&D grant.

5. When can I apply for an AIP Matching grant?

   Answer: As soon as the public entity receives and signs the FAA grant offer, apply immediately to the State. To be eligible, sponsor must apply for and receive the matching grant agreement before starting the project.

6. How long does it take to get an AIP Matching Grant?

   Answer: If funding is available immediately and the grant application is complete (CIP, CEQA, AIP grant, etc.), Aeronautics generally issues the Grant Agreement within 3 to 4 weeks.

7. How do I get paid for an AIP Matching grant?

   Answer: Once the public entity submits the pay request (either Form 271 or ECHO report) to FAA and receives the subsequent payment, it may request State matching. If this is a progress payment, a 10% retention will be withheld by Aeronautics until the project is finished and completely paid by the FAA.

8. Whom do I contact regarding my A&D project?

   Answer: Contact the Aeronautics' Airport Engineer who will be assigned to you once the CTC allocates funds for your project.

9. How does an ALUC apply for a grant to prepare an ALUCP?

   Answer: At the start of each Capital Improvement Plan (CIP) cycle, Aeronautics provides each ALUC with application forms. After review of the CIP applications by the regional transportation planning agencies and the California Transportation Commission (CTC), the Department will select airport projects and ALUCPs in accordance with a rating matrix and the availability of funds. (See Chapter 5 "Processes" for an ALUCP-grant flowchart.)

10. How long does it take to get a loan?

    Answer: From the time a complete application package is received, 3 to 4 months will pass before the State Controller issues a warrant for the project. Approvals are longer when environmental documentation is incomplete and/or the project's economic feasibility is not immediately apparent.
    Note: Aeronautics will "hold" approval at the sponsor's request to accommodate the construction schedule.

11. What is the current interest rate for loans?

    Answer: A loan's interest rate is equal to the State General Obligation (GO) bond sale which occurs prior to Caltrans' approval of the loan. That interest rate applies for the full term of the Loan Agreement. The interest rate on the State's GO bonds varies with the State's credit rating and the overall bond market.

12. What is the maximum term for a loan?

    Answer: 17 years.

13. How can I get additional information about airport grants and loans?

    Answer:

    State grants and loans: Visit the website for Caltrans Aeronautics (www.dot.ca.gov/aeronautics) or call 916/654-4959.

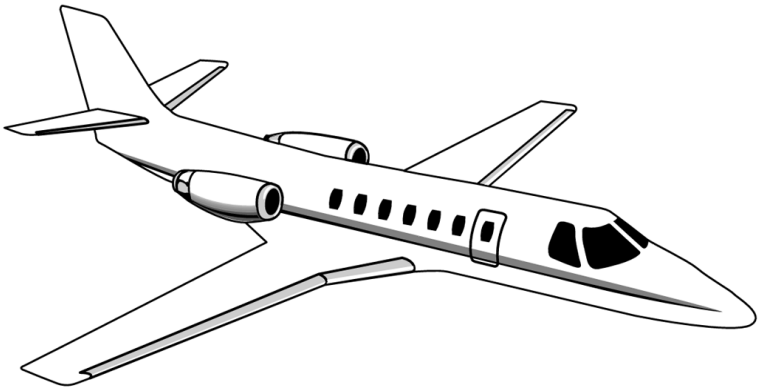
    Federal grants: Call the FAA at 310/725-3608 (Southern California) or 650/876-2778 (Northern California). Information about FAA grants is at www.faa.gov/airports_airtraffic/airports/aip.

Chapter 5. Forms

This chapter contains the following forms:

- California Aid to Airports Program (CAAP) Certification (DOA-0007)
- CAAP Annual Credit Disbursement Request (DOA-0009)
- Acquisition & Development (A&D) Grant – Application (DOA-0010)
- State Matching Grant for FAA Airport Improvement Program – Application (DOA-0012)
- Airport Development Loan – Application (DOA-0013)
- Matching Funds Loan – Application (DOA-0019)
- Revenue Generating Loan – Application (DOA-0020) and Checklist for Economic Feasibility (back of DOA-0020)

Note: All forms are available on the "Grants, Credits and Loan" section of the Aeronautics' website (www.dot.ca.gov/aeronautics).



STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

CALIFORNIA AID TO AIRPORTS PROGRAM (CAAP) - CERTIFICATION

DOA-0007 (Rev 01/2005)

PART I. AIRPORT CERTIFICATION

I am authorized by _____(Public Entity)

and *hereby certify* that _____ (Airport Name),

for the fiscal year _____, meets the eligibility requirements of, and will be operated and maintained in accordance with, Sections 21680 through 21688 of the California Public Utilities Code (PUC) and the CAAP Regulations found in Title 21 of the California Code of Regulations, Division 2.5, Chapter 4.

1. This airport meets the Permit and Funding Requirements of CAAP Section 4056.
2. The Public Entity has control over airport operations under rules, regulations, or operating procedures adopted by Ordinance or Resolution #_____ dated _____ per CAAP Section 4057.
3. Required airport surfaces for all usable runways are protected in accordance with the provisions of PUC Section 21688 and CAAP Section 4058.
4. The above airport is designated by the Federal Aviation Administration as _____ (Select One: Reliever, Commercial Service, General Aviation, or Non-NPIAS) [PUC Section 21682(b)].
5. Current Airport Layout Plan dated _____ is on file with the Division of Aeronautics (Information only: not a requirement for eligibility certification).

SIGNATURE	PRINT NAME	TITLE
BUSINESS ADDRESS	BUSINESS PHONE	DATE

PART II. FINANCIAL CERTIFICATION

I *hereby certify* that a SPECIAL AVIATION FUND has been established and will be maintained with a separate account for said airport in accordance with PUC Section 21684. Disbursements from this account will only be made in accordance with PUC Section 21681 and CAAP Regulations.

SIGNATURE (Finance Officer)	PRINT NAME	TITLE
BUSINESS ADDRESS	BUSINESS PHONE	DATE

FOR AERONAUTICS USE ONLY:

VERIFIED BY	DATE

Send Completed and Signed Certification to:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS - MS #40
P. O. BOX 942874
SACRAMENTO, CA 94274-0001

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

CALIFORNIA AID TO AIRPORTS PROGRAM (CAAP) - ANNUAL CREDIT DISBURSEMENT REQUEST

DOA-0009 (Rev 01/2005)

PART I. REQUEST FOR DISBURSEMENT

The _____(Public Entity)

requests $_____ from the account of _____ (Airport Name)

for expenditure solely on this airport during the fiscal year of _____ .

SIGNATURE (Airport Manager) _____ Phone (_____) _____

Reimbursement for the following expenditures is requested:

$ Item:

$ Item:

$ Item:

$ Item:

$ Item:

Attach additional sheets if needed

PART II. FINANCIAL CERTIFICATION

I *hereby certify* that the public entity will expend the requested funds pursuant to Public Utilities Code Section 21682 and the CAAP Regulations for the above stated purposes.

SIGNATURE (Finance Officer)	DATE
PRINT NAME	TITLE
BUSINESS ADDRESS	BUSINESS PHONE

FOR AERONAUTICS USE ONLY		VERIFIED BY		DATE	
FISCAL INFORMATION		F.Y.	AMOUNT	F.Y.	AMOUNT
F.Y.	AMOUNT	F.Y.	AMOUNT	F.Y.	AMOUNT

Send Original Completed and Signed Request to:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS - MS #40
P. O. BOX 942874
SACRAMENTO, CA 94274-0001

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STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION

ACQUISITION & DEVELOPMENT GRANT – APPLICATION

DOA-0010 (REV. 01/2005)

PLEASE PRINT OR TYPE AND COMPLETE ALL ITEMS

PART I. AIRPORT INFORMATION

PUBLIC ENTITY	AIRPORT NAME	PERMIT NO.
CONTACT NAME	TITLE	
BUSINESS ADDRESS	BUSINESS PHONE	

PART II. PROJECT INFORMATION

Verify that project is within the Department's most recent Capital Improvement Plan: Yes____ No____ If no, then project is not eligible for grant funds.

PROJECT DESCRIPTION	ESTIMATED TOTAL COST	APPLICANT'S FUNDS	CAAP FUNDS

PART III. REQUIRED SUPPORTING DOCUMENTS

Pursuant to Public Utilities Code Sections 21681-21684 and Section 4064 of the CAAP Regulations, submit the following documents with this application:

- **Local government approval *(resolution or minute order)* as described in Section 4064(a).**
- **FAA's final determination regarding submitted FAA forms, such as FAA Forms 7460-1 and 7480-1, if applicable.**
- Verification of full compliance with the California Environmental Quality Act (CEQA) by submitting information to fulfill either 1. or 2. below:
  1. Copy of Notice of Exemption or provide the Categorical Exemption Class # _____ (CEQA Guidelines Sections 15300-15333)
  2. Copy of Notice of Determination or provide the following information:
     - Environmental Impact Report (Title/Date)_____State Clearinghouse (SCH)#_____or
     - Negative Declaration (Title/Date)_____ State Clearinghouse (SCH)#_____or
     - National Environmental Policy Act (NEPA) document (Title/Date)_____
       (NEPA documents-Environmental Impact Statement or Finding of No Significant Impact must comply with CEQA provisions)
- **11 x 17-inch Drawing or Airport Layout Plan showing project location(s) and dimensions.**
- **Completed CAAP Certification (Form DOA-0007), if not submitted to the Division of Aeronautics earlier for this fiscal year.**

PART IV. AUTHORIZATION

AUTHORIZED OFFICIAL'S SIGNATURE	TITLE
PRINT NAME	DATE

SEND COMPLETED APPLICATION AND ALL SUPPORTING DOCUMENTS TO:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS – MS #40
P.O. BOX 942874
SACRAMENTO, CA 94274-0001

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STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION

STATE MATCHING GRANT FOR FAA AIRPORT IMPROVEMENT PROGRAM – APPLICATION

DOA-0012 (REV. 01/2005)

PLEASE PRINT OR TYPE AND COMPLETE ALL ITEMS

PART I. AIRPORT INFORMATION

PUBLIC ENTITY	AIRPORT NAME	PERMIT NO.
CONTACT NAME	TITLE	
BUSINESS ADRESS		BUSINESS PHONE

PART II. PROJECT INFORMATION

Verify that project is within the Department's most recent Capital Improvement Plan: Yes____ No____ If no, then project is not eligible for grant funds.

DESCRIPTIVE TITLE OF APPLICANT'S PROJECT (as shown on page one of the executed grant agreement and in the adopted Capital Improvement Plan): Attach Additional Sheets if Necessary		
	FEDERAL GRANT	$
	APPLICANT FUNDS	$
	STATE * FUNDS	$
	TOTAL COST OF PROJECT	$
	*Maximum is 5% of the federal grant amount	

PART III. REQUIRED SUPPORTING DOCUMENTS

Pursuant to Public Utilities Code Sections 21681-21684 and Section 4067 of the CAAP Regulations, submit the following documents with this application:

- **Local government approval *(resolution or minute order)* as described in Section 4067(a).**
- **FAA Grant Agreement with FAA and sponsor signatures.**
- Verification of full compliance with the California Environmental Quality Act (CEQA) by submitting information to fulfill either 1. or 2. below:
  1. Copy of Notice of Exemption or provide the Categorical Exemption Class # _____ (CEQA Guidelines Sections 15300-15333)
  2. Copy of Notice of Determination or provide the following information:
     - Environmental Impact Report (Title/Date)_____State Clearinghouse (SCH)#_____or
     - Negative Declaration (Title/Date)_____ State Clearinghouse (SCH)#_____or
     - National Environmental Policy Act (NEPA) document (Title/Date)_____
       (NEPA documents-Environmental Impact Statement or Finding of No Significant Impact must comply with CEQA provisions)
- **11 x 17-inch Drawing or Airport Layout Plan showing project location(s) and dimensions.**
- **Completed CAAP Certification (Form DOA-0007), if not submitted to the Division of Aeronautics earlier for this fiscal year.**

PART IV. AUTHORIZATION

AUTHORIZED OFFICIAL'S SIGNATURE	TITLE
PRINT NAME	DATE

SEND COMPLETED APPLICATION AND ALL SUPPORTING DOCUMENTS TO:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS – MS #40
P.O. BOX 942874
SACRAMENTO, CA 94274-0001

