



Transportation
Security
Administration

Electronic Baggage Screening Program (EBSP) Funding Application Process

Facility Modification Funding Application Guidance

Version 3.0
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INTRODUCTION

The Facility Modification Funding Application (Application) should only be submitted for funding requests that support the construction of facility modifications. The Design OTA Application, found on the TSA Web site, should be completed for airports only seeking funding for the costs associated with the design of a project. Equipment-only requests should be submitted by TSA Federal Security Directors (FSDs) via the TSA Office of Security Technology (OST) Requirements Web site.

Airports applying for project funding for multiple terminals, nodes, or concourses involving multiple CBIS, must provide a separate Application for each separately-designed CBIS matrix/matrices project(s).

TSA must review and concur with a Design Package that is compliant with the Planning Guidelines and Design Standards (PGDS) for Checked Baggage Inspection Systems (CBIS) for an Application to be approved. An Application will not be considered complete unless all material required for the appropriate Design Package as defined in the PGDS is submitted. However, in the event that Design Package requirements will slow the completion of the Application, the TSA encourages airports to submit an Application that includes completed basic information and, if possible, estimated project costs and funding requests. While incomplete Applications will be reviewed, no funds will be obligated without a complete application. Please refer to the figures entitled “Deliverables Checklist for In-line CBIS ” or “Deliverables Checklist for Mini In-line CBIS ” to ensure the submitted Design Package is complete and applicable to the system type for which the Application is submitted.

In order for an Application to be considered complete, each of the following steps must be completed:

- Within the Application, each white field must be completed, each drop-down menu must be selected, all appropriate boxes must be checked, and all questions must be answered
- All supporting documentation submitted as outlined in:
 - The Application and this guidance
 - The PGDS

Airports will be notified by TSA if their Application is complete or incomplete.

SECTION BY SECTION GUIDANCE

The following information provides section by section guidance for each field within the Facility Modification Funding Application form.

REQUEST ID NUMBER

The Request ID number will be provided to the FSD, or designee, when the request is entered into TSA’s requirements management tracking database. This field is to be populated by the Airport upon receipt of the ID number. Please include this number in all correspondence between the Airport, TSA and/or TSA’s contractors in order to identify the project under discussion.

DATE SUBMITTED

This field should be the date on which the Application is emailed to the FSD.

DESIGN REQUEST ID NUMBER

This field is only applicable to those projects that have previously received Design OTA funding. This field is to be populated by the Airport prior to submission of the Facility Modification Funding Application. The Design Request ID Number is the number assigned to the Design OTA Application.

AIRPORT INFORMATION

Airport IATA Code

Please choose the Airport's three-letter International Air Transport Association (IATA) Code from the drop-down menu in the Application. Only three-letter IATA codes of Federalized Airports eligible for TSA funding of CBIS projects are included in the drop-down list. If the Airport that is applying for Facility Modification Funding is not listed, please contact the Airport's FSD.

Airport TSA Code

This field is automatically populated when the Airport IATA Code is selected. For most airports, the three-digit Airport TSA Code will be the same as the Airport IATA Code. However, for some airports, the Airport TSA Code will differ from the Airport IATA Code.

Airport Name

This field is automatically populated when the Airport IATA Code is selected.

Airport Hub Size

This field is automatically populated when the Airport IATA Code is selected. The Hub Size is the current FAA Hub Size designation, as based upon calendar year 2009 enplanements.

TSA Maximum Cost Share

This field is automatically populated when the Airport IATA Code is selected. The TSA Maximum Cost Share is based upon current legislative directives (Title 49 of the US Code § 44923), which specifies that the TSA cost share for CBIS projects be 90% of project costs for in-line projects at medium-hub and large-hub airports, and 95% at all other airports.

Airport Address

This field is to be populated by the applicant Airport. Please provide the address that all financial and other project-related correspondence should be submitted.

Airport City

This field is automatically populated when the Airport IATA Code is selected.

Airport State

This field is automatically populated when the Airport IATA Code is selected.

Airport Zip Code

This field is to be populated by the applicant Airport and must be the zip code associated with the Airport Address.

Tax Identification Number

Please provide the Tax Identification Number (TIN) assigned to the entity requesting the funding from TSA.

Project Location

The following fields below are to provide specific details of the location of the project within the Airport. If the Airport is currently requesting funding for more than one project, a separate Application must be submitted for each project.

