

NCDOT Division of Aviation "Next Steps" for Phased Grant Award (typically design phase only)

February 23, 2016

Certain projects present longer, more complex design, property acquisition phases, possibility of unforeseen discoveries, environmental challenges, or other factors that may affect expected delivery. In these cases, DoA will program the estimated project amount to preserve the future funds, yet for system cash flow purposes is reticent to pre-issue a grant for the full amount of the project. Rather, DoA may issue grants in phases while monitoring progress by the Sponsor. This provides DoA with an ability to deliver funds for a given project that progresses according to schedule, yet maintains the flexibility to shift funds (via grant) to another project that is "ready," in the event that a particular Sponsor is experiencing on-time delivery issues.

Next Steps If you received an **Award for Phased Grants** (typically Design Phase Only)

1. Sponsor begins work immediately with local government to obtain a Certification of Local Funds and Accounting Information (Form AV-500 on Partner Connect – Grant Management System (PC-GMS)). Note: this task can take numerous weeks, so please plan accordingly.
2. In the Partner Connect Project Request (PC-PR) system, Division of Aviation will modify and/or create new Project Request(s) on the sponsor's behalf that identify (ies) the separately-awarded phase (if necessary).
3. Division of Aviation will either send an electronic Request for Aid template to the Sponsor, OR will modify an existing grant (pending funding). This action will occur within several weeks of the Award Letter. The Sponsor will receive notification. (Do not wait on receipt of this document to begin preparatory work.)
4. Within 75 calendar days from the date of the award letter, Sponsor should submit the following information package to the regional Airport Project Manager (APM); these items are submitted – and the review occurs - via email:
 - a. Work Authorization (W/A) or stand-alone agreement – includes scope and fees for consultants and sub-consultants that are appropriate to the approved work. DoA typically requests a design-scoping meeting to define the project;
 - 1) See *Summary of Procurement Requirements for Professional Services for Airport Grant Projects*
 - 2) Note that for professional services contracts that exceed \$100,000, sponsor shall submit documentation of independent fee analysis (including independent fee estimate) that was used as a basis for fee negotiation;
 - b. Detailed project schedule using MS Project scheduling software (See *Project Schedule requirements*), from date of Award Letter, through bid and contract, through construction and Warranty period.
 - c. Program/Project Budget for entire project, including updated cost numbers for every budget line item (See *Sample Program Budget*); the total of these numbers – along with the sponsor's contribution - will support the final grant amount;

- d. Sketch or drawing of the project area;
 - e. Other grant supporting documentation (as deemed applicable).
5. APM reviews and concurs with the information package, requesting additional information and/or modifications from the Sponsor as needed (Duration: 2-3 weeks);
 6. Sponsor submits an updated *Request for Aid* via Partner Connect, that includes the following uploaded attachments, via PC-GMS:
 - a. Request for Aid template, with updated costs;
 - b. Certification of Local Funds and Accounting Information (Form AV-500 on PC);
 - c. Final Work Authorization, **(with APM concurrence)**;
 - d. Updated project schedule, **(with APM concurrence)**;
 - e. Updated program or project budget **(with APM concurrence)**;
Note: If the updated project budget exceeds the amount stated in the Award Letter (and previously supplied by the sponsor as the project cost) and the sponsor is requesting additional grant funds to make up the difference, then project funding is at risk until DoA can determine whether additional funding will be allocated and additional funds are approved by the Board of Transportation. This will add between 2 to 3 additional months to the process to obtain a Grant Agreement. Contact your APM immediately if this is the case.
 - f. RS-2 forms for Professional Services (form available on Connect NCDOT - State Airport Aid website);
 - g. Sketch or drawing of the project area;
 - h. Other grant supporting documentation (as deemed applicable)
 7. APM reviews and concurs with the submitted *Request for Aid* package via PC-GMS, requesting additional information and/or modifications from the sponsor as needed. APM forwards to Grant Administrator for review/action. (Duration: 2 weeks)
 8. Grant Administrator prepares a Grant Agreement and forwards to sponsor for local government/sponsor approval.
 9. Sponsor returns signed Grant Agreement to DOA Grant Administrator.
 10. DoA processes Grant Agreement for NCDOT signatures then returns final executed Grant Agreement to Sponsor along with a Notice to Proceed.
 11. Additional submittals and approvals will be necessary during later project phases.

PC-PR refers to the Partner Connect - Project Request System

PC-GMS refers to the Partner Connect- Grant Management System