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STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

AIRPORT DEVELOPMENT LOAN - APPLICATION

DOA-0013 (Rev. 01/2005)

PLEASE PRINT OR TYPE AND COMPLETE ALL APPLICABLE ITEMS

PART I. AIRPORT INFORMATION

PUBLIC ENTITY	AIRPORT NAME	PERMIT NO.
CONTACT NAME	TITLE	
BUSINESS ADDRESS	BUSINESS PHONE	

PART II. PROJECT INFORMATION

PROJECT DESCRIPTION	TOTAL COST	STATE LOAN	OTHER (identify)

PART III. ADDITIONAL DOCUMENTS

Pursuant to Public Utilities Code Section 21602 and Title 21, Division 2.5, Chapter 5, California Code of Regulations, California Airport Loan Program, please submit:

- Local government approval (resolution or minute order) authorizing the application.
- FAA's final determination regarding submitted FAA forms, such as FAA Forms 7460-1 and 7480-1, if applicable.
- Verification of full compliance with the California Environmental Quality Act (CEQA) by submitting information to fulfill either 1. or 2. below:
  1. Copy of Notice of Exemption or provide the Categorical Exemption Class # _____ (CEQA Guidelines Sections 15300-15333)
  2. Copy of Notice of Determination or provide the following information:
     - Environmental Impact Report (Title/Date) _____ State Clearinghouse (SCH) #_____ or
     - Negative Declaration (Title/Date) _____ State Clearinghouse (SCH) #_____ or
     - National Environmental Policy Act (NEPA) document (Title/Date) _____
       (NEPA documents-Environmental Impact Statement or Finding of No Significant Impact must comply with CEQA provisions)
- 11 x 17-inch Drawing or Airport Layout Plan showing project location(s) and dimensions.
- Completed CAAP Certification (Form DOA-0007), if not submitted to the Division of Aeronautics earlier for this fiscal year.
- Project Feasibility: (1) engineering feasibility; (2) economic justification; (3) financial feasibility.

PART IV. AUTHORIZATION

AUTHORIZED OFFICIAL'S SIGNATURE	TITLE
PRINT NAME	DATE

SEND COMPLETED APPLICATION AND ALL REQUIRED DOCUMENTS TO:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS - MS #40
P. O. BOX 942874
SACRAMENTO, CA 94274-0001

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

MATCHING FUNDS LOAN - APPLICATION

DOA-0019 (01/2005)

PLEASE PRINT OR TYPE AND COMPLETE ALL APPLICABLE ITEMS

PART I. AIRPORT INFORMATION

PUBLIC ENTITY	AIRPORT NAME	PERMIT NO.
CONTACT NAME	TITLE	FEDERAL PROJECT NO.
BUSINESS ADDRESS		BUSINESS PHONE

PART II. PROJECT INFORMATION

PROJECT DESCRIPTION	TOTAL COST	STATE LOAN	OTHER (identify)

PART III. REQUIRED SUPPORTING DOCUMENTS

Pursuant to Public Utilities Code Section 21602 and Chapter 5 of the CAAP Regulations, submit the following documents with this application:

- **Local government approval *(resolution or minute order)* as described in Section 4072.1(a).**
- **FAA Grant Agreement with FAA and sponsor signatures.**
- Verification of full compliance with the California Environmental Quality Act (CEQA) by submitting information to fulfill either 1. or 2. below:
  1. Copy of Notice of Exemption or provide the Categorical Exemption Class # _____ (CEQA Guidelines Sections 15300-15333)
  2. Copy of Notice of Determination or provide the following information:
     - Environmental Impact Report (Title/Date)_____State Clearinghouse (SCH)#_____or
     - Negative Declaration (Title/Date)_____ State Clearinghouse (SCH)#_____or
     - National Environmental Policy Act (NEPA) document (Title/Date)_____
       (NEPA documents-Environmental Impact Statement or Finding of No Significant Impact must comply with CEQA provisions)
- **11 x 17-inch Drawing or Airport Layout Plan showing project location(s) and dimensions.**
- **Completed CAAP Certification (Form DOA-0007), if not submitted to the Division of Aeronautics earlier for this fiscal year.**
- **Financial feasibility pursuant to Section 4072.**

PART IV. AUTHORIZATION

AUTHORIZED OFFICIAL'S SIGNATURE	TITLE
PRINT NAME	DATE

SEND COMPLETED APPLICATION AND ALL REQUIRED DOCUMENTS TO:

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF AERONAUTICS - MS #40
P. O. BOX 942874
SACRAMENTO, CA 94274-0001

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STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION

Revenue Generating Loan – Application

DOA-0020 (Rev 01/2005)
(Front)

PLEASE PRINT OR TYPE AND COMPLETE ALL APPLICABLE ITEMS

Part I. Airport Information

PUBLIC ENTITY	AIRPORT NAME	PERMIT NUMBER
CONTACT NAME	TITLE	
BUSINESS ADDRESS	BUSINESS PHONE NUMBER	

Part II. Project Information

PROJECT DESCRIPTION Attach Additional Sheets if Necessary	TOTAL COST	STATE LOAN	OTHER (*Identify*)
	$	$	$

Part III. Required Supporting Documents

Pursuant to Public Utilities Code Section 21602 and Chapter 5 of the CAAP Regulations, submit the following documents with this application:

- **Local government approval *(resolution or minute order)* as described in Section 4072.1(a).**
- **FAA Grant Agreement with FAA and sponsor signatures.**
- Verification of full compliance with the California Environmental Quality Act (CEQA) by submitting information to fulfill either 1. or 2. below:
  1. Copy of Notice of Exemption or provide the Categorical Exemption Class # _____ (CEQA Guidelines Sections 15300-15333)
  2. Copy of Notice of Determination or provide the following information:
     - Environmental Impact Report (Title/Date)_____State Clearinghouse (SCH)#_____or
     - Negative Declaration (Title/Date)_____ State Clearinghouse (SCH)#_____or
     - National Environmental Policy Act (NEPA) document (Title/Date)_____
       (NEPA documents-Environmental Impact Statement or Finding of No Significant Impact must comply with CEQA provisions)
- **11 x 17-inch Drawing or Airport Layout Plan showing project location(s) and dimensions.**
- Completed CAAP Certification (Form DOA-0007), if not submitted to the Division of Aeronautics earlier for this fiscal year.
- **Project Feasibility: (1) engineering; (2) economic (complete back of this form); and (3) financial.**

Part IV. Authorization

AUTHORIZED OFFICIAL'S SIGNATURE	TITLE
PRINT NAME	DATE

Send completed application and all supporting documents to:

California Department of Transportation
Division of Aeronautics – MS #40
P.O. Box 942874
Sacramento, CA 94274-0001

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Checklist for Economic Feasibility

Revenue-Generating Loans

Public Entity _____ Airport _____

A. Hangar Loan

Type & Number of Requested hangars _____
(T-hangar, corporate, etc.)

Existing Hangars _____ Rental Rate(s) _____

Based Aircraft _____

Waiting List for Hangars? ☐ Yes ☐ No

Number on waiting list _____ Deposit to be on waiting list $ _____

Estimated Costs: Hangar Construction $ _____ Site Prep $ _____

Other Construction/Preparation Costs $ _____ **Total Cost** $ _____

Proposed Monthly Rental Rate, per Hangar $ _____

Proposed Future Increases in Rental Rate _____ (for example, 3% per year)

B. Other Revenue-Generating Loan

Project Description _____
(for fueling facilities include types of fuel to be sold)

Estimated Cost of Project $ _____

Projected Monthly Net Income from Project $ _____
(or, differential income if this project affects an existing operation, e.g. the project replaces an existing fueling facility)

Projected Future Increases in Monthly Net Income $ _____

❑ Check here if additional sheets are attached.

The Department may request more information if necessary to evaluate the project's economic feasibility.

Appendix

The Appendix contains the following items:

- Appendix 1. Glossary
- Appendix 2. "Fuel Tax" excerpts from the California Revenue & Taxation Code
- Appendix 3. "Funding" excerpts from the California Public Utilities Code
- Appendix 4. State funding regulations
- Appendix 5. Eligible Projects for State Funding
- Appendix 6. Web addresses for contact lists for Airport Land Use Commissions and Transportation Planning Agencies (MPO, LTC, etc.)
- Appendix 7. Priority Matrix for Acquisition and Development (A&D) Grants
- Appendix 8. Sample authorizing resolution for an AIP Matching Grant
- Appendix 9. Sample authorizing resolution for an A&D Grant
- Appendix 10. Sample authorizing resolution for a loan

Appendix 1: Glossary

Aeronautics Program	A multiyear list of projects that the CTC has selected for potential funding during that time period. The Program identifies the airport, the sponsor, the project, the amount of State funds obligated to the project, and the fiscal year in which the project is to be constructed. The Program also includes set-aside amounts for AIP Matching grants. Projects in the Aeronautics Program are said to be "programmed."
A&D	Acquisition and Development (A&D) grants provide CAAP funds to airports and planning agencies for use in constructing projects, acquiring land, and preparing planning documents. An A&D grant funds up to 90% of a project.
AIP	The Airport Improvement Program (AIP) is the federal airport grant program. AIP is administered by the FAA.
Allocation	After the CTC adopts an Aeronautics Program, the CTC "allocates" funding for the project at the sponsor's request. Upon CTC's allocation, Caltrans encumbers the funds for the project. [**Note**: Caltrans uses the term "allocation" differently than the FAA.]
ALUC	The Airport Land Use Commission (ALUC) for a county promotes compatibility of airports and the land uses around them. The ALUC's major responsibilities are ALUCP preparation/update and review of local agency land use actions near airports.
ALUCP	An Airport Land Use Compatibility Plan (ALUCP) sets forth policies for the compatibility of an airport with its surrounding area. It is based on the airport's Master Plan or Airport Layout Plan and may include height restrictions on structures, building requirements such as soundproofing, limits on density of habitation, and limits on uses such as landfills and sewer plants which attract hazardous wildlife (birds). Caltrans formerly identified the ALUCP as a comprehensive land use plan (CLUP). Also, some local jurisdictions refer to the ALUCP as an "airport land use policy plan" or an "airport land use environs

plan." In this manual, only the term "ALUCP" is used. More information regarding ALUCPs, and the agencies which administer them, is in the Airport Land Use Planning Handbook on Aeronautics' website.

Avgas	Aviation gasoline (avgas) is manufactured specifically for use in reciprocating, aircraft engines. For state taxation purposes, avgas is treated as a "motor vehicle fuel." Automobile gasoline is not considered to be avgas.
CAAP	California Aid to Airports Program (CAAP) is a general term from the funding regulations that identifies the State's three aviation funding programs: Annual Credits, A&D, and AIP Matching.
CASP	The California Aviation System Plan (CASP) provides the framework for preserving and enhancing aviation infrastructure in the state (PUC § 21701-7).
CIP	The Capital Improvement Plan (CIP) is an element of the CASP. It is also the base document for the Aeronautics Program.
Commercial Service	"Commercial Service" is the NPIAS designation for an airport that has scheduled passenger service. The NPIAS also uses the term to describe those airports whose annual enplanements are between just 2,500 and 10,000.
CTC	The California Transportation Commission (CTC) adopts the Aeronautics Program and allocates funds for A&D and AIP Matching grants. The CTC also has broad responsibilities for overall transportation policy and funding.
Enplanement	The boarding of an aircraft by a revenue passenger. "Enplanement" is a standard measurement of commercial airline activity.
FAA	The Federal Aviation Administration (FAA), an agency in the US Department of Transportation.

GA	General aviation (GA) refers to all aviation other than scheduled airlines and the military. "GA" is also a NPIAS designation for an airport that is neither a Reliever nor a Commercial Service airport.
Hub	A NPIAS classification for a commercial service airport with at least 0.05% of the nation's enplanements.
NPIAS	The National Plan of Integrated Airport Systems (NPIAS) is an FAA document which identifies those airports that are significant to national air transportation and eligible to receive AIP grants. 3,300+ airports are in the NPIAS, about 200 of which are in California.
PUC	Most aviation law is in the Public Utilities Code (PUC) of the California statutes.
RPZ	A runway protection zone (RPZ) is off the end of a runway. Generally, it should be clear of trees, structures and other potential hazards to flight.
RSA	A runway safety area (RSA) is an imaginary area surrounding a runway. As with the RPZ, the RSA generally should be kept clear of trees, structures and other potential hazards to flight.
Reliever	A NPIAS designation for high capacity GA airports in major metropolitan areas that provide pilots with an alternative to congested hub airports.
RTPA	Regional transportation planning agency (RTPA) is a generic term that encompasses all metropolitan planning organizations (MPOs) and local transportation commissions (LTCs). An RTPA list is in the Appendix.