Screening Matrix Name

Please provide the name of the screening matrix which is being used for planning purposes. The Screening Matrix Name should be a unique identification for the proposed matrix different from any other system at the Airport.

Terminal

Please indicate in which terminal the project will be constructed. If the Airport only has one terminal, please indicate "Main." If this project is in conjunction with construction of a new terminal, please indicate the name of the terminal used in the Master Plan.

Node or Concourse

Within the terminal, please provide a specific designation of which node or concourse the project will be constructed in. For example, in Terminal 1 South, "South" is the node or concourse which differentiates the system from other systems in the same terminal. Please consult the Airport's FSD or designee if the nodes or concourses in the terminal are not known.

AIRPORT SPONSOR CONTACT INFORMATION

Airport Executive Point of Contact

This field must identify an individual capable of financially committing the Airport to execute the proposed project. This individual will receive all correspondence from TSA related to the project. Typically, this individual will be the Airport Director or the Chief Financial Officer for the Airport.

Airport Finance Point of Contact

This field must identify the individual with knowledge of the Airport's budget and forecasting process. This individual will facilitate addressing financial queries and provide additional financial data. This individual does not need to have contract obligation authority.

Project Point of Contact

This field must identify the individual responsible for managing or overseeing the actual design, construction, and implementation of the project proposed in the Facility Modification Funding Application. TSA recognizes that for larger projects an entire team of individuals may be responsible for managing the project. However, a single individual should be identified who will

facilitate addressing technical queries, collect and provide additional information, and make agreements on technical aspects of the project as they are identified. This individual should be the contact person for TSA to coordinate a technical review meeting or other technical meetings related to the project.

TSA Point of Contact

This field must identify the Airport's FSD or the FSD's designee.

Contact Information Fields

The following fields are applicable to all four points of contact. All fields for all points of contact must be completed for TSA to consider the Application complete.

Contact Name

Provide the first and last name of the individual identified as the point of contact.

Organization

Provide the organization for which the point of contact is employed. This organization should be a legal entity, such as an airport authority, a state government, a consulting firm, or an engineering firm. The Airport name shall not be used as the Organization.

Department

Provide the department within the organization to which the point of contact is most closely associated.

Title

Provide the professional title of the point of contact.

Telephone Number

Provide the primary telephone number of the point of contact. This telephone number should be the telephone number used to reach the point of contact directly; please do not list general department or organizational telephone numbers.

Email Address

Provide the email address of the point of contact. Please do not list general organizational email addresses.

PROJECT INFORMATION

Project Title and Public Agency

Please provide both the Project Title and, if applicable, the Project Agency Number used by the entity applying for Facility Modification Funding.

Request for Facility Modification Funding System Type

Please check the appropriate box to indicate if the TSA funding will be used for a new system or for improvements to an existing system. A new system is defined as new Baggage Handling System

(BHS) in which the CBIS project will be included. An improvement to an existing in-line system is a project involving an existing in-line BHS in which the CBIS will be upgraded.

Nature of Project

Please select either “yes” or “no” to indicate whether the in-line project is part of an upgrade to an existing BHS which does not currently contain an in-line screening matrix.

Please select either “yes” or “no” to indicate whether the project is part of a larger construction project at the Airport. A project is considered to be part of a larger construction project if construction efforts will be performed for other areas of the terminal not related to the in-line screening project. The in-line screening project must, however, share resources or in some other way be dependent upon the schedule of the larger terminal project. For projects that are part of a larger construction project, the Airport must attach a scope of work for contractors including construction managers and architects that include efforts beyond the BHS. The overall project schedule for the larger construction project must also be attached, as well as a design drawing or layout for the larger project.

If the project for which funding is being sought is part of a larger construction project, please indicate if the larger construction project is a New Terminal, a Retrofit of an Existing Terminal, or a Terminal Expansion by checking all boxes that apply.

Please indicate the CBIS type which has been designed for the project. The PGDS defines in-line CBIS as: Mini In-line; High-throughput In-line; or Medium-throughput In-line.

Design Year Baggage Flow

All information in this section refers to the design year of the CBIS project, which is usually assumed to be five years after the opening date (i.e., DBU + 5 years). The throughput listed must match the Basis of Design Report (BDR) for the project.

Surged Peak Hour on the Average Day of the Peak Month (ADPM) Baggage Throughput

Please provide the surged peak hour ADPM baggage throughput, as stated in the BDR for the project. The approved methodology to calculate the surged peak hour of the ADPM can be in the current version of the PGDS.

