



**NORTH CAROLINA**  
Department of Transportation



# N.C. Airport Improvement Program FY 2022 and 2023 Expense Reporting

February 01, 2023

## Frequently Used Acronyms

- NCAIP – North Carolina Airport Improvement Program
- FY – Fiscal Year (Jul. 1 – Jun. 30)
- EBS – Enterprise Business Services
- WBS - Work Breakdown Structure for funding of a project.
- QSR – Quarterly Status Report
- SCIF – State Capital and Infrastructure Fund
- STIP – State Transportation Improvement Program

# Topics for Today

- Previous FY Funding
- Status of FY 2020-2021 Reporting
- **FOCUS: FY 2022-2023 Reporting**
- Brief Mention: SCIF and STIP
- Next Steps
- Q&A

*Slides and forms will be emailed to airports and posted on the Connect site today*





## Status of FY 2020-2021 Reporting Update

- Continue to report in Smartsheet
- Will discontinue report submittals in Smartsheet when FY 2020-2021 funds are fully expended





# Status of FY2022 Reporting Update

- Continue to report in EBS
- FY2022 Encumbrance Deadline is Sept. 30, ~~2023~~ **2022**
- Please submit AV-106 Directed Funding Encumbrance Report with next quarterly update that is due Apr.10
- Requirement per [G.S. 63-74](#)



## Congratulations on FY 2023 Allocations!

- This year's allocation is the highest it's ever been.
- It is \$25M higher than last year's at \$100M.

# NCAIP Grants Process Overview









## Process Improvements and Shift to EBS

- Aligns processes for all directed funding sources (NCAIP, GAL, SCIF)
- Integrates reporting into the grants system
- No “new” requirements in legislation