Appendix 2: Fuel Tax

Excerpts from the:
California Revenue and Taxation Code (RTC)
Division 2 Other Taxes

7398 Jet Fuel Tax Proceeds into Aeronautics Account. All money received in payment of the tax imposed by this chapter [Aircraft Jet Fuel Tax] shall be deposited in the State Treasury to the credit of the Motor Vehicle Fuel Account in the Transportation Tax Fund, and after the payment of any refunds authorized by this part, the balance remaining shall be transferred to the Aeronautics Account in the State Transportation Fund for allocation pursuant to Section 8352.3.
[**Note**: Only GA users pay this excise tax. Airlines are exempt per §7389. Proceeds from the *sales* tax on jet fuel go into the State's General Fund.]

8352.3 Avgas Tax Proceeds into Aeronautics Account. Subject to Sections 8352 and 8352.1, all moneys deposited to the credit of the Motor Vehicle Fuel Account attributable to the distribution of motor vehicle fuel for use or used in propelling an aircraft in the state [i.e., avgas] shall be transferred to the Aeronautics Account in the State Transportation Fund, for allocation as follows:

(a) To pay the refunds authorized by Section 8101.5.

(b) To pay the pro rata cost of the Controller and the board under subdivisions (b), (c), and (d) of Section 8352.1 [i.e., cost to administer collection of the tax on avgas].

(c) To pay for the support of the Department of Transportation, for the administration of the State Aeronautics Act (Division 9 (commencing with Section 21001) of the Public Utilities Code).

(d) Remaining balance to be available for expenditures in accordance with Sections 21602, and 21682 to 21684, inclusive, of the Public Utilities Code.

♦ ♦ ♦ ♦ ♦ ♦ ♦ ♦ ♦

The complete Revenue and Taxation Code may be accessed at this web address (URL):

www.leginfo.ca.gov/cgi-bin/calawquery?codesection=rtc&codebody=&hits=20

Appendix 3: Funding

Excerpts from the:
California Public Utilities Code (PUC)
Division 9 Aviation
Part 1 State Aeronautics Act

Aeronautics Fund

21680 Aeronautics Fund Appropriation

(a) The Aeronautics Fund is hereby continued in existence as the Aeronautics Account in the State Transportation Fund. The moneys deposited to the credit of the account are continuously appropriated for expenditure by the board and the department as provided in this article.

(b) Any reference in any law or regulation to the Airport Assistance Revolving Fund, the Airport Assistance Fund, or the Aeronautics Fund shall be deemed to refer to the Aeronautics Account in the State Transportation Fund. As used in this article, "fund" shall be deemed to refer to the Aeronautics Account in the State Transportation Fund.

21681 Definitions. As used in this article, the following terms have the following meanings:

(a) "**Own and operate**" means that the public entity shall own the property in fee simple or by a long-term lease of a minimum of 20 years, unless otherwise approved by the department, and shall maintain dominion and control of the property, except that the public entity may provide by contract with a person for the operation and management of an airport otherwise meeting the requirements of this article. Operations of the airport shall be for, and on behalf of, the public entity. All leases to the public entity of property are required to be approved by the department. A lease of the property by the public entity to an agent or agency other than to a public entity does not meet the criteria for participation in airport assistance funds.

(b) "**Matching funds**" means money that is provided by the public entity and does not consist of funds previously received from state or federal agencies or public entity funds previously used to match federal or state funds. This definition shall be retroactive to July 1, 1967.

(c) "**General aviation**" means all aviation except air carrier and military aviation.

(d) "**Public entity**" means any city, county, airport district, airport authority, port district, port authority, public district, public authority, political subdivision, airport land use commission, community services district, or public corporation and the University of California. [**Note**: "Political subdivision" as defined by §21010 is "any county, city, city and county, public corporation, district or other political entity or public corporation of this State".]

(e) "**Public agency**" means the various agencies of the State of California and the federal government.

(f) "**Airport and aviation purposes**" means expenditures of a capital improvement nature, including the repair or replacement of a capital improvement, and expenditures for compatible land use planning in the area surrounding an airport, for any of the following purposes:

(1) Land acquisition for development and improvement of general aviation aircraft landing facilities.
(2) Grading and drainage necessary for the construction or reconstruction of runways or taxiways.
(3) Construction or reconstruction of runways or taxiways.
(4) Acquisition of "runway protection zones" as defined in Federal Aviation Administration Advisory Circular 150/1500-13.
(5) Acquisition of easements through, or other interests in, airspace as may be reasonably required for safeguarding aircraft operations in the vicinity of an aircraft landing facility.
(6) Removal of natural obstructions from runway protection zones.
(7) Installation of "segmented circle airport marker systems" as defined in current regulations of the Federal Aviation Administration.
(8) Installation of runway, taxiway, boundary, or obstruction lights, together with directly related electrical equipment.
(9) Installation of minimum security fencing around the perimeter of an aircraft landing facility.
(10) Grading and drainage necessary to provide for parking of transient general aviation aircraft.
(11) Construction or reconstruction of transient general aviation aircraft parking areas.
(12) Servicing of revenue or general obligation bonds issued to finance capital improvements for airport and aviation purposes.
(13) Air navigational facilities.
(14) Engineering and preliminary engineering related directly to a project funded under this article.
(15) Other capital improvements as may be designated in rules and regulations adopted by the department.
(16) Activities of an airport land use commission in connection with the preparation of a new or updated airport land use compatibility plan pursuant to Section 21675. Expenditures that cannot be clearly identified as capital improvements shall be submitted to the department for consideration and approval.
(17) Airport master plans and airport layout plans.

(g) "**Operation and maintenance**" means expenditures for wages or salaries, utilities, service vehicles, and all other noncapital expenditures that are included in insurance, professional services, supplies, construction equipment, upkeep and landscaping, and other items of expenditure designated as "operation and maintenance" in rules and regulations adopted by the department.

(h) "**Enplanement**" means the boarding of an aircraft by a revenue passenger, including an original, stopover, or transfer boarding of the aircraft. For purposes of this subdivision, a stopover is a deliberate and intentional interruption of a journey by a passenger scheduled to exceed four hours in the case of an intrastate or interstate passenger or not to exceed 24 hours in the case of an international passenger at a point between the point of departure and the point of destination, and a transfer is an occurrence at an intermediate point in an itinerary whereby a passenger or shipment changes from a flight of one carrier to another flight either of the same or a different carrier with or without a stopover.

21682 Annual Credits

(a) The department shall establish individual revolving fund subaccounts for eligible airports in the Aeronautics Account in the State Transportation Fund. Money payable under this section shall be credited to individual airport subaccounts annually, and may be accumulated for a maximum period of five years.

(b) The department shall, subject to Section 21684, credit from the Aeronautics Account to each public entity owning and operating an airport or airports under a valid permit issued by the department for every airport which has not been designated by the Federal Aviation Administration as (1) a reliever airport, as defined in Section 503 (a) (19) of the federal Airport and Airway Improvement Act of 1982, as amended, or (2) a commercial service airport, as defined in Section 503 (a) (5) of the federal Airport and Airway Improvement Act of 1982, as amended, the sum of ten thousand dollars ($10,000) annually for each qualifying airport. These funds shall be paid to public entities upon request for expenditure on preapproved eligible projects. Eligible public entities may submit applications for the withdrawal of credited funds for expenditure on proposed projects in letter form to the department for review and approval. Projects identified shall be for airport and aviation purposes and operation and maintenance purposes. No payment made under this section is transferable, but shall be expended only upon the airport for which the payment is made, unless the department authorizes a payment to be transferred for expenditure on another airport owned or operated by the public entity. The department may establish any accounting systems it deems necessary to provide for the cumulation and expenditure of funds under this subdivision.

(c) If, in any year, there is insufficient money in the Aeronautics Account to make the credits specified in subdivision (b), the department shall, subject to Section 21684, credit to each public entity subaccount an amount which is equal to the total amount of money in the Aeronautics Account multiplied by a percentage equivalent to the proportion which the airport or airports of the public entity for which credit is required to be made pursuant to subdivision (b) bear to the total number of airports for which credit is required to be made pursuant to subdivision (b).

(d) No payment shall be made under this section to any public entity for any airport on which general or commercial aviation activities are substantially restricted if the airport is licensed to conduct these activities by the department. The department shall determine whether or not general or commercial aviation activities are restricted.

(e) The department shall adopt rules and regulations and establish procedures to effect prompt payment to public entities for eligible airport projects from money credited pursuant to this section.

21683 Acquisition and Development Grants

Any public entity may apply to the department each year for the allocation of funds for the acquisition or development of airports. The commission may, pursuant to rules and regulations promulgated by the department, make an allocation to the public entity if it determines that the proposed acquisition or development is feasible and in accordance with the policies and standards established by the department. The department shall make recommendations to the commission on all applications. Such allocations shall be represented as subventions in the department budget in accordance with Section 21206.

No moneys paid under this section shall be expended for operation and maintenance. No payment shall be made under this section to any public entity for any airport on which general or commercial aviation activities are substantially restricted if the airport is licensed to conduct such activities by the department. The department shall determine whether or not general or commercial aviation activities are restricted.

21683.1 AIP Matching Grants

(a) At the discretion of the commission, any balance remaining in the Aeronautics Account, after the payments made under Section 21682, may be used to provide a portion of the local match for federal Airport Improvement Program grants. Matching shall be provided only for grants at general aviation airports, or at airports that have been designated by the Federal Aviation Administration as reliever airports, as defined in Section 503(a)(19) of the federal Airport and Airway Improvement Act of 1982, as amended.

(b) Funds shall not be allocated by the commission until the federal grant offer is accepted by the public entity. Upon allocation by the commission, the department may pay a public entity an amount equal to 5 percent of the amount of a federal Airport Improvement Program grant. These funds are excluded from the requirements of Section 21684.

21683.2 Use of Balance in Aeronautics Account

Any balance remaining in the Aeronautics Account, after the payments made under Section 21682 and Section 21683.1, shall be used at the discretion of the commission for airport and aviation purposes subject to the provisions of Section 21684.

21684 Special Aviation Fund

(a) No payment shall be made to a public entity pursuant to this article unless the public entity has established a special aviation fund in which all payments received by a public entity under this article shall be deposited for expenditure solely for airport and aviation purposes. No payment shall be made to a public entity for a project pursuant to Section 21683.2 unless the public entity deposits in its special aviation fund a sum from other than state or federal sources, established annually by the commission at not less than 10 percent nor more than 50 percent of the nonfederal portion of the project.

Notwithstanding the provisions of this subdivision requiring matching funds, the department shall pay to each public entity owning and operating an airport or airports the annual amount that is in accordance with Section 21682.

(b) No payment shall be made for any airport to the University of California pursuant to this article unless the university has established a special aviation fund in which all payments received by the university under this article shall be deposited for expenditure solely for airport and aviation purposes. No payment shall be made for any airport to the University of California pursuant to Section 21683.2 unless the university deposits in its special aviation fund each year, for expenditure solely for airport and aviation purposes, a sum from nonstate or nonfederal funds based on the rate established annually by the commission pursuant to subdivision (a), or unless a city located within 10 miles of the airport or the county within which the airport is located pays to the university a sum based on the rate established annually by the commission pursuant to subdivision (a). However, any sums so deposited by the university or paid by the city or county may be considered jointly as meeting the requirements of this section. The payments received from a city or county pursuant to these sections are to be expended solely for the airport and for aviation purposes related to such airport. All payments received by the university shall be deposited in its special aviation fund.

21686 Audit of Books and Records of Public Agencies

It shall be the duty of any public entity receiving payments or allocations under this article to periodically audit its books and records as deemed necessary by the department for the purpose of determining that the money received has been expended for the purposes and under the conditions authorized by this article.