Design Status

For projects that have not previously received Design OTA funding: The Facility Modification Funding Application should be submitted to TSA in conjunction with either the Pre-design or Schematic Design Package. TSA will not reimburse project costs incurred prior to execution of a funding vehicle associated with an approved Application. The Design Package must be compliant and complete as defined in the PGDS that is current at the time the Application is submitted. The current version of the PGDS can be found at:

http://www.tsa.gov/research/checked_baggage_material.shtm.

The submission requirements are outlined in the PGDS and differ by system type. Please refer to the figures entitled “Deliverables Checklist for In-line CBIS” or “Deliverables Checklist for Mini In-line CBIS”, as well as Appendix F in the PGDS to ensure that the materials submitted fulfill the applicable requirements set forth in the PGDS.

The Facility Modification Funding Application and the Design Package will be reviewed concurrently. If the Design Package is not compliant with or complete as defined by the PGDS, the Application will not be considered complete and project funding will not be considered. TSA strongly encourages that the Application and the Design Package be submitted together. Projects which have not previously received Design OTA funding need not complete fields relating to approval of Design Packages by TSA.

For projects that have received Design OTA funding: The Facility Modification Funding Application should be submitted to TSA in conjunction with a PGDS-compliant Design Package. The Application and applicable Design Package must be submitted at the defined project phase stated in the executed Design OTA for the specific project for which the Airport is seeking funding. For projects which have received Design OTA funding, the Application may be submitted upon the completion of the Schematic Design phase, although TSA will not proceed towards finalizing a Facility Modification Funding Agreement until costs are provided and validated for the 30% detailed design package. The Design Package submitted with the Application must be compliant and complete as defined in the PGDS that was current at the time the Design OTA was executed.

Please refer to the figures titled “Deliverables Checklist for In-line CBIS” or “Deliverables Checklist for Mini In-line CBIS and Appendix F in the PGDS to ensure that the materials submitted fulfill the requirements set forth in the applicable version of the PGDS. The Application and the Design Package will be reviewed concurrently.

If the Design Package is not compliant with or complete as defined by the PGDS, the Application will not be considered complete and facility modification funding will not be considered. TSA strongly encourages that the Application and the Design Package be submitted together. Projects which have received Design OTA funding must also indicate the latest Design Package that has been approved by TSA; it is expected the Pre-Design Package will be the latest Design Package approved. In addition, please indicate the date on which the approval was granted in the “Date of Latest Approval from TSA” field.

Project Schedule

Please indicate the projected calendar month and year when construction is anticipated to begin based on the current design status in the “Estimated start of project construction” field.

Additionally, please indicate the projected calendar month and year when the system will be operational. This date should be the same as the Date of Beneficial Use (DBU) for the equipment to be installed, as defined in the PGDS.

Project Description and Justification

The Project Description and Justification should provide a clear narrative of the overall goal of the project and summarize the key aspects of the project. The Airport should identify any necessary construction of new facilities, renovation, or expansion of existing facilities. If the project is an upgrade, a description of the existing system and a statement regarding the rationale for upgrading the system should be provided. Other pertinent information, such as the number of bags, anticipated growth in service, number and type of EDS, or other equipment being requested should be included.

Projects that are upgrades or replacements to existing systems and which were constructed using TSA or other federal funding sources, must identify any existing open or closed agreements related to the systems being replaced or upgraded.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

To comply with NEPA, TSA is required to assess its actions to consider the potential impacts to the human and natural environment. The TSA Environmental Planning Program (EPP) reviews TSA's actions to evaluate the potential for impacts and compliance with applicable regulations. Environmental planning reviews are best performed alongside the project planning process to reduce to the potential for delays or added costs.

The questions on the Facility Modification Funding Application were provided by the EPP to determine the level of review required for proceeding with the proposed action. Most CBIS projects have a limited potential for adverse impacts. In a project requiring interior or exterior modification, it must be determined if the building is more than 50 years old and to rule out eligibility for the National Register of Historic Places. If a project proposes land disturbance, TSA must determine if the disturbance will affect any protected resources. Please provide a detailed project description, any supporting documentation relevant to the questions on the Application, and a project plan sheet showing the overall scope of the proposed action with a detailed key or labeling to effectively communicate the sheet's contents.

