

DEPARTMENT OF HOMELAND SECURITY
Transportation Security Administration

FACILITY MODIFICATION OTA APPLICATION

INSTRUCTIONS: Airport Sponsor seeking funding for costs with a Facility Modification of a project must complete the form and submit it to your airport TSA Federal Security Director (FSD). The FSD, or TSA Designee, will submit the application to OSTinline@tsa.dhs.gov. Please refer to the Facility Modification OTA Application guidance that is found at the end of the this application to ensure all required supporting documentation is submitted with the application.

SECTION I. Airport Information

Request ID Number:	Date Submitted:	
Airport IATA Code:	Airport TSA Code:	
Airport Name:		
Airport Address:		
Airport City:	Airport State:	Airport Zip Code:
Tax Identification Number:		

SECTION II. Airport Sponsor Contact Information

Part A. Airport Executive Point of Contact

Name:	Organization:
Department:	Title:
Telephone Number:	Email Address:

Part B. Airport Finance Point of Contact

Name:	Organization:
Department:	Title:
Telephone Number:	Email Address:

Part C. Project Point of Contact (*airport employee or airport-authorized representative*)

Name:	Organization:
Department:	Title:
Telephone Number:	Email Address:

Part D. TSA Point of Contact (*FSD or Designee*)

Name:	Organization:
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Department:	Title:		
Telephone Number:	Email Address:		
SECTION III. Project Information			
Project Title:	Public Agency Project Number:		
Screening Matrix Name:	Terminal:		
Node or Concourse:			
What is the nature of the project? <i>(Check all that apply)</i>			
New In-Line	CBRA Upgrade of Existing In-Line	Efficiency Project for Existing In-Line	
Estimated Start Date of project construction:		Estimated system operational date:	
Do you have a designer identified and/or under contract?	Yes	No	
Is this project part of a larger construction project at the airport?	Yes	No	
If yes above, What is the nature of the larger construction project? <i>(Check all that apply)</i>			
New Terminal	Retrofit of Existing Terminal	Terminal Expansion	
If In-Line project, what type of CBIS? <i>(Check only one.)</i>	Mini In-Line	In-Line	
Design Year Baggage Flow (Surged Peak Hour ADPM Baggage Throughput)			bags/hour
Design Status			
Level of Latest PGDS-Compliant Design Package included with this Application:			
Pre-Design	Schematic	30%	70%
Pre-Design	Schematic	30%	100%
Level of Latest PGDS-Compliant Design Package Reviewed by TSA:			
Pre-Design	Schematic	30%	70%
Pre-Design	Schematic	30%	100%
Date of Latest Review by TSA:			
Provide a project description and justification:			

SECTION IV. National Environmental Policy Act

Provide a description of the proposed action including details such as the level of interior modifications necessary, number of units to be installed, any change in use of interior space, or installation of generators or backup power equipment. Provide a plan sheet(s) that depicts the project in its entirety, including any land disturbance. The plan sheet should contain a key or labeling so staff can determine what is being depicted.

In what year(s) were the building(s) or terminal(s) constructed? *(List all that apply)*

Is the proposed action occurring in a building(s) or terminal(s) over 50 years of age?

Yes

No

If the building(s) or terminal(s) are over 50 years of age, the structures must be evaluated for eligibility for the National Register of Historic Places and the following questions must be answered. *(Please provide supporting documentation, such as Phase I Cultural Resource Survey, Environmental Assessment or Impact, or State Historic Preservation Officer (SHPO) concurrence letter.)**

Have the building(s) been evaluated?

Yes

No

Did the evaluation conclude the building(s) are eligible for listing?

Yes

No

Are the building(s) listed on the National Register of Historic Places?

Yes

No

If yes, please ensure that accompanying sheet/schematic shows the full extent of the modifications proposed as part of the project.

Have there been any planning documents (i.e.; Environmental Assessment, Categorical Exclusion, Airport Master Plan) prepared for this site within the past 10 years?