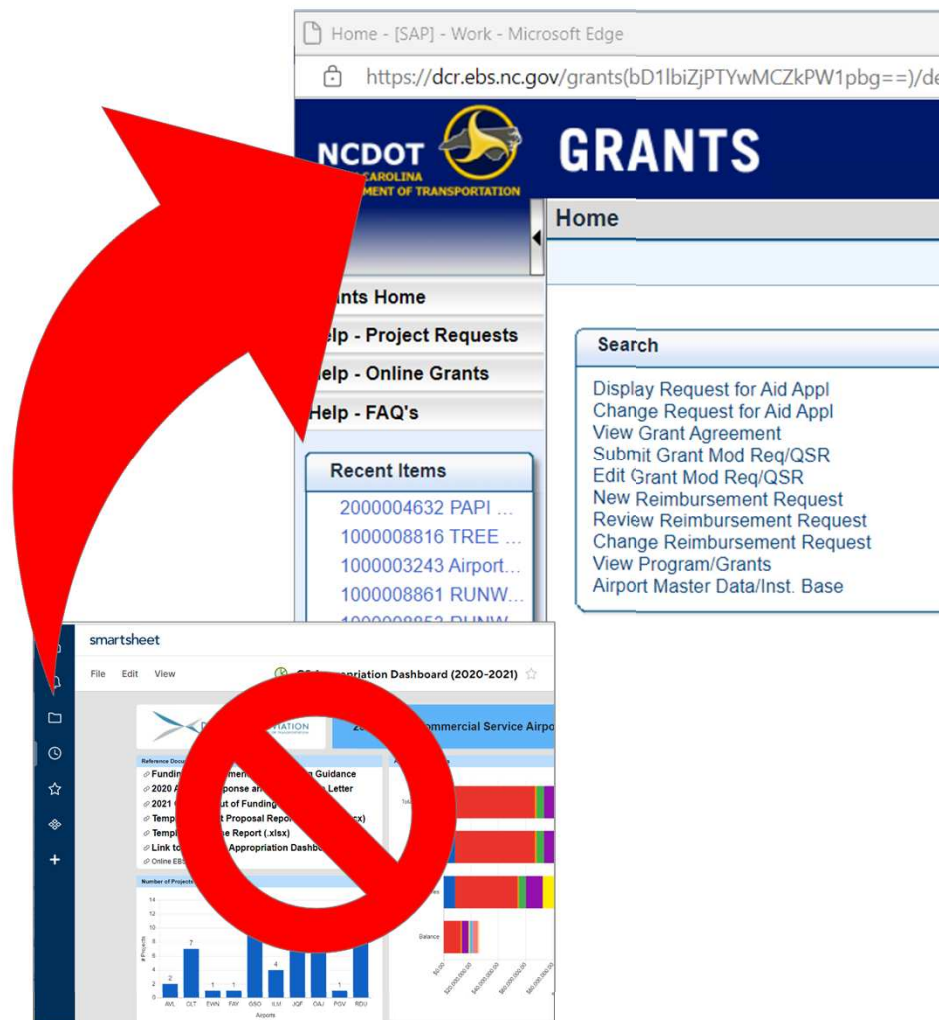


## What will **not** change:

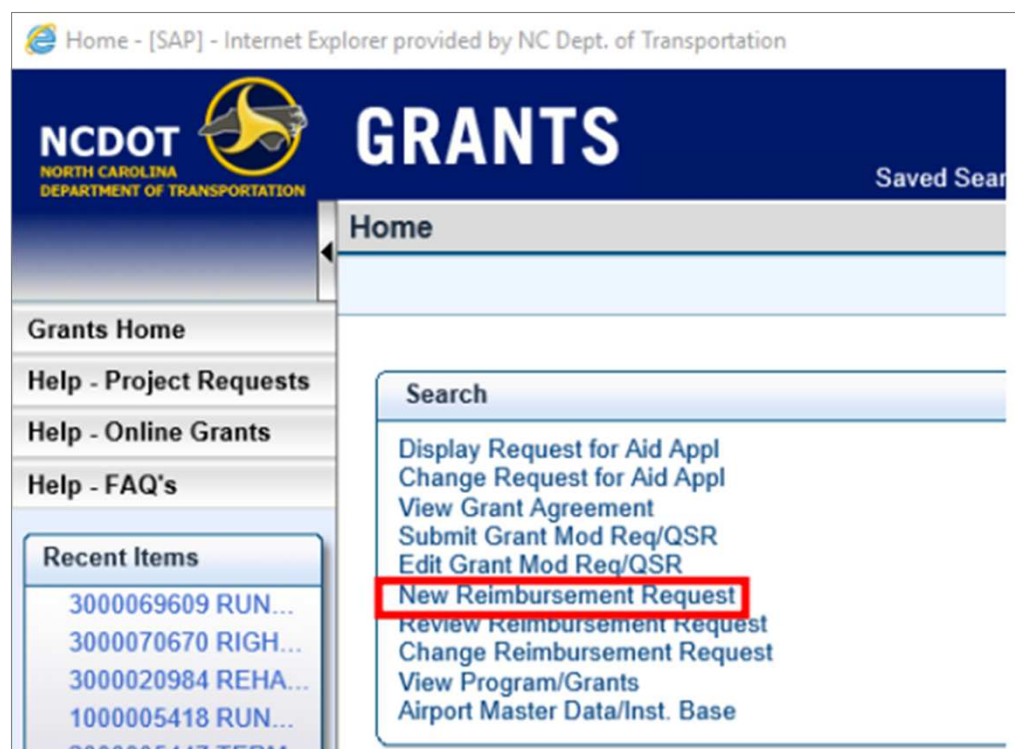
- Quarterly payment requests in EBS (*March and June remaining*)
- Encumbrance and expenditure reporting continues but **method has changed**

# What has changed:

- Process aligns with other directed funds
  - **Quarterly** expenditure reporting in EBS
    - Use **Smartsheet** to complete reporting for **2020** and **2021**
    - Shift to **EBS** for **FY 2022** and **FY 2023**
- Signed funding agreement each year
- For FY2023, tracking interest earned and expended



# Submit claims quarterly



- Submit claims as New Reimbursement Requests
- Submit **ideally by 1st of the month** they are due
- NCDOT will disburse remaining quarterly payments by:
  - March 30 – 25% of allocation
  - June 30 – 25% of allocation