21688 Limitation on Expenditure of Funds

(a) No payments shall be made from the Aeronautics Account for expenditure on any airport or for the acquisition or development of any airport, if the department determines that the height restrictions around the airport are inadequate to provide reasonable assurance that the landing and taking off of aircraft at the airport will be conducted without obstruction or will be otherwise free from hazards.

Height restrictions shall be considered adequate if as a minimum they meet the obstruction standards of subchapter C of Part 77 of the Federal Aviation Regulations of the Federal Aviation Administration, as these standards apply to civil airport imaginary surfaces related to runways.

The airport-owning entity shall have sufficient control over obstructions in the airspace in the vicinity of the airport to assure that height restrictions can be maintained. This control may be in the form of ownership of any land from which obstructions may rise, air navigation easements to guarantee maintenance of restrictions, or height limitation or land use zoning which will prohibit obstructions which would violate the obstruction standards.

(b) This section shall not prevent or prohibit the department from assisting any public agency or public entity in planning airport development or in planning the zoning needs around an airport.

Capital Improvement Plan (CIP)

21702 CASP Elements

The California Aviation System Plan shall include, but not be limited to, all of the following elements:

(f) A 10-year capital improvement plan for each airport, based on each airport's adopted master plan if the airport has a master plan, approved by the applicable transportation planning agency, and submitted to the division for inclusion in the California Aviation System Plan.

21704 Periodic Revision of the CASP

The division, in consultation with the transportation planning agencies, shall biennially revise the capital improvement plan developed pursuant to subdivision (f) of Section 21702, and the division shall submit the revised capital improvement plan to the commission. The division, in consultation with the transportation planning agencies, shall revise all other elements of the California Aviation System Plan every five years, and shall submit the revised system plan to the commission [CTC].

21706 Application Process

The division shall require that every project submitted for funding from the Aeronautics Account in the State Transportation Fund shall be consistent with the California Aviation System Plan. Applications for funding shall be processed in accordance with the procedures adopted by the commission [CTC]. In determining the priorities of projects, the division shall, and the transportation planning agencies may, utilize the methodology adopted by the commission for determining the priorities of projects that the commission selects for allocation pursuant to Sections 21683 and 21683.2 and the procedures adopted by the commission.

Airport Closure

21605 Airport Closing Procedures

No proprietor of any permitted airport which is open to the public and has received public funds shall close or suspend operation of the airport, or close an existing runway or taxiway except on a temporary basis for inspection, maintenance, construction, or emergency purposes, without notifying the department in writing 60 days prior to the intended closure or suspension of operations. On its own motion or upon the request of an affected or interested person, the department may conduct a public hearing to determine the impact of the intended closure or suspension of operations, both economically and on the entire state air transportation system. The department may take appropriate action to assist the proprietor in keeping the airport operational and open for public use.

21687 Payment to State for Closed Airports

(a) (1) If an airport, for which payments have been made from the Aeronautics Account, ceases to be open to the general public for more than one year, the public entity to which those payments were made shall pay to the state funds equal to the amount computed by the department pursuant to paragraph (2), and those funds shall be deposited in the Aeronautics Account.

(2) (A) The department shall compute an amount equal to the total of all payments made for the airport from the Aeronautics Account during the preceding 20 years, less 5 percent of the amount of a particular payment multiplied by the number of years since the payment was made, or the unused balance, whichever is greater.

(B) The computation described in subparagraph (A) shall not include any payment the department made pursuant to Section 21682, if, upon the request of the public entity that owns and operates the airport, the department determines that the airport is not necessary to the system of public airports in this state. When making this determination, the department shall consider all of the following factors:

(i) Whether the airport is approved for night operations.

(ii) Whether the airport has an approved instrument approach procedure.

(iii) How many aircraft are based at the airport.

(iv) Whether the airport is used for airborne fire attacks.

(v) Whether the airport is used for emergency medical transportation.

(vi) What services the airport provides for the community.

(vii) The size of the community that is served by the airport.

(viii) Whether any aviation or transportation planning agency has designated the airport as having a significant role.

(ix) Whether a suitable, public-use airport is situated within a reasonable distance.

(x) Whether closure of the airport will have a negative effect on other airports.

(xi) Whether the airport is used for law enforcement purposes.

(b) This section does not apply to either of the following:

(1) An airport that is replaced by a comparable facility, as determined by the department, within a period of one year.

(2) An airport for which the department, on or after January 1, 1981, has suspended the airport permit and for which payments made pursuant to this article are being expended to correct the deficiency or condition that resulted in the suspension of the airport's permit.

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The complete Public Utilities Code may viewed at this web address:

www.leginfo.ca.gov/cgi-bin/calawquery?codesection=puc&codebody=&hits=20

The Aeronautics Acts begins with Section 21000.

Appendix 4: State Funding Regulations

California Code of Regulations
Title 21, Division 2.5
Chapter 4 California Aid to Airports Program

Article 1 General

4050 Purpose. The regulations in this chapter establish rules and procedures to implement the California Aid to Airports Program (CAAP). The purpose of the CAAP is to assist in establishing and improving a statewide system of safe and environmentally compatible airports whose primary benefit is for general aviation (GA). The CAAP includes Annual Credits pursuant to Public Utilities Code (PUC) section 21682*;* the Airport Improvement Program (AIP) Matching Grants pursuant to PUC section 21683.1*;* and Acquisition and Development (A&D) Grants pursuant to PUC section 21683.

4052 Definitions. In addition to definitions set forth in the State Aeronautics Act (PUC sections 21001 et seq.), the terms defined below apply within these regulations:

(a) **Air Navigational Facilities** means: rotating beacons; approach aids such as approach lights, runway end identifier lights, visual approach slope indicators; automated weather reporting systems; and other fixed electronic or visual devices designed to assist the pilot of an aircraft determine the aircraft's location and flight path.

(b) **Airport** is defined in PUC section 21013.

(c) **Airport Drainage** means providing for drainage to make the airport operationally usable and to preserve pavement.

(d) **Airport Improvement Program (AIP)** means the Federal Aviation Administration's (FAA's) grant funding program for airports, which are included in the NPIAS.

(e) **Airport Land Use Commission (ALUC)** is defined in PUC section 21670.

(f) **Airport Land Use Compatibility Plan (ALUCP)**, formerly known as a "comprehensive land use plan" (CLUP), is described in PUC section 21675.

(g) **Airport Layout Plan (ALP)** means a scaled drawing of an airport showing the existing and proposed facilities at the airport. An ALP shall depict, at a minimum:

(1) The boundaries of the airport's property.
(2) The operational areas of the airport, which are the runways, taxiways, hangars and aprons where aircraft are in motion or are parked.
(3) The runway protection zones, existing and future planned.
(4) The buildings and facilities within the boundaries of the airport's property.
(5) Arrows depicting true north and magnetic north.
(6) Its completion date and the name of the person and/or firm that prepared the ALP.
(7) A notice of adoption by the public entity or by the airport owner; and approval by the FAA for a NPIAS airport.

(h) **Airport Master Plan** means a document that contains the following:

(1) the airport's current airport layout plan and
(2) a long-range, typically 20-year period, plan for the airport's development that includes technical, operational, and financial justification for the proposed development.

(i) **Bond Servicing** means the payment of interest due and of underwriting fees for revenue or general obligation bonds issued by an airport sponsor to finance capital improvement projects for airport and aviation purposes; and it does not include the payment of debt principal.

(j) **Capital Improvement Plan (CIP)**, formerly known as "Capital Improvement Program," is an element of the California Aviation System Plan (CASP), in accordance with PUC section 21702(f).

(k) **Department** means the Division of Aeronautics within the California Department of Transportation.

(l) **Environmental Mitigation** means measures necessary to minimize any significant impacts on land use, air and water quality, biological and geological resources, objects of historical or aesthetic significance, and other environmental resources of a plan or project funded pursuant to these regulations.

(m) **FAA** means the Federal Aviation Administration.

(n) **Fencing** means perimeter or security fencing, including gates and access control devices for GA purposes.

(o) **General Aviation (GA)** is defined in PUC section 21681(c).

(p) **General Aviation (GA) Purposes** means improvements on airports that are needed to sustain and continue GA activities that include, but are not limited to, the following:

(1) Recreation
(2) Business travel
(3) Airport-based aviation businesses that teach people to fly; or operate charters for hire; or sell fuel, aircraft, and other aviation-related products
(4) Aircraft manufacture and repair
(5) Aerial or agricultural application
(6) Television, radio, news or weather reporting
(7) Law enforcement
(8) Firefighting
(9) Emergency medical service
(10) Aerial photography
(11) Transporting organs or blood or tissue for transplant
(12) Pollution control over waterways, shores, and harbors
(13) Scientific research and development
(14) Wildlife surveys
(15) Insect control and abatement
(16) Banking
(17) Search and rescue
(18) Response to emergencies
(19) Land surveys
(20) Powerline/pipeline patrol
(21) Aerial cranes for construction and lifting large objects

(22) Non-scheduled cargo flights
(23) Advertising with banners or skywriting
(24) Sports such as gliders, aerobatics, and parachuting
(25) Transporting perishable and time-sensitive goods on non-scheduled flights

"**GA purposes**" refers to the maximum dimensions or system requirements for airport capital improvement projects to serve the GA traffic, which uses a particular airport, in terms of runway and taxiway length, width, and depth, or type and extent of repair or new construction.

(q) **Land Acquisition** means to purchase land to develop and improve an airport to meet existing or forecast GA needs, as specified in an adopted ALP. If the airport is in the NPIAS, the adopted ALP must be approved by the FAA. It includes funding of a claim for any deposit paid by the sponsor when the sponsor has to condemn a parcel in order to purchase it. Land can be acquired for any of the following:

(1) Airport drainage needed to make the airport operationally usable and to preserve pavement
(2) Airport protection to fulfill the requirements of section 4058 of these regulations
(3) To meet conditions of an airport's permit issued pursuant to PUC section 21662
(4) Property to be used for the operation and movement of aircraft (e.g., landing and takeoff surfaces, taxiways, aprons, aircraft loading, boarding, parking areas, hangars); those areas within the airport boundary reserved for safety purposes; and off-airport property that is secured by an avigation easement or by fee simple acquisition for safety purposes
(5) Environmental mitigation
(6) Air navigational facilities
(7) Runway Protection Zones

(r) **Lights** means airport lighting equipment for GA purposes, as specified in PUC section 21681(f)(8).

(s) **NPIAS** means the National Plan of Integrated Airport Systems developed by the Federal Aviation Administration.

(t) **Project** means an action undertaken by a public entity to improve the aviation transportation system in California. A project may be a physical improvement, an acquisition of land, the preparation of a planning document, or other such items as defined elsewhere in this Chapter.

(u) **Project Services** are functions a sponsor performs to complete an action for which the sponsor applies for funding pursuant to these regulations. Legal and administrative services are not "project services" within these regulations. "Project services" are performed for GA purposes, and are to improve the air transportation system in California; they include, but are not limited to, the following:

(1) Environmental studies conducted to comply with the California Environmental Quality Act (CEQA) and the National Environmental Policy Act (NEPA)
(2) Airport design
(3) Contract drawings
(4) Plans, Specifications, and Estimates (PS&E)
(5) Preliminary studies

(6) Reports and drawings
(7) Soil investigation
(8) Mapping
(9) Construction staking and testing
(10) Land surveys
(11) Project inspection

(v) **Public Entity** is defined in PUC section 21681(d).

(w) **Runway Protection Zones** is described in PUC section 21681(f)(4).

(x) **Service Life** means the length of time a facility, equipment, or product is useful as determined by either physical deterioration or obsolescence, whichever occurs first.

(y) **Sponsor** means:

(1) An ALUC

(2) A city or county designated by an ALUC to compete for funds in accordance with PUC section 21602(b)

(3) A public entity that is eligible to receive grants or loans from the Department for an airport open to the public

Article 2 Sponsor Eligibility

4055 Requirements. The following are requirements for sponsor participation in the California Aid to Airports Program (CAAP). The provisions of this article apply to applications for AIP Matching, Acquisition and Development (A&D), and Annual Credit funds.

4056 Permit and Funding Requirements

(a) **State Permit Requirement**

(1) A sponsor shall possess a valid state permit for each public-use airport for which it requests funds, with the exception of sponsors which are:

(A) Eligible pursuant to PUC section 21602(b), or

(B) An ALUC applying to prepare or update an Airport Land Use Compatibility Plan (ALUCP).