In instances where an initial review identifies the potential for significant adverse effects to protected resources, the proposed project may require a more detailed review such as an Environmental Assessment or Environmental Impact Statement. The Airport is responsible for the preparation of such documents, as well as for the implementation of any treatment or mitigation measures identified during the review that are necessary to address potential adverse impacts. The Airport may use funds received through the Facility Modification Funding Application Process toward the costs of preparing such documents and/or implementing treatment or mitigation measures. Failure of the Airport to meet federal, state, and local requirements, obtain applicable permits, and comply with any conditions that may be placed on the project as the result of TSA's NEPA review may jeopardize continued federal funding.

The Airport shall not undertake any portion of the proposed project having the potential to impact protected resources without the prior approval of TSA, including but not limited to communications towers, physical security enhancements, new construction, and modifications to buildings, structures and objects that are 50 years old or greater. If a DHS Categorical Exclusion applies to a proposed action and required completion of a Record of Environmental Consideration (REC), the proponent must not perform that action until completion of the REC. The Airport must comply with all conditions placed on the project as the result of the EPP review. Any change to the approved project scope of work will require re-evaluation for compliance with EPP requirements. If ground disturbing activities occur during project implementation, the recipient must ensure monitoring of ground disturbance, and if any potential archeological resources are discovered, the Airport will immediately cease construction in that area and notify TSA and the appropriate State Historic Preservation Office.

An Application must fully answer all NEPA-related questions and all appropriate and applicable supporting documentation must be submitted with the Application. Failure to comply with the NEPA requirements discussed above will result in the Application being deemed incomplete and funding will not be granted.

FINANCING PLAN FOR THE PROJECT

In general, TSA will fund a maximum of 90% of allowable and allocable project costs for in-line projects at medium-hub and large-hub airports, and 95% at all other airports. Funding levels for all airports may vary from year to year depending on current legislative mandates and directives. For specific airports, funding levels may vary from year to year depending on the specific airport's current Hub Size, as designated by the FAA. The TSA Cost Share levels will remain the same for the entirety of the project funding once the funding agreement is executed. However, modifications to the funding agreement may result in changes to TSA Cost Share applicable to the modified portions of the agreement if either legislative directives or Airport Hub Size has changed since the funding agreement was executed.

All dollar entries in this section must be input in complete numerals. The Application will automatically calculate the subtotal of the funding in each section, the percentage of the total project cost represented by each subtotal, and the total project cost. If requested TSA funds exceed the TSA Maximum Cost Share applicable to the applicant Airport, the "Subtotal TSA Funds" will automatically become highlighted in pink. Applications in which the requested TSA funds exceed the TSA Maximum Cost Share will be considered incomplete.

Current Funding Request

The Airport should identify the specific funding level being requested for the project identified in the Application. The funding request should be the total dollar value the Airport is seeking from TSA.

Pay-As-You-Go/PFC Approval Number

If the Airport has received or implemented an authorization for a Pay-As-You-Go process using PFC funds to support this project, or general improvements which include this project, the Airport must specify the PFC Approval Number in the appropriate "PFC Approval #" field. Specify the amount of Pay-As-You-Go PFC that will be collected for the project.

Bond Capital/PFC Approval Number

If the Airport has been authorized to issue bonds backed by PFC funds for capital construction/improvements that include this project, the Airport must specify the PFC Approval Number in the appropriate "PFC Approval #" field. Specify the amount of PFC bond revenue that will be available for the project.

State Grant

The Airport must identify any state grant funding that will be available for the project.

Airport Funds

The Airport must identify any capital or project funds it will be providing in support of the project.

Airport Revenue Bonds

The Airport must identify funds it will receive from revenue bonds issued to support this project. If Airport Revenue Bonds were issued for other capital projects in addition to this project, specify the amount that will be made available to this project.

Other

The Airport shall identify any other sources of funding being used to support this specific project.

Total Project Cost

The form will automatically sum all funding identified in this section. The Airport should verify that this amount correctly represents the project cost. During the contract negotiation process, TSA and the Airport will identify the total allowable and allocable project costs as detailed in PGDS Appendix F.

NEXT STEPS

The Frequently Asked Questions (FAQ) document posted to the Checked Baggage Material section of the TSA Web site should be referenced to help answer Application questions. The FAQ document can be found at http://www.tsa.gov/research/checked_baggage_material.shtm.