# New: Quarterly NCAIP Reporting

*Due 10 days after each quarter ends*

## Quarterly Report

### Due Dates

**July 10**

**Oct. 10**

**Jan. 10**

**April 10**

## 3 potential quarterly reports:

- 1. AV-106 Directed Funding Encumbrance Report**
- 2. AV-107 Quarterly Progress and Expense Report**
- 3. Only if scope changes: AV-109 Proposed Projects Form*



*G.S. 63-74 requires encumbrance or expenditures by **Sept. 30** of year following FY of the allocation*

- Identify executed work authorizations, purchase orders, or construction contracts, etc.
  - Form automatically totals executed contracts to determine “encumbrance” amount of directed funds
- Upload executed contracts to the EBS Agreement, as they become available

# AV-107

## Quarterly Progress and Expense Report

*Excel format*  
*Two tabs*

Insert Page Layout Formulas Data Review

Calibri 10

B I U A A

Font Alignment Number

Airport Name:

WBS #:

Date:

Report for SFY Quarter (YYYY-QX):

\*Is Project Scope Changing?

If "Yes", what change # is this?

*"If "yes", the AV-109 is required in addition to AV-107."*

QUARTER

Quarterly Progress Report Quarterly Expense Report

# Tab One: Quarterly Progress Report

Report for SFY Quarter (YYYY-QX): \_\_\_\_\_

\*Is Project Scope Changing? \_\_\_\_\_

If "Yes", what change # is this? \_\_\_\_\_

\*If "yes", the AV-109 is required in addition to AV-107.

## QUARTERLY UPDATE (EoQ = End of Quarter)

Accrued Interest Earned To-Date by EoQ: \$ \_\_\_\_\_

Accrued Interest Expended To-Date by EoQ: \$ \_\_\_\_\_

Grant Funds Expended Total-to-Date: \$ \_\_\_\_\_

## MILESTONE DATES

(enter N/A if not applicable)

	Project A		Project B		Project C		Project D	
Objective								
Expected Results								
	Performance Measure(s)							
	Date		Date		Date		Date	
	Started	Completed	Started	Completed	Started	Completed	Started	Completed
Design Completed								
Under Contract								
Under Construction								
Construction Complete								
Project Complete								
Placed Into Service								
Equipment Order Placed								
Equipment Received								
Equipment Installed								

# Tab One: Quarterly Progress Report

## AV-107 Directed Funding Quarterly Progress Report



Airport Name: ABC Airport  
 WBS #: 36244.11.22.3  
 Date: 10/9/2022

Report for SFY Quarter (YYYY-QX): 2023-Q1  
 \*Is Project Scope Changing? No  
 If "Yes", what change # is this? N/A

\*If "yes", the AV-109 is required in addition to AV-107.

### QUARTERLY UPDATE (EoQ = End of Quarter)

Accrued Interest Earned To-Date by EoQ: \$ 1,150.00  
 Accrued Interest Expended To-Date by EoQ: \$ 675.00  
 Grant Funds Expended Total-to-Date: \$ 35,675.00

### MILESTONE DATES

(enter N/A if not applicable)

	Terminal Project	Purchasing ARFF Truck	ILS Replacement	N/A
Objective	Construct new terminal at ABC Airport	Purchase equipment for ABC Airport	Replace the Localizer and install new glideslope cables	
Expected Results	New terminal is built and placed into use at ABC Airport	New ARFF equipment purchased and placed into use at ABC Airport	New instrumentation installed at ABC Airport	
Performance Measure(s)				
	Date	Date	Date	Date
	Started Completed	Started Completed	Started Completed	Started Completed