Yes

No

If yes, please provide an electronic copy of the document or relevant sections of the document and/or a Web site address from which the document can be accessed.

Is all supporting documentation attached?

Yes

No

**Please refer to the Application Guidance to ensure compliance with NEPA and TSA's Environmental Planning Program.*

SECTION V. Financing Plan (please refer to the Application Guidance for information on standard TSA cost share and Hub size)

Please refer to the Application Guidance for information on standard TSA cost share. In general, TSA will fund a maximum of 90% of allocable and allowable project costs for in-line projects at medium-hub and large-hub airports, and 95% of allocable and allowable project costs at all other airports. Please use your Airport's cost share to calculate TSA's potential funding contribution. The TSA cost share is only applicable to project costs which are allocable and allowable, as defined in EBSP's Funding Policy Memo and verified during the Design Review and Cost Validation process.

TSA Maximum Cost Share:	Airport Hub Size:
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Estimate of total costs for project:

In which month does the airport fiscal year begin?

Please fill out the table below. For the "TSA Funds" section, you will need to input and calculate the appropriate figures into the "Current Funding Request", "Cost Share %" and the "TSA Cost Share" fields.

TSA Funds	PFC Funds	Other Funds
Current Funding Request	Pay-As-You-Go	State Grants
Cost Share %	<i>PFC Approval #</i>	Airport Funds
TSA Cost Share Amount	PFC-Backed Bond Capital	Airport Revenue Bonds
	<i>PFC Approval #</i>	Other Funds (<i>Please specify below</i>)
Subtotal TSA Funds	Subtotal PFC Funds	Subtotal Other Funds
Total Funds		

Other Funds Type



Transportation
Security
Administration

Electronic Baggage Screening Program Other Transaction Agreement Application Process

Facility Modification Other Transaction Agreement Application Guidance

Version 4.0
December 07, 2015

Introduction

The Electronic Baggage Screening Program (EBSP) Facility Modification Other Transaction Agreement (OTA) Application (Application) should only be submitted for funding requests that support the construction of facility modifications. The Design OTA Application 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 a Transportation Security Administration Federal Security Director (FSD) via the TSA Office of Security Capabilities (OSC) Equipment Request Interface (ERI).

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

TSA must review and concur with a Design Package that is compliant with the Planning Guidelines and Design Standards (PGDS) for 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, 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 current version of the PGDS, specifically, 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 fillable 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. The following information provides section by section guidance for each field within the Application.

Section I. Airport Information

Request ID Number

The Request ID number will be provided to the FSD, or designee, when the request is entered into TSA’s ERI 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 TSA.

Airport IATA Code

Please provide the Airport's three-letter International Air Transport Association (IATA) Code. Only three-letter IATA codes of Federalized Airports eligible for TSA funding of CBIS projects are permissible. If the Project Sponsor is unaware of the Airport's IATA code, please contact the Airport's FSD.

Airport TSA Code

Please provide the Airports TSA Code. 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

Please provide the full name of the Airport associated with the IATA Code selected.

Airport Address

Please provide the address that all financial and other project-related correspondence should be submitted.

Airport City

Please provide the City in which the Airport resides.

Airport State

Please provide the State in which the Airport resides.

Airport Zip Code

This field 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.

Section II. 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 OTA 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 fields in this section 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.

Section III. 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 OTA.

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.

Nature of Project

Please select the nature of the project from the following choices: New In-Line, Checked Baggage Resolution Area (CBRA) Upgrade of Existing In-Line, or Efficiency Project for Existing In-Line. Use the following descriptions to determine the appropriate project type.