(2) The sponsor must obtain an appropriate site approval permit from the Department for the construction, establishment or expansion of the airport, in accordance with Title 21 CCR section 3525 et seq., prior to allocation of funds for the construction, establishment or expansion of an airport.

(b) **Special Aviation Fund.** The sponsor shall establish a special aviation fund in accordance with PUC section 21684. The requirement for a special aviation fund shall be fulfilled if the sponsor has an accounting system that adequately accumulates and segregates expenditures and receipt of funds under this chapter.

(c) **Records.** The sponsor shall keep all records of CAAP expenditures from the time funds are received from the Department until three years after receipt of the final payment from the

Department. During that time, if the Department requests, the sponsor shall provide the Department with any or all records pertaining to the project.

4057 Operational Requirements

(a) The sponsor shall have sufficient control over airport operations to ensure public health and safety. Such control shall be in the form of airport operating procedures, rules or regulations that are adopted by local ordinance or resolution. This section shall not apply to sponsors which are:

(1) Eligible pursuant to PUC section 21602(b), or
(2) An ALUC.

(b) No payment shall be made from the State Aeronautics Account for Annual Credits or A&D projects for an airport at which the Department determines general or commercial aviation activities are substantially restricted contrary to PUC sections 21682 or 21683.

4058 Airport Protection Requirements. Except for planning projects relative to airport development or zoning needs around an airport, the Department shall not pay for expenditure on any airport, or for the acquisition and development of any airport, unless:

(a) The airport-owning entity has sufficient control, through ownership, easement, height restrictions, or zoning, over property in the vicinity of the airport to assure height restrictions that prevent obstructions to the airport's "Civil Airport Imaginary Surfaces" as depicted in Figure 3, or

(b) If the airport-owning entity's control is not sufficient to prevent obstructions to the airport's "Civil Airport Imaginary Surfaces" as depicted in Figure 3, the Department will determine whether the existing restrictions are adequate to provide reasonable assurance that aircraft operations at the airport can be conducted without obstruction or will be otherwise free from hazards. The sponsor shall provide sufficient information to the Department, upon which the Department can make such a determination.

Article 3 Project Eligibility

4059 Ineligible Projects. Payments from the Aeronautics Account are not allowed for any of the following projects:

(a) With the exception of projects for "Land Acquisition" and "Project Services" as defined in section 4052, those projects that the sponsor has already started or completed, prior to allocation of AIP Matching or Acquisition and Development (A&D) funds.

(b) "Land Acquisition," as defined in section 4052, if the sponsor purchases the property prior to the date the Department receives an application for AIP Matching or Acquisition and Development (A&D) funds, or a request for the disbursement of Annual Credit monies to acquire such property.

(c) Legal and administrative costs incurred for "Land Acquisition" and "Project Services."

(d) Matching AIP grant funds prior to sponsor's acceptance of the federal grant.

(e) Projects not authorized under these regulations.

(f) "Project services," as defined in section 4052, for projects that are neither funded nor completed under the CAAP.

4060 Resolution of Unallowable Costs

(a) If a sponsor's audit pursuant to PUC section 21686 identifies unallowable costs, the sponsor shall either:

(1) Repay the Department for the unallowable costs within 30 days of the date that the sponsor submitted its audit findings to the Department or,

(2) Request the Department waive the costs within 30 days of the date that the sponsor submitted its audit findings to the Department.

If the sponsor requests a waiver of the costs, but the Department does not waive them, the sponsor shall repay the costs within 30 days' of its receipt of the Department's notice. The State Controller has the authority to withhold other state funds due the sponsor in order to repay the State Aeronautics Account when the sponsor fails to make restitution as required by this regulation.

(b) "Unallowable costs" include funds used for "land acquisition" if the acquired land is not used for the purpose for which funding was authorized within three years of purchase unless the sponsor has a written waiver from the Department.

4061 Eligible Acquisition and Development (A&D) Projects. An A&D project must be included in the Department's most recently adopted Capital Improvement Plan of the California Aviation System Plan to be eligible for A&D grant funds. In addition to the projects identified in PUC sections 21207 and 21681(f), the following capital improvements are eligible projects for A&D grants:

(a) **Aircraft Parking Tiedown Apron**. Construction and reconstruction of aircraft parking tie-down apron areas for GA purposes, including necessary grading and drainage.

(b) **Airport Markings and Signage**. Purchase and installation of airport markings and signage. Airport markings and signage are used for guiding operators of aircraft using runways, taxiways, aprons, service roads and aircraft parking areas on an airport. It includes, but is not limited to: painting of runways, taxiways, aprons, and aircraft parking areas; segmented circles; wind socks; traffic pattern indicators; wind tees; tetrahedrons; and other physical structures which provide visual indicators to assist pilots in safely maneuvering aircraft.

(c) **Airport Service Roads**. Construction of airport service roads, which are roads, closed to the public, that provide access for emergency vehicles, airport service vehicles, and vehicles authorized by airport management.

(d) **Blast Barriers**. Construction of blast barriers, which are natural or manufactured barricades used to absorb, divert or dissipate jet blast or propeller wash.

(e) **Environmental Mitigation**, as defined in section 4052.

(f) **Objects/Obstructions/Hazards**. Removal of objects from Runway Protection Zones and Runway Safety Areas, as depicted in Figures 1 and 2 respectively. Removal of hazards and the lighting or removal of obstructions that exceed the Civil Imaginary Surfaces, as depicted in Figure 3. The Department shall determine whether an object that exceeds the Civil Imaginary Surfaces, as depicted in Figure 3, is a "hazard" for the purposes of this regulation.

(g) **Pavement**. Rehabilitation and maintenance of pavement. Pavement means a structural section that carries aircraft traffic on the ground. A structural section is comprised of layers of specified materials placed over the native soil to support the loads applied or accumulated during the design life of the pavement.

(1) Rehabilitation is work performed to extend the service life of an existing pavement. Rehabilitation includes, but is not limited to:

(A) An overlay, which is a layer placed on existing pavement to restore ride quality, to increase structural strength, or to extend the service life, and

(B) Reconstruction, which is the partial or complete removal and replacement of a pavement.

(2) Maintenance is work performed to preserve an existing pavement that is necessary for the safe and efficient use of an airport. Maintenance includes, but is not limited to, a slurry seal, which is a preservative bituminous coating, with aggregate, applied to a bituminous surface pavement for the purpose of waterproofing or rejuvenating it.

(h) **Project services**, as defined in section 4052 and within the limits of section 4063.

(i) **Radio Communication Equipment**. Purchase and installation of aviation radio communication equipment and facilities, which remain under sponsor control.

(j) **Water and Sanitary Systems**. Purchase and installation of water and sanitary systems necessary for GA purposes on an airport.

4062 Eligible Annual Credit Projects. Sponsors may use Annual Credit funds for expenditures specified in PUC sections 21681(f) and (g), and section 4061 of these regulations. Such facilities must remain under the ownership and control of the sponsor. In addition, sponsor may use Annual Credit funds for the acquisition and installation, as appropriate, of the following:

(a) **Aircraft Wash Facility**, which is a paved area available to wash aircraft which has access to a water supply; is environmentally acceptable; and is accessible from the airport taxiway system.

(b) **Fueling Facility**, which is a mechanism used to pump aviation gasoline or aircraft jet fuel into GA aircraft.

(c) **Local Matching Funds**, which are funds to match a federally-funded AIP project.

(d) **Restrooms and Showers**, which means a room(s) with the basic conveniences for a person to wash, which may include showers, and with at least one toilet.

4062.1 Eligible AIP Matching Projects. A federally-funded AIP project must be included in the Department's most recently adopted Capital Improvement Plan of the California Aviation System Plan to be eligible for AIP Matching funds.

Article 4 Acquisition and Development (A&D) Grants

4063 Program Description. Pursuant to PUC section 21683, sponsors may apply for A&D grants to fund projects described in section 4061 of these regulations that are primarily for GA purposes.

(a) **Local Matching Fund Requirements**. The sponsor shall provide matching funds pursuant to PUC section 21684. Matching funds shall not consist of funds previously received from state or federal agencies, or funds previously used to match federal or state funds. No state or federal funds may be used to match an A&D grant.

(b) **Project Minimum**. The minimum grant amount for an A&D funded project is an amount equal to twice the amount of an Annual Credit as specified in PUC section 21682(b).

(c) **Airport Maximum**. The maximum A&D grant funding allocated to any airport in a fiscal year shall not exceed $500,000. The Department may grant an exception to this limit for any of the following conditions:

(1) The airport's project requires additional funds to correct a design deficiency that would prevent the airport from meeting the design standards necessary to qualify for a permit for a new airport pursuant to CCR, Title 21, Article 3, section 3540 et seq.

(2) The airport is not eligible for federal funding.

(3) The Department determines that it is appropriate to exceed this maximum. For instance, it may be appropriate when a project's remoteness relative to required construction materials, such as rock plants, concrete plants, and asphalt plants, results in unusually high construction costs. The sponsor shall provide additional documentation if the Department determines that further information is required to sufficiently evaluate the appropriateness of exceeding the maximum annual allocation of $500,000.

(d) **Project Services**. "Project services" can be a maximum of 12 percent of the total construction cost or land acquisition cost, including real estate costs of appraisal, escrow and title fees.

4064 A&D Project Application Process. The Department will process all applications for allocation of funds for A&D grants that meet the requirements of this section. To apply for an A&D grant, the sponsor shall submit a completed and signed "Acquisition & Development Grant - Application" to the Department with the following documentation included:

(a) **Local Government Approval**. Either a resolution or minute order from the governing board of the sponsor documenting its authorization for filing the application for funding; accepting the allocation of funds for the project; executing the grant agreement; and naming the person authorized to sign any documents required to apply for and accept these funds on the sponsor's behalf. The resolution or minute order shall also certify the availability of matching funds from the sponsor, or other non-state/non-federal funding source, to meet the required local share of the project cost in the state fiscal year for which the application is made.

(b) **Federal Aviation Administration Documentation**. The FAA's final determination regarding the sponsor's submission of Federal form(s), such as FAA Form 7460-1 or FAA Form 7480-1, when applicable.

(c) **Environmental Compliance**. Verification that sponsor is in compliance with the California Environmental Quality Act (CEQA) for the project. During the CEQA public review period, the

sponsor, or its representative, shall circulate all environmental documents for the project through the Department and the Office of Planning and Research, State Clearinghouse.

(d) **Airport Layout Plan or Drawing with Project Information**. An Airport Layout Plan (ALP), as defined in section 4052, with a depiction of the proposed project and its location highlighted. The ALP shall be:

(1) The most recent FAA approved version if the airport is in the NPIAS or

(2) An 11 x 17-inch drawing of the airport approved by the sponsor if the airport is not in the NPIAS. Either an electronic version or a legible hardcopy of the ALP, or the 11 x 17-inch drawing, is acceptable.

This subdivision does not apply to a grant to prepare a new ALP; a new Airport Land Use Compatibility Plan (ALUCP); or an update to an existing ALUCP.

(e) **Sponsor Eligibility and Airport Protection and Programming Requirements**. A completed and signed "California Aid to Airports Program (CAAP)-Certification" form to certify eligibility pursuant to Article 2 of these regulations. This subdivision does not apply if the sponsor has previously submitted a completed certification form to the Department for the same fiscal year in which the project is planned; or if the project is for an ALP, Master Plan, or ALUCP.

(f) **Additional Documentation**. Sponsor shall submit project cost estimates. Sponsor shall provide additional documentation if the Department determines that further information is required to sufficiently evaluate the project for funding.

Article 5 Airport Improvement Program (AIP) Matching Grants

4066 Program Description. Pursuant to PUC section 21683.1, sponsors may apply for AIP Matching grants to assist the sponsor in meeting the local match for federally-funded AIP projects.

Local Matching Fund Requirements. In accordance with PUC section 21683.1, and primarily for general aviation (GA) purposes, sponsors may apply for Aeronautics Account funds to match a federal Airport Improvement Program (AIP) grant received by the sponsor.

