AV-102: Sponsor Budget Revision & Grant Modification Request Checklist

Sponsor use when submitting a Change Request (Budget Revision or Grant Modification) to NCDOT-DOA

Section 1: General Requirements
Section 2: Grant Modification and Budget Revision Requirements
Section 3: Grant Modification Only Requirements (Non-Amount Change Requests)

1. Determine whether a Budget Revision or Grant Modification is required:
   (a) If change does not include additional funds being requested, then a Budget Revision is required
   (b) If the new total project cost exceeds the previously authorized grant amount or the project description changes, a Grant Modification is required
   (c) If additional State or Apportionment (Federal) funds are needed, a request has to go to the Board of Transportation (BOT). Communicate to your APM the reason for the additional funds. They may require additional documentation to justify the additional funds.
   (d) **The BOT approval process can take 3-4 months, so it is important to identify this situation early.**

   If additional requested funds are Non-Primary Entitlement or are already included in award, proceed to **Step 2.**

   Before submitting a grant modification, please send the following to your APM, if applicable:
   (a) Updated Sketch or Drawing of Project Area
   (b) Updated Project Schedule

2	The following items are required for both a **Grant Modification** and **Budget Revision:**		
	Verify the grant expiration	Include request for grant extension, if expired	**FIORI – Grant Agreement**
	"Reason for Change"- Explanation of need for grant modification or budget revision *(submitted via online form)*		**FIORI – Change Request**
	Quarterly Status Report(s) (QSR)	QSR(s) should be current up to most recently completed quarter. **The QSRs are now built into FIORI.** The non-construction QSR is required through the design/bid phase. The construction QSR is required with the first construction payment request.	**FIORI – Aviation QSR**
	AV-508: Pre-Bid DBE/MBE/WBE Goal Notification & Certification	Required when adding construction to the scope of the project. See DBE/WBE/MBE guidance for information on goal setting. Contact your APM if the construction funds (A106) have increased to determine if any DBE/WBE/MBE goals have changed.	**FIORI – Change Request**

	AV-509: DBE/MBE/WBE Vendor Committed Awards and Payments **OR** AV-511: Letter of Intent to Perform as Subcontractor *(only applies if you do not have a subcontractor)*	Required when adding construction to the scope of the project. See DBE/WBE/MBE guidance for information.	**FIORI – Change Request**
	AV-512: DBE/MBE/WBE Request Replacement	Required when contractor wants to request a replacement of a currently contracted DBE/MBE/WBE. Replacement of a DBE without written approval from NCDOT is a violation of contract provisions and may result in the Contractor being disqualified from bidding for a period of up to 6 months	**FIORI – Change Request**
	Revised Project Budget	Include airport name, project descriptions, WBS number, and description of expenses and costs.	**FIORI – Change Request**
	Justification of A-101 expenses (if applicable)	On Sponsor letterhead.	**FIORI – Change Request**
	Work Authorization Amendment w/Proposal(s) *****Must be executed prior to next claim***	Agreements/Proposals including estimated manhours for Subcontractor(s) are required. Work Authorization Amendments are required **ONLY** if there are professional services. *(Example: CA & RPR services with construction)*	**FIORI – Change Request**
	Construction Contract (if applicable)	Only applicable if construction is being added to the grant. Must be executed prior to next reimbursement or advance request (claim) covering those services included in the modification.	**FIORI – Change Request**
	Supporting documentation for Construction (if applicable)	Required supporting documentation per FAA Advisory Circular (AC 150/5370-12C) includes: 1. Advertisement to Bid 2. Certified Bid Tab If this Change Request is based on a construction estimate (not contract), then the above documentation, as well as Pre-Construction documentation (agenda/minutes/attendance) should be available when submitting the next reimbursement or advance request (claim) for a project.	**FIORI – Change Request**
	Executed Construction Contract Change Order (if applicable)	Supporting documentation for change order must be submitted. Must be executed prior to next reimbursement or advance request (claim) covering those services included in the modification.	**FIORI – Change Request**
	Updated Sketch or Drawing of Project Area (if applicable)		**To APM**
	Updated Project Schedule (if applicable)		**To APM**
	Updated Cash Flow (if applicable)		**FIORI – Change Request**

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3	The following items are required for a **Grant Modification (Non-Amount Change Request)** only**:**		
	Request for grant extension	Include specific end date	**FIORI – Change Request**
	"Reason for Change"- Explanation of need for grant modification		**FIORI – Change Request**
	Quarterly Status Report(s) (QSR)	QSR(s) should be current up to most recently completed quarter. **The QSRs are now built into FIORI.** The non-construction QSR is required through the design/bid phase. The construction QSR is required with the first construction payment request.	**FIORI – Aviation QSR**
	Justification of A-code changes (if applicable) Ex. Work Authorization Amendment w/Proposal(s) or Construction Contract (if applicable) to justify increase in A-code	Net result $0 (moving $ between A-codes)	**FIORI – Change Request**
	Revised Project Budget and Expense Summary	Include airport name, project descriptions, WBS number, and description of expenses and costs.	**FIORI – Change Request**
	Updated Cash Flow (if applicable)		**FIORI – Change Request**