# Tab One: Quarterly Progress Report

MILESTONE DATES (enter N/A if not applicable)								
Objective	Terminal Project		Purchasing ARFF Truck		ILS Replacement		N/A	
	Construct a new terminal at ABC Airport.		Purchase equipment at ABC Airport		Replace the Localizer and install new glideslope cables			
Expected Results	New terminal is built and placed into use at ABC Airport		New ARFF equipment purchased and placed into use at ABC Airport.		New instrumentation installed at ABC Airport			
Performance Measure(s)								
	Date		Date		Date		Date	
	Started	Completed	Started	Completed	Started	Completed	Started	Completed
Design Completed	7/1/2022	5/30/2023	N/A	N/A	N/A	N/A		
Under Contract	6/15/2023	6/15/2023	N/A	N/A	8/15/2023	8/15/2023		
Under Construction	7/1/2023	5/1/2024	N/A	N/A	9/1/2023	5/1/2024		
Construction Complete	5/1/2024	5/1/2024	N/A	N/A	5/1/2024	5/1/2024		
Project Complete	5/1/2024	5/1/2024	TBD	TBD	5/1/2024	5/1/2024		
Placed Into Service	5/15/2024	5/15/2024	TBD	TBD	5/15/2024	5/15/2024		
Equipment Order Placed	N/A	N/A	7/17/2022	7/17/2022	N/A	N/A		
Equipment Received	N/A	N/A	TBD	TBD	N/A	N/A		
Equipment Installed	N/A	N/A	TBD	TBD	N/A	N/A		



### AV-107 Directed Funding

Airport Name: \_\_\_\_\_  
WBS #: \_\_\_\_\_  
Date: \_\_\_\_\_

[illegible]

## Tab Two: Quarterly Expense Report

### AV-107 Directed Funding Quarterly Expense Report



Airport Name: \_\_\_\_\_  
 WBS #: \_\_\_\_\_  
 Date: \_\_\_\_\_

Sum Per Project    **Project A Total**    **Project B Total**    **Project C Total**    **Project D Total**  
 \$ -    \$ -    \$ -    \$ -

**Note:** By submission of this report, sponsor guarantees the invoices listed below are available upon request for review by DoA and that the invoices will be kept for 5 years from **grant closeout**.

#### EXPENDITURES

SFY and Quarter (YYYY-Qx)	Vendor Name	A-Code Category	Invoice #	Invoice Date	Brief Invoice Description	Invoice Amount (\$)	Sales Tax (\$)	Invoice Amount without Sales Tax (\$)	Project A	Project B	Project C	Project D
								\$ -				
								\$ -				
								\$ -				
								\$ -				
								\$ -				
								\$ -				

# Tab Two: Quarterly Expense Report

## AV-107 Directed Funding Quarterly Expense Report



Airport Name: ABC Airport  
 WBS #: 36244.11.22.3  
 Date: 1/1/2023

Sum Per Project      **Project A Total**      **Project B Total**      **Project C Total**      **Project D Total**  
 \$ 5,010      \$ 24,670      \$ 78,067      \$ -

Note: By submission of this report, sponsor guarantees the invoices listed below are available upon request for review by DoA and that the invoices will be kept for 5 years from grant closeout.

### EXPENDITURES

SFY and Quarter (YYYY-Qx)	Vendor Name	A-Code Category	Invoice #	Invoice Date	Brief Invoice Description	Invoice Amount (\$)	Sales Tax (\$)	Invoice Amount without Sales Tax (\$)	Terminal Project	Purchasing ARFF Truck	ILS Replacement	N/A
2023-Q1	ARFF Supplier	A107	1	8/1/2022	Installment payments for ARFF	\$ 5,000.00	\$ 65.00	\$ 4,935.00		\$ 4,935.00		
2023-Q1	ARFF Supplier	A107	2	9/1/2022	Installment payments for ARFF	\$ 5,000.00	\$ 67.00	\$ 4,933.00		\$ 4,933.00		
2023-Q1	ARFF Supplier	A107	3	10/1/2022	Installment payments for ARFF	\$ 5,000.00	\$ 66.00	\$ 4,934.00		\$ 4,934.00		
2023-Q1	ARFF Supplier	A107	4	11/1/2022	Installment payments for ARFF	\$ 5,000.00	\$ 65.00	\$ 4,935.00		\$ 4,935.00		
2023-Q1	ARFF Supplier	A107	5	12/1/2022	Installment payments for ARFF	\$ 5,000.00	\$ 67.00	\$ 4,933.00		\$ 4,933.00		
2023-Q2	Paul's Trucking	A106	5111-1	1/15/2022	Hauling rock to construction site	\$ 1,250.00	\$ 16.00	\$ 1,234.00	\$ 1,234.00			
2023-Q2	Paul's Trucking	A106	5111-2	2/15/2022	Hauling rock to construction site	\$ 1,300.00	\$ 17.00	\$ 1,283.00	\$ 1,283.00			
2023-Q2	Paul's Trucking	A106	5111-3	3/15/2022	Hauling rock to construction site	\$ 1,175.00	\$ 15.00	\$ 1,160.00	\$ 1,160.00			
2023-Q2	Paul's Trucking	A106	5111-4	4/15/2022	Hauling rock to construction site	\$ 1,350.00	\$ 17.00	\$ 1,333.00	\$ 1,333.00			
2023-Q2	ILS	A108	1752-1	6/1/2022	ILS Replacement	\$ 80,000.00	\$ 1,022.00	\$ 78,978.00			\$ 78,978.00	