The Department may provide funding in an amount equal to:

(a) 5% of the amount of any AIP grant

4067 AIP Matching Grant Application Process. To apply for an AIP Matching grant, the sponsor shall submit a completed and signed "State Matching Grant for FAA Airport Improvement Program-Application" form to the Department with the following documentation included:

(a) **Local Government Approval**. Either a resolution or minute order from the governing board of the sponsor documenting its authorization for filing the application for funding; accepting the allocation of funds for the project; executing the grant agreement; and naming the person authorized to sign any documents required to apply for and accept these funds on the sponsor's behalf.

(b) **FAA Grant Agreement**. Sponsor shall submit a copy of the FAA AIP Grant Agreement that has been signed by designated representatives of the sponsor and the FAA.

(c) **Environmental Compliance**. Verification that sponsor is in compliance with the California Environmental Quality Act (CEQA) for the project. During the CEQA public review period, the sponsor, or its representative, shall circulate all environmental documents for the project through the Department and the Office of Planning and Research, State Clearinghouse.

(d) **Airport Layout Plan with Project Information**. The most recent adopted and FAA approved Airport Layout Plan (ALP), as defined in section 4052, with a depiction of the proposed project and its location highlighted. Either an electronic version or a legible hardcopy of the ALP is acceptable. This subdivision does not apply to a grant to prepare a new ALP.

(e) **Sponsor Eligibility and Airport Protection and Programming Requirements**. A completed and signed "California Aid to Airports Program (CAAP)-Certification" form to certify eligibility pursuant to Article 2 of these regulations. This subdivision does not apply if the sponsor has previously submitted a completed certification form to the Department for the same fiscal year in which the project is planned; or if the project is for an ALP.

(f) **Additional Information**. Sponsor shall provide additional documentation if the Department determines that further information is required to sufficiently evaluate the project for funding.

Article 6 Annual Credit

4069 Program Description and Annual Credit Disbursement Process. The Annual Credit provides eligible airports with annual discretionary funding subject to the provisions of PUC section 21682. To request approval to expend Annual Credit funds, the sponsor shall submit the following to the Department:

(a) **Standard Application Form or letter**. A completed and signed "California Aid to Airports Program (CAAP)-Annual Credit Disbursement Request" form; or a signed letter requesting the Department's approval for expenditure of funds on eligible projects. The sponsor may either apply for disbursement of the Annual Credit, or automatically accumulate the Annual Credit for a period of five years. The accrual period begins with the first fiscal year during which the Annual Credit is available to the sponsor. The sponsor shall indicate the planned use of the Annual Credit in the application or letter.

(b) **Sponsor Eligibility and Airport Protection and Programming Requirements**. A completed and signed "California Aid to Airports Program (CAAP)-Certification" form to certify eligibility pursuant to Article 2 of these regulations. This subdivision does not apply if the sponsor has previously submitted a completed certification form to the Department for the same fiscal year in which the expenditure is planned.

Airport Loan Process Regulations

California Code of Regulations, Title 21, Division 2.5

Chapter 5 California Airport Loan Program

4070 Program Description. The regulations in this chapter establish procedures for the administration of the California Airport Loan Program as provided for in Public Utilities Code (PUC) Section 21602. Subject to the availability of funds, the Department may provide funding in the form of loans to eligible sponsors.

Definitions set forth in the State Aeronautics Act (PUC sections 21001 et seq.) and in section 4052 of Chapter 4 also apply within this Chapter. Additionally within this Chapter, "**funding**" means the granting of a loan by the Department pursuant to these regulations.

4071 Conditions of Eligibility

(a) **Sponsor Eligibility**. To be eligible for funding, the sponsor must meet the eligibility requirements of Chapter 4, Article 2, sections 4056 through 4058 of these regulations.

(b) **Project Eligibility**

(1) **Ineligible Projects**. The following projects are not eligible for funding:

(A) Projects to accommodate scheduled air carriers*;* and

(B) Local matching fund requirements for an A&D grant pursuant to Chapter 4.

(2) **Eligible Projects**. The following projects are eligible for funding:

(A) On airport projects that enhance an airport's ability to provide general aviation services in a safe, efficient, and economical manner such as, but not limited to, aircraft storage facilities (hangars), general aviation terminal buildings or pilots lounges, utility services (power, water, sewer, etc.), and fueling facilities.

(B) Local matching funds for AIP grants, provided that the sponsor has accepted the federal AIP grant; and

(C) Projects eligible for A&D grants in accordance with Chapter 4.

4072 Project Feasibility Requirements. In addition to the eligibility criteria within section 4071, the sponsor must demonstrate that the proposed project meets the following feasibility requirements:

(a) **Engineering Feasibility**. For loans for construction projects only, a proposed project shall be feasible from an engineering assessment, which means that it can be designed, constructed, and operated in accordance with generally-accepted engineering principles and procedures, for the purpose for which the project is created. The engineering feasibility requirement does not apply to loans made only for the purpose of preparing "Plans, Specifications, and Estimates" for an airport construction project. This section is not required for a loan to match an FAA AIP grant.

(b) **Economic Feasibility**. For revenue-generating loans only, a proposed project shall be economically justified. Sponsor's completed "Checklist for Economic Feasibility," on the back

of the "Revenue Generating Loan-Application" form, must show that total projected monetary benefits of the project equal or exceed total costs over the service life of the proposed project, where "total costs" means the sum of capital, maintenance, and administrative costs over the service life of the project.

(c) **Financial Feasibility**. The Department may refuse any loan if it determines that the sponsor does not have the financial ability to repay the loan in accordance with section 4073.

4072.1 Application Process. To apply for a loan, the sponsor shall submit a completed and signed application (appropriate to the type of loan requested - "Airport Development Loan-Application", "Matching Funds Loan-Application", or "Revenue Generating Loan-Application" to the Department with the following documentation included:

(a) **Sponsor Acceptance and Approval**. A resolution or minute order from the governing board of the sponsor documenting its approval of the application for a loan and certifying the sponsor's ability to repay the loan.

(b) **Federal Aviation Administration Documentation**

(1) For loans to match an FAA AIP grant only. A copy of the FAA AIP Grant Agreement that has been signed by designated representatives of the sponsor and the FAA. The Department may evaluate a loan application based upon a sponsor's application to the FAA for grant funds, but the Department cannot award the loan until it has a copy of the FAA AIP Grant Agreement described above.

(2) The FAA's final determination regarding the sponsor's submission of Federal form(s), such as FAA Form 7460-1 or FAA Form 7480-1, when applicable.

(c) **Environmental Compliance**. Verification that sponsor is in compliance with the California Environmental Quality Act (CEQA) for the project, if applicable. During the CEQA public review period, the sponsor, or its representative, shall circulate all environmental documents for the project through the Department and the Office of Planning and Research, State Clearinghouse.

(d) **Airport Layout Plan or Drawing with Project Information**. An Airport Layout Plan (ALP), as defined in section 4052, with a depiction of the proposed project and its location highlighted. The ALP shall be:

(1) The most recent FAA approved version if the airport is in the NPIAS or

(2) An 11 x 17-inch drawing of the airport approved by the sponsor if the airport is not in the NPIAS. Either an electronic version or a legible hardcopy of the ALP, or the 11 x17-inch drawing, is acceptable.

This subdivision does not apply to a loan to prepare: (A) a new ALP; (B) a new Airport Land Use Compatibility Plan (ALUCP); or (C) an update to an existing ALUCP.

(e) **Sponsor Eligibility and Airport Protection and Programming Requirements**. A completed and signed "California Aid to Airports Program (CAAP)-Certification" form to certify eligibility pursuant to Article 2 of Chapter 4 of these regulations. This subdivision does not apply if the sponsor has previously submitted a completed certification form to the Department for the same fiscal year in which the project is planned; or if the project is for an ALP, Master Plan, or ALUCP.

(f) **Project Feasibility Requirements**. Demonstration that the proposed project is feasible pursuant to section 4072.

(g) **Additional Information**. Sponsor shall provide additional documentation if the Department determines that further information is required to sufficiently evaluate the proposed project.

4073 Servicing of the Loan. All funds expended under this program shall be repaid to the Department, together with any interest due. The State Controller has the right to impound, or withhold, all other State funds due the borrowing agency to satisfy this requirement.

(a) **Repayment**

(1) A loan made under this chapter shall be repayable over a period established by the Department for each loan, which shall not exceed a 17-year period. The sponsor shall make payments to the Department on an annual basis, as established in the loan agreement between the sponsor and the Department, commencing one year from the date that the State Controller issues the warrant for the loan proceeds. Interest shall be computed daily on the basis of the outstanding principal.

(2) Where a loan has been made for the construction of a revenue-generating project, the sponsor shall establish a separate account within the airport's special aviation fund for the purpose of receiving revenue which would be held in trust, in an amount equal to one year's repayment of the loan. Revenue received after the first year's payment would be available to the airport for the purpose of achieving financial self-sufficiency.

(3) Nothing in these regulations shall be construed as prohibiting the sponsor from making early repayment, either in full or in part. Interest due as of the date of early payment shall be included in the early payment.

(b) **Interest Rate**. Interest charged for loans made under this Chapter will be at the interest rate paid by the State on its most recent issue of general obligation bonds sold prior to the date that the loan is approved.

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Note:

The complete regulations in their original format are available on the Aeronautics website (www.dot.ca.gov/aeronautics).

Figure 1: Runway Protection Zone

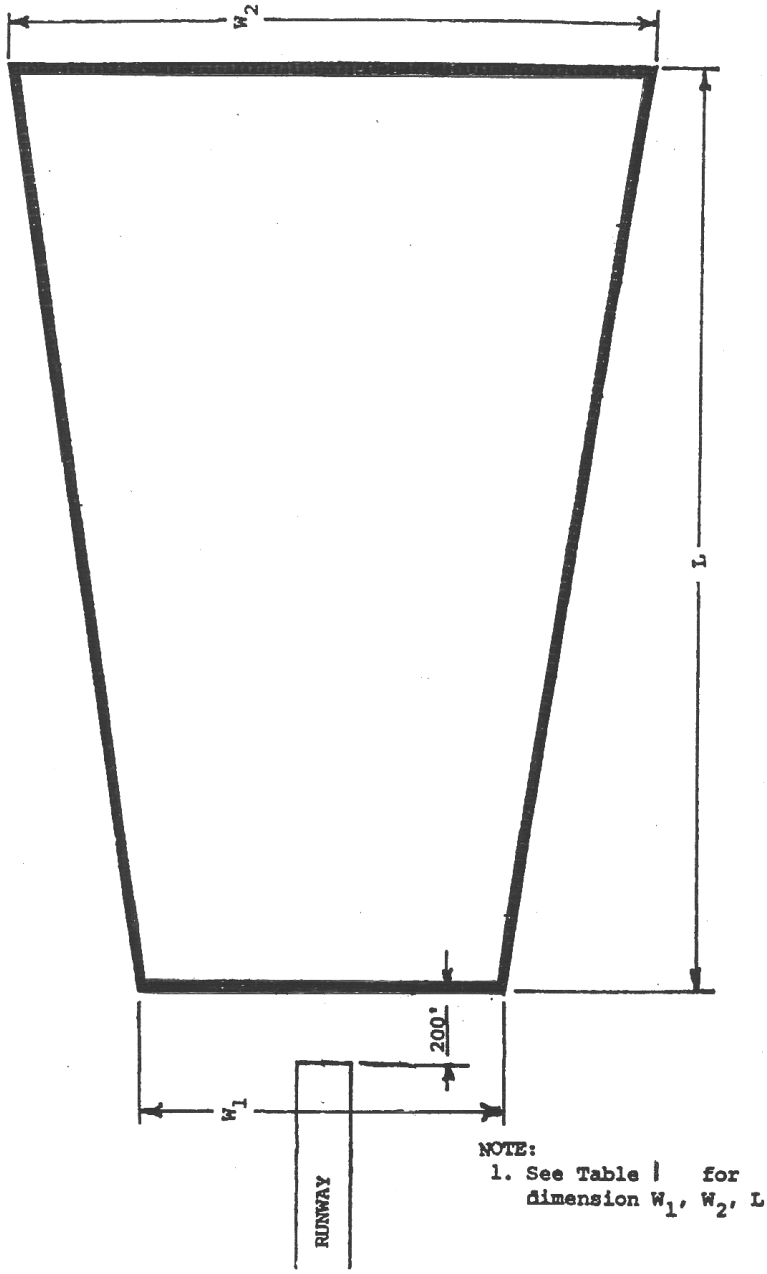


Figure I Runway protection zone

TABLE 1. RUNWAY PROTECTION ZONE (RPZ) DIMENSIONS FOR CIVILIAN RUNWAYS

Approach Visibility Minimums[1]	Facilities Expected To Serve[2]	Dimensions		
		Length L Feet	Inner Width W_1 Feet	Outer Width W_2 Feet
Visual and Not Lower Than 1 Mile	Small Airplane[3] Exclusively	1,000	250	450
	Aircraft Approach Categories A & B	1,000	500	700
	Aircraft Approach Categories C & D	1,700	500	1,010
Not Lower Than 3/4 Mile	All Aircraft	1,700	1,000	1,510
Lower Than 3/4 Mile	All Aircraft	2,500	1,000	1,750

[1] The RPZ dimensions are for the runway end with the specified approach visibility minimums.

[2] "Aircraft approach category" means a grouping of aircraft based on 1.3 times their stall speed in their landing configuration at their maximum certificated landing weight. The categories are as follows:

Category A: speed less than 91 knots
Category B: speed 91 knots or more but less than 121 knots
Category C: speed 121 knots or more but less than 141 knots
Category D: speed 141 knots or more but less than 166 knots
Category E: speed 166 knots or more

[3] "Small airplane" means an airplane of 12,500 pounds or less maximum certificated takeoff weight.

FIGURE 2. RUNWAY SAFETY AREA

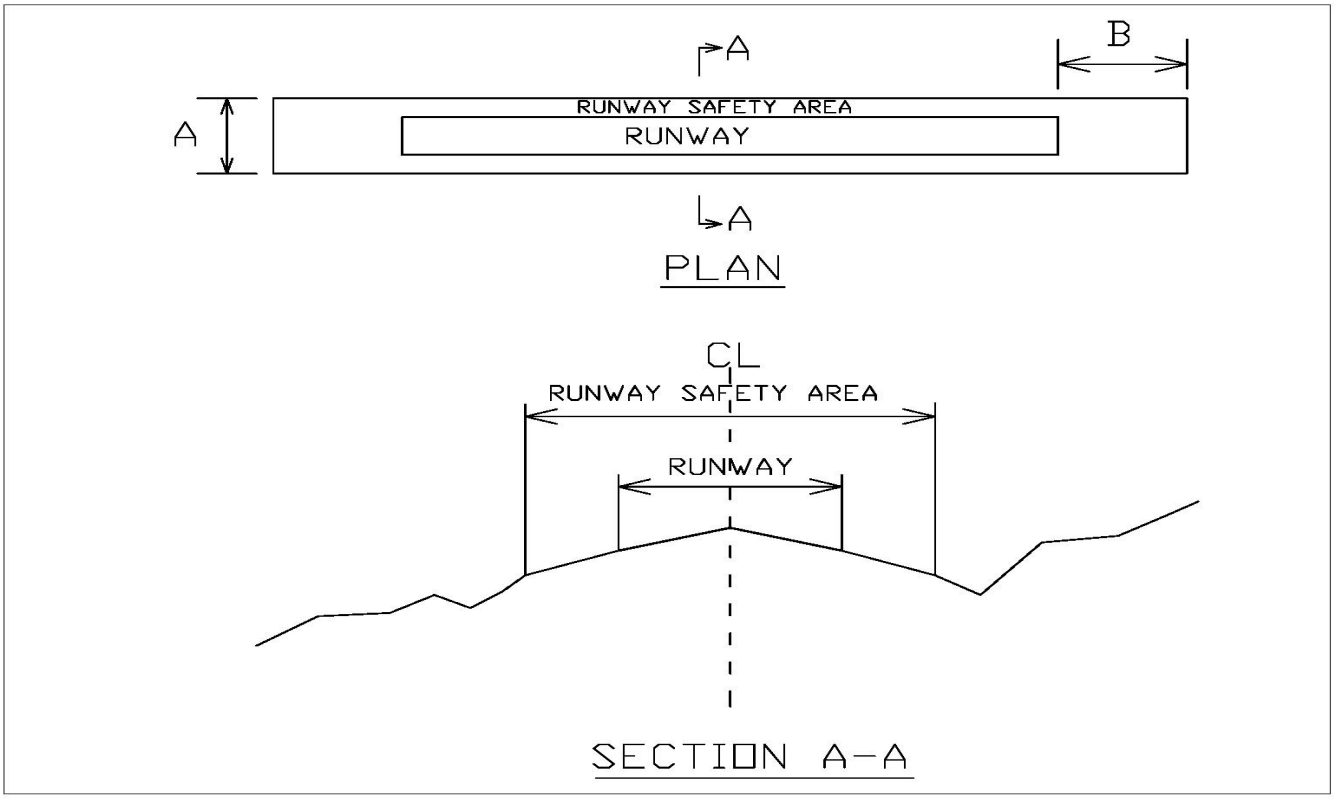
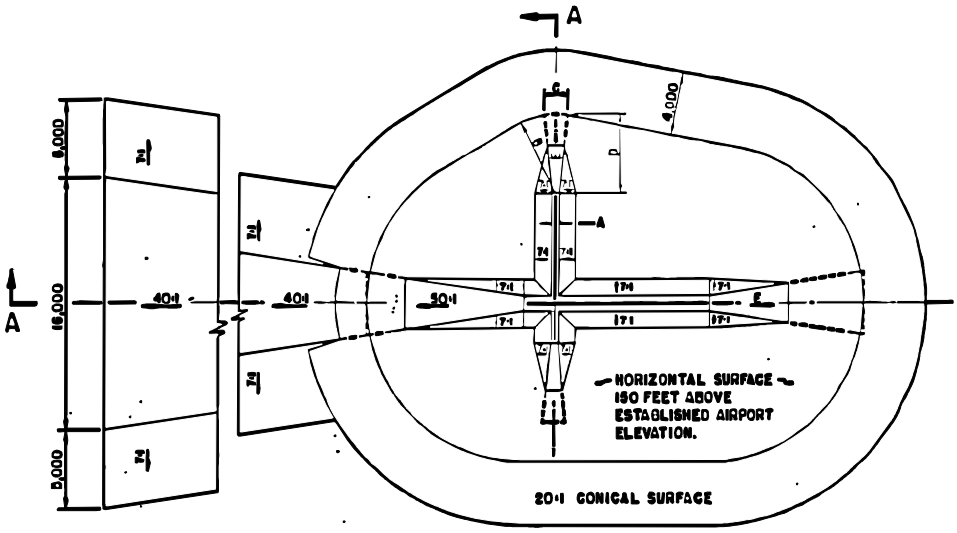


TABLE 2. RUNWAY SAFETY AREA DIMENSIONS

		AIRPLANE DESIGN GROUP				
	DIM[4]	I[5]	I	II	III	IV
Runway Safety Area Width	**A**	**120 ft**	**120 ft**	**150 ft**	**300 ft**	**500 ft**
Runway Safety Area Length beyond end of Runway[6]	**B**	**240 ft**	**240 ft**	**300 ft**	**600 ft**	**1000 ft**

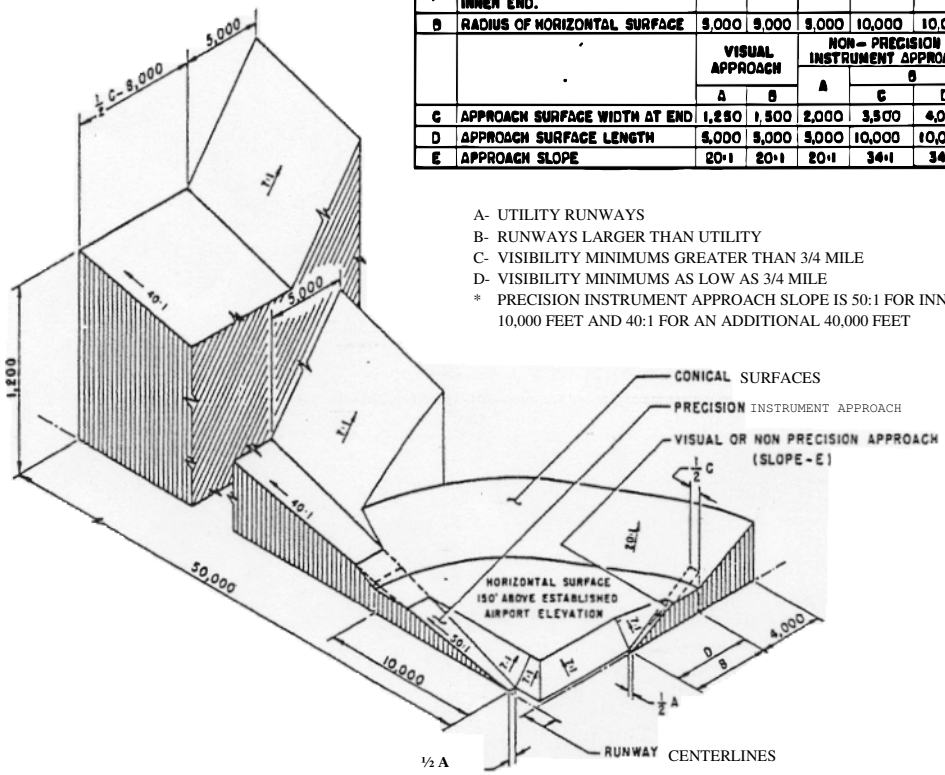
[4] These letters correspond to the dimensions on Figure 2.
[5] These dimensional standards pertain to facilities for small airplanes exclusively. "Small airplane" means an airplane of 12,500 pounds or less maximum certificated takeoff weight.
[6] The runway safety area length begins at each runway end if there is no stopway provided. When stopway is provided, the length begins at the stopway end.

Figure 3: Civil Airport Imaginary Surfaces



DIM	ITEM	DIMENSIONAL STANDARDS (FEET)					
		VISUAL RUNWAY		NON-PRECISION INSTRUMENT RUNWAY			PRECISION INSTRUMENT RUNWAY
		A	B	A	B C	B D	
A	WIDTH OF PRIMARY SURFACE AND APPROACH SURFACE WIDTH AT INNER END.	250	500	500	500	1,000	1,000
B	RADIUS OF HORIZONTAL SURFACE	5,000	5,000	5,000	10,000	10,000	10,000
		VISUAL APPROACH		NON-PRECISION INSTRUMENT APPROACH			PRECISION INSTRUMENT APPROACH
		A	B	A	B C	B D	
C	APPROACH SURFACE WIDTH AT END	1,250	1,500	2,000	3,500	4,000	16,000
D	APPROACH SURFACE LENGTH	5,000	5,000	5,000	10,000	10,000	*
E	APPROACH SLOPE	20:1	20:1	20:1	34:1	34:1	*

A- UTILITY RUNWAYS
B- RUNWAYS LARGER THAN UTILITY
C- VISIBILITY MINIMUMS GREATER THAN 3/4 MILE
D- VISIBILITY MINIMUMS AS LOW AS 3/4 MILE
* PRECISION INSTRUMENT APPROACH SLOPE IS 50:1 FOR INNER 10,000 FEET AND 40:1 FOR AN ADDITIONAL 40,000 FEET



ISOMETRIC VIEW OF SECTION **A-A**

Appendix 5: Eligible Projects for State Funding

The following items may be funded with Annual Credits and A&D grants:

(a) **Aircraft Parking Tiedown Apron** for GA purposes
(b) **Airport Land Use Commission** (ALUC) activities
(c) **Airport Lighting, Markings and Signage** (segmented circle; wind sock; etc.)
(d) **Airport Service Roads** which are closed to the public
(e) **Avigation Easements** to safeguard aircraft operations
(f) **Blast Barriers** for jet blast or propeller wash
(g) **Bond Servicing of Revenue** or general obligation bonds used to finance capital improvements on airport
(h) **Environmental Mitigation**, as defined in regulation
(i) **Fencing**. Installation of minimum security fencing around the airport's perimeter
(j) **Land Acquisition** for GA airports and for RPZ's
(k) **Master Plans and Airport Layout Plans** (ALP's)
(l) **Navigation Equipment** (TACAN, VOR, etc.)
(m) **Obstructions/Hazards** (removal from an RPZ or an RSA)
(n) **Pavement** (rehabilitation and maintenance)
(o) **Runways and Taxiways** (construction and reconstruction)
(p) **Project services** (maximum 12%) (Airport design, land surveys, project plans and drawings, etc. as per §4052 of the CAAP regulations)
(q) **Radio Communication Equipment** which remain under sponsor control
(r) **Water and Sanitary Systems** for GA purposes

In addition, **Annual Credits** may fund the following items: (1) Local match for an AIP grant, (2) aircraft wash facilities, (3) GA fueling facilities, (4) restrooms & showers, and (5) operation and maintenance (wages, utilities, service vehicles, & all other noncapital expenditures). When requesting operation/maintenance funds, the DOA-0009 must list the specific items of expenditure.

AIP Matching. Generally, any AIP-funded project is eligible for matching as long its primary benefit is for GA and the project is included in the CIP.

Ineligible Projects. The following situations render a project ineligible: (1) The sponsor starts the project prior to allocation of AIP Matching or A&D funds, and (2) the sponsor has purchased property (closed escrow) prior to the Department receiving an application for AIP Matching, A&D, or disbursement of Annual Credit funds to acquire the property. Also, legal and administrative costs for land acquisition and project services are ineligible.

Appendix 6: Contact List for Airport Land Use Commissions

Contact information for Airport Land Use Commissions (ALUC's) is available from the Caltrans Aeronautics website in the "Publications and Forms" section. The URL is:

http://www.dot.ca.gov/hq/planning/aeronaut/documents/aluccontacts2.pdf

Regional Transportation Planning Agency (RTPA) and Metropolitan Planning Organization (MPO) Contact List

County	Transportation Planning Agency
Alameda	Metropolitan Transportation Commission (MTC)
Alpine	Alpine County Local Transportation Commission
Amador	Amador County Transportation Commission
Butte	Butte County Association of Governments
Calaveras	Calaveras Council of Governments
Colusa	Colusa County Transportation Commission
Contra Costa	Metropolitan Transportation Commission (MTC)
Del Norte	Del Norte Local Transportation Commission
El Dorado (other than the Tahoe Basin)	El Dorado County Transportation Commission (Tahoe MPO for airports within the Tahoe Basin)
Fresno	Council of Fresno County Governments
Glenn	Glenn County Transportation Commission
Humboldt	Humboldt County Association of Governments
Imperial	Southern California Association of Governments (SCAG)
Inyo	Inyo County Local Transportation Commission
Kern	Kern Council of Governments
Kings	Kings County Association of Governments
Lake	Lake County/City Area Planning Council
Lassen	Lassen County Transportation Commission
Los Angeles	Southern California Association of Governments (SCAG)
Madera	Madera County Transportation Commission
Mariposa	Mariposa County Local Transportation Commission
Mendocino	Mendocino Council of Governments
Merced	Merced County Association of Governments
Modoc	Modoc County Local Transportation Commission
Mono	Mono County Local Transportation Commission
Monterey	Transportation Agency for Monterey County

Napa	Metropolitan Transportation Commission (MTC)
Nevada	Nevada County Transportation Commission
Orange	Southern California Association of Governments (SCAG)
Placer	Placer County Transportation Planning Agency
Plumas	Plumas County Transportation Commission
Riverside	Southern California Association of Governments (SCAG)
Sacramento	Sacramento Area Council of Governments (SACOG)
San Benito	Council of San Benito County Governments
San Bernardino	Southern California Association of Governments (SCAG)
San Diego	San Diego Association of Governments (SANDAG)
San Francisco	Metropolitan Transportation Commission (MTC)
San Joaquin	San Joaquin Council of Governments
San Luis Obispo	San Luis Obispo Council of Governments
San Mateo	Metropolitan Transportation Commission (MTC)
Santa Barbara	Santa Barbara County Association of Governments
Santa Clara	Metropolitan Transportation Commission (MTC)
Santa Cruz	Santa Cruz County Regional Transportation Commission
Shasta	Shasta County Regional Transportation Planning Agency
Sierra	Sierra County Local Transportation Commission
Siskiyou	Siskiyou County Transportation Commission
Solano	Metropolitan Transportation Commission (MTC)
Sonoma	Metropolitan Transportation Commission (MTC)
Stanislaus	Stanislaus Council of Governments
Sutter	Sacramento Area Council of Governments (SACOG)
Tehama	Tehama County Transportation Commission
Trinity	Trinity County Transportation Commission
Tulare	Tulare County Association of Governments
Tuolumne	Tuolumne County Transportation Council
Ventura	Southern California Association of Governments (SCAG)
Yolo	Sacramento Area Council of Governments (SACOG)
Yuba	Sacramento Area Council of Governments (SACOG)
Tahoe Basin (parts of Placer & El Dorado)	Tahoe Metropolitan Planning Organization

Specific agency contact information is available at this URL:

www.dot.ca.gov/hq/tpp/MPO-RTPA_Contact_List_Update_for_DOTP_Website.xls

Appendix 7: Priority Matrix for Acquisition and Development (A&D) Grants

Type Description	Rank	Score
Safety		
Obstruction mitigation/abatement (removal, trimming, land acquisition, avigation easement for height restrictions)	1	20
Obstruction lighting (new)	2	19
RSA/RPZ land acquisition	3	18
Runway or taxiway lighting (repair or replace)	4	17
Rotating beacon (repair or replace)	5	16
New pavement for runway turnaround (but not parallel taxiways)	6	15
Landing aids (markings, segmented circle, VASI, AWOS, ASOS, etc.) (repair or replace)	7	14
Capacity		
Seal/overlay/rehabilitate existing runway	8	13
RW pavement (new) or seal/overlay/rehab existing taxiway	9	12
Runway lighting or rotating beacon (new)	10	11
Airport Layout Plan (new or update)	11	10
Automated weather reporting equipment (new)	12	9
Taxiway pavement (new) or seal/overlay/rehab existing apron	15	6
Apron pavement (new) or service roads	16	5
Landing aids (new)	17	4
Utilities (drainage, water, sewage); environmental mitigation; blast wall; fire protection system; radio equipment; bond servicing	18	3
Land acquisition for airside usage; taxiway lighting (new); Master Plan	19	2
Noise monitoring equipment (new)	20	1
Security		
Security fence (new)	13	8
Apron lighting (new)	14	7

Each project in the NPIAS and Non-NPIAS set-asides are ranked and assigned a points "score" using this matrix. For tiebreakers and special projects, the Department has the discretion to assign up to 20 points within each set-aside. Discretionary points can be added to the score of one or more projects.

Note: Airport land use compatibility plans (ALUCP) are prioritized separately from other A&D grants.

Appendix 8: Sample resolution for an AIP Matching grant

This **sample resolution for an AIP Matching grant** *is written for a county-owned airport. It can easily be changed for use with an airport that a city or district operates. The font size and page margins have been modified so that the example fits on a single page. These should adjusted for a "final" version as well as incorporating any changes to accommodate local formatting requirements.*

RESOLUTION NO. ____ _____

A resolution of the _____ County Board of Supervisors authorizing the submittal of an application, acceptance of an allocation of funds and execution of a grant agreement with the California Department of Transportation, for an Airport Improvement Program (AIP) Matching grant.

WHEREAS, the County of _____ and the Federal Aviation Administration are parties to federal Airport Improvement Program (AIP) grant 3-06-_____ for [brief description of project] at the [airport name] Airport; and

WHEREAS, the California Department of Transportation, pursuant to the Public Utilities Code section 21683.1, provides grants of up to 5% of Federal Aviation Administration grants to airports; and

WHEREAS, the California Department of Transportation requires the Board of Supervisors to adopt a resolution authorizing the submission of an application for an AIP Matching grant;

NOW, THEREFORE BE IT RESOLVED that the Board of Supervisors of the County of _____, State of California:

1. Authorizes filing an application for a state AIP Matching grant for this project.
2. Authorizes accepting the allocation of state AIP Matching funds for the project.
3. Authorizes execution of an AIP Matching Grant Agreement for this project; and

BE IT FURTHER RESOLVED, that the Board of Supervisors of the County of _____ does hereby authorize [name and title of person authorized] to sign any documents required to apply for and accept these subject funds on behalf of the County of _____.

I hereby certify the foregoing resolution was introduced and read at the regular meeting of the County Board of Supervisors of the County of _____ on the _____ day of _____, 20__, and the resolution was duly adopted at said meeting by the following vote:

AYES:
NOES:
ABSENT:
ABSTAIN:

_____
(name) , Chairperson
_____County Board of Supervisors

ATTEST:

_____
(name), Clerk of the Board of Supervisors,
County of _____
State of California

Appendix 9: Sample Resolution for an A&D Grant

This **sample resolution for an A&D grant** *is written for a county-owned airport. It can easily be changed for use with an airport that a city or district operates. The font size and page margins have been modified so that the example fits on a single page. These should adjusted for a "final" version as well as incorporating any changes to accommodate local formatting requirements.*

RESOLUTION NO. ____ _____

A resolution of the _____ County Board of Supervisors authorizing the submittal of an application, acceptance of an allocation of funds and execution of a grant agreement with the California Department of Transportation, for an Acquisition & Development grant and certifying the availability of the County's share of matching funds.

WHEREAS, the California Transportation Commission has adopted the [year] Aeronautics Program for airport improvement projects; and

WHEREAS, the California Department of Transportation, pursuant to the Public Utilities Code and California Aid to Airports Program (CAAP) regulations, requires local government approval authorizing the application and certifying the availability of 10% matching funds, a sum from other than state or federal sources; and

WHEREAS, the County of _____ is submitting an application for [brief project description], which is included in the [year] Aeronautics Program, at the [airport name] Airport;

NOW, THEREFORE BE IT RESOLVED that the Board of Supervisors of the County of _____, State of California:

1. Authorizes filing the application for the project in the [year] Aeronautics Program.
2. Authorizes accepting the allocation of funds for the project at [airport name] Airport.
3. Certifies the availability of the County's ten percent (10%) matching funds.
4. Authorizes execution of the Grant Agreement; and

BE IT FURTHER RESOLVED, that the Board of Supervisors of the County of _____ does hereby authorize [name and title of person authorized] to sign any documents required to apply for and accept these subject funds on behalf of the County of _____.

I hereby certify the foregoing resolution was introduced and read at the regular meeting of the County Board of Supervisors of the County of _____ on the _____ day of _____, 20__, and the resolution was duly adopted at said meeting by the following vote:

AYES:
NOES:
ABSENT:
ABSTAIN:

_____
(name) , Chairperson
_____County Board of Supervisors

ATTEST:

_____
(name), Clerk of the Board of Supervisors,
County of _____
State of California

Appendix 10: Sample Resolution for a Loan

This **sample resolution for a loan** *is written for a county-owned airport. It can easily be changed for use with an airport that a city or district operates. The font size and page margins have been modified so that the example fits on a single page. These should adjusted for a "final" version as well as incorporating any changes to accommodate local formatting requirements.*

RESOLUTION NO. ____ _____

A resolution of the _____ County Board of Supervisors authorizing the submittal of an application and execution of an agreement with the California Department of Transportation, for a state airport loan.

WHEREAS, the California Department of Transportation, pursuant to the Public Utilities Code section 21602, provides loans for the improvement and operation of airports; and

WHEREAS, the California Department of Transportation requires the Board of Supervisors to adopt a resolution authorizing the submission of an application for a state airport loan;

NOW, THEREFORE BE IT RESOLVED that the Board of Supervisors of the County of _____, State of California:

1. Authorizes filing an application for a state airport loan for this project.

2. Authorizes execution of a Loan Agreement for the project.

3. Certifies the County's ability to repay the state loan for this project; and

BE IT FURTHER RESOLVED, that the Board of Supervisors of the County of _____ does hereby authorize [name and title of person authorized] to sign any documents required to apply for and accept these loan funds on behalf of the County of _____.

I hereby certify the foregoing resolution was introduced and read at the regular meeting of the County Board of Supervisors of the County of _____ on the _____ day of _____, 20__, and the resolution was duly adopted at said meeting by the following vote:

AYES:
NOES:
ABSENT:
ABSTAIN:

_____
(name) , Chairperson
_____County Board of Supervisors

ATTEST:
_____
(name), Clerk of the Board of Supervisors,
County of _____
State of California