- **New In-Line** - A new in-line puts a full in-line or mini in-line system where there was no in-line system before (previous screening might have been purely standalone, or might have had Explosive Detection System (EDS) units entrance integrated, but no bag tracking and no integration on the exit side).
- **CBRA Upgrade of Existing In-Line** - A CBRA upgrade improves the bag flow and ergonomics in the CBRA for an existing in-line system; it does not touch any other part of the system; so it does not change the number or type of EDS, does not change the layout of the CBIS, and does not increase capacity or improve efficiency of any part of the system other than the CBRA.
- **Efficiency Project for Existing In-Line** - Efficiency projects upgrade previously constructed CBIS. The CBIS is modified to the latest EBSP recommended design standards. Efficiency projects also address inefficient BHS performance to improve system operation and potentially increase the capacity of the system. Similar to new CBIS construction, Efficiency projects must achieve cost reductions and result in a decrease in the total number of EDS or TSA staffing requirements. EBSP's investment in an Efficiency project must be forecasted to achieve a positive financial return after a TSA cost vs. benefit evaluation.

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.

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 whether 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 or 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 Application should be accompanied by a Design Package that is compliant and complete as defined in the PGDS that is current at the time the Application is submitted. TSA will not reimburse project costs incurred prior to execution of a funding vehicle associated with an approved Application.

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” in the PGDS to ensure that the materials submitted fulfill the applicable requirements

set forth in 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 OTA funding will not be considered. TSA strongly encourages that the Application and the Design Package be submitted together.

For projects that have received Design OTA funding: The 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. The Applicant will be required to have obtained TSA approval of the 100% Design Phase as defined in the PGDS, to have obtained bids and determined the prospective winning bidder, and provided bid information to TSA, before TSA will negotiate Facility Modification OTA funding.

Please refer to the figures titled “Deliverables Checklist for In-line CBIS” or “Deliverables Checklist for Mini in-line CBIS 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 OTA funding will not be considered. Projects which have received Design OTA funding must also indicate the latest Design Package that has been approved by TSA. In addition, please indicate the date on which the approval was granted in the “Date of Latest Review from TSA” field.

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.

Section IV. National Environmental Policy Act (NEPA)

To comply with NEPA, TSA is required to assess its proposed 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 OTA Application are used to determine the level of

review required for 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 eligible for the National Register of Historic Places. If a project proposes land disturbance, TSA must determine if the disturbance will affect any protected resources. 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 OTA 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.

Required environmental documentation must be completed prior to undertaking any portion of the proposed project. 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.

NEPA-related questions must be fully answered 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.

Section V. Financing Plan

In general, TSA will fund a maximum of 90% of allocable and allowable project costs for in-line projects at medium-hub and large-hub airports, and 95% of allocable and allowable project costs 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, TSA Cost Share may vary from year to year depending on the specific airport's current Hub Size, as designated by the Federal Aviation Administration (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 Applicant will calculate the subtotals of the funding in the "TSA Funds," "PFC," and "Other Funds" sections and the "Total Funds". Applications in which the requested TSA funds exceed the TSA Maximum Cost Share will be considered incomplete.

TSA Maximum Cost Share %

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 in-line CBIS. Enter your airport's assigned Cost Share. Please review the attached Airport Hub Size chart to determine your airport's hub size and to calculate your cost share. You must save the file to your desktop to open.

Airport Hub Size

The Hub Size is the current FAA Hub Size designation, as based upon calendar year enplanements. Please see attached Airport Hub Size chart to determine your airport's hub size. You must save the file to your desktop to open.

Total Cost and FY

Please input the estimates cost of the project and the month the Airport's fiscal year begins

Current Funding Request

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

TSA Cost Share Amount

Calculate the figure "TSA Cost Share" by multiplying the "Cost Share %" section with your entry from the "Current Funding Request" section.

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 Funds

The Airport shall identify any other sources of funding being used to support this specific project. You may specify the type of funding at the end of the Financial Plan section in the Application.

Total Funds

Please calculate the total amount of funds available for the project by adding the three subtotals together. The Airport should verify that this amount correctly covers the project cost. During the contract negotiation process, TSA and the Airport will identify the total allocable and allowable project costs as detailed in the current version of the PGDS.

Next Steps

Frequently Asked Questions (FAQ) are posted to the EBSP page of the TSA Web site and should be referenced to help answer Application questions. The FAQ section can be found at <http://www.tsa.gov/for-industry/electronic-baggage-screening>.