# If project scope changes from initial RFA, update and upload AV-109 Proposed Project Form



Form: AV-109 PROPOSED DIRECTED FUNDING PROJECTS

FUNDED BY:

☐ State Capital and Infrastructure Funds (SCIF) ☒ NC Airport Improvement (NCAIP) Funds ☐ General Aviation Legislative (GAL) Funds

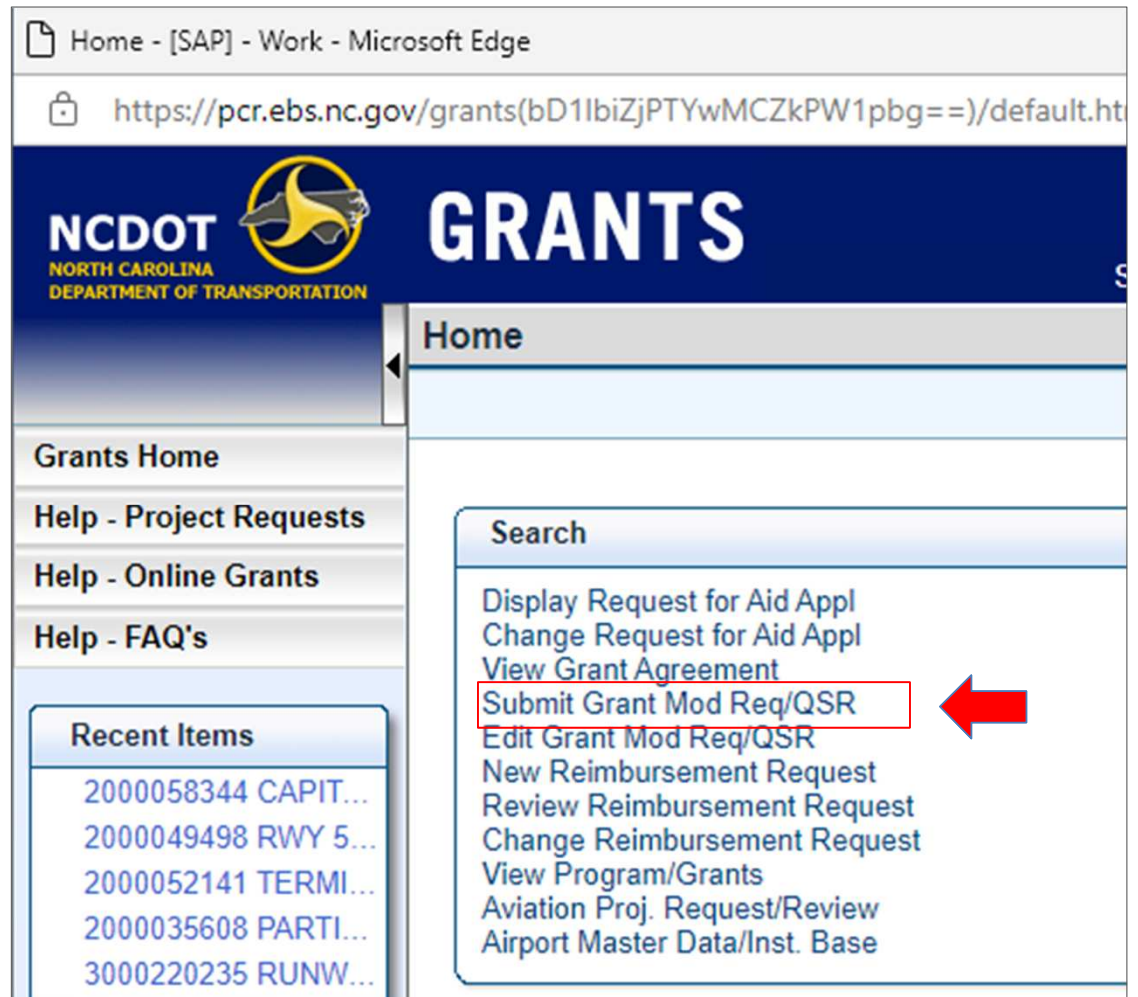
PLANNED PROJECTS: Please provide in the table below a complete list of all projects planned for your appropriation.

Airport Name:  WBS #:  Date:

1. Is project scope changing?
2. If "yes", what change # is this?
3. Has this change been discussed with the legislator that supported funding?
4. Report for SFY Quarter Ending Date:

Project Title	Project Description	Estimated Cost of Directed Funds Proposed for this Project (\$00,000,000)	Other Project Funding Sources, if any (\$ Federal, State, Local or Other)	Estimated Start Date (MM/YYYY)	Estimated End Date (MM/YYYY)

Submit quarterly reports via the **Submit Grant Mod Req/QSR** link





# Select Aviation Change Request Form Version 3

Search: Change Request Form Back

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**Search Criteria** Hide Search Fields

Agreement ID  is  \*4632

Agreement Description  is

WBS Element  equals

FA Project Number  is

Maximum Number of Results:  100

Save Search As:  ☐ Include View

**Result List** Filter:

Agreement ID	Agreement Description	WBS Element	Change Request Form
2000004632	PAPI REPLACEMENT	36237.5.13.1	Aviation Quarterly Status Report Ver. 3
2000004632	PAPI REPLACEMENT	36237.5.13.1	Aviation Change Request Form Version 3

# Non-amount Change Request Form for Quarterly Reporting

Change Request: 4000031830, RUNWAY 3/21 REHABILITATION Back

Save | Cancel | Create Activity | Refresh

Request


Version: 0000000002 Last Changed By: 2JVINSON  
View: Aviation Agreement Change View Change Date: 12/14/2021 09:59:34

Code	Expense Description	Approved Budget	Claimed Amount	Change Amount(+/-)	Proposed Amount
A101	A101 - Administrative Expense				
A102	A102 - Preliminary Eng., Planning, Testing	\$84,604.00			\$84,604.00
A103	A103 - Land Acq., Str./Utility Relocation				
A104	A104 - Engineering Services Basic Fees	\$32,310.00			\$32,310.00
A105	A105 - Project Inspection, QA, Testing				
A106	A106 - Const. & Project Improvement Cost				
A107	A107 - Equipment(i.e. nav aids, Fire				

# Do Not Use the QSR for Quarterly Reporting

Change Request: 4000033081, 2022 - Q1 Back

Save | Cancel | Create Activity | Refresh

▼ Request 

Version: 0000000001 Last Changed By: 2BGOLDNER  
View: Aviation C... Change Date: 03/31/2022 15:25:21

AVIATION QUARTERLY PROJECT STATUS REPORT

Airport Name: ... WBS Number: 46341.1.1  
Agreement Description: PAR... Agreement ID: 2000035609

Calendar Year: \* ... Quarter: March: Due April 1st ▼

**Project Status:**

1. Has consultant for engineering/planning services been retained? \*  
Yes ▼

2. Extent of major work phases begun? (check all that apply): \*

# Upload photos as attachments in EBS via the Change Request module

*Name each image like this: 2022-4-2 XYZ Pavement rehab-1*

The screenshot shows the NCDOT GRANTS web application. The header includes the NCDOT logo and the word "GRANTS". The main title is "Change Request: 4000032275, Apron Expansion and Site Develop". Below the title are buttons for "Save", "Cancel", "Create Activity", and "Refresh". A sidebar on the left contains navigation links: Home, Worklist, Programs, Applications, Agreements, and Claims. The main content area shows a table of attachments with columns for Actions and Name. The table lists two attachments: "Budget\_JNX\_36244.40.6.2" and "Ormond Energy Invoices.pdf".

Actions	Name
<a href="#">Properties</a>	Budget_JNX_36244.40.6.2
<a href="#">Properties</a>	Ormond Energy Invoices.pdf


Upload **Executed Work Authorizations** and **Construction Contracts** via EBS to the **2023 AIP/Debt Service Agreement** (not Change Request)



Only state-approved rates are eligible

Agreement: 2000064325, FY 2023 COMMERCIAL SERVICE APPROPRIATION - [SAP] - Work - Microsoft Edge






https://pcr.ebs.nc.gov/grants(bD1IbiZjPTYwMCZkPW1pbg==)/default.htm

**NCDOT**  **GRANTS** Welcome

Agreement: 2000064325, FY 2023 COMMERCIAL SERVICE APPROPRIATION

Save | Cancel | New | Create Activity | Refresh | More

▼ Attachments Attachment URL With Template | Advanced

Actions	Name
Properties 	36244.41.9.1 AV-107 Directed Funding Qua
Properties 	36244.41.9.1 Submission 12.31.22.pdf
Properties 	GRANT EXECUTION & NOTICE TO PROCEED 2000
Properties 	EXECUTED GRANT AGREEMENT
Properties 	APPROVAL OF REQUEST FOR AID APPLICATION



## Upload Executed Work Authorizations and Construction Contracts via EBS to the Agreement (not Change Request)

Agreement: 2000064325, FY 2023 COMMERCIAL SERVICE APPROPRIATION - [SAP] - Work - Microsoft Edge

https://pcr.ebs.nc.gov/grants(bD1lbiZjPTYwMCZkPW1pbG==)/default.htm



**NCDOT**  
NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

# GRANTS

Agreement: 2000064325, FY 2023 COMMERCIAL SERV

Save | Cancel | New | Create Activity | Refresh

▼ Attachments Attachment URL With Template

Actions	Name
Properties	36244.41.9.1 AV-107 Directed Fun
Properties	36244.41.9.1 Submission 12.31.22
Properties	GRANT EXECUTION & NOTICE 1
Properties	EXECUTED GRANT AGREEMEN

## Upload Quarterly Reports (AV-106, AV-107, Photos) via EBS to the Change Request (not Agreement)



**NCDOT**  
NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

# GRANTS

Change Request: 4000032275, Apron Expans

Save | Cancel | Create Activity | Refresh

Home

Worklist

▼ Attachments Attachment URL With

Actions	Name
Properties	Budget_JNX
Properties	Ormond Ene

# DBE/MBE/WBE

[illegible]

- Directed Funding grants require a MBE/WBE goal unless they are combined with federal funds, which require a DBE goal
- Contact your APM to establish a goal
- AV-508 Goal Notification form will be uploaded with first quarterly report upon availability
  - Listing “None” indicates no goal *required (applies to Professional Services or Debt Service only)*
  - 0% indicates no goal *set (applies to Construction projects approved with no goal)*
- AV509-510 Vendor Awards and Payments form will be uploaded with first quarterly report upon availability
  - Amounts committed to minority contractors
  - Payments to-date to minority contractors
- Title IV is included in grant agreement

[illegible]



# Note Checklist items for closeout documents if the allotment is fully expended but the project is not complete...

6 If this Directed Funding Quarterly Progress and Expense Report update will <u>fully expend the FY allocation but the project is NOT complete</u> , in lieu of closeout docs THEN submit these items:		
Allocation Closeout Letter on sponsor letterhead. See <a href="#">example</a> .	Explain percent of contract completed at end of SFY and that the project is going to continue to encumber funds of future year allotments. Include in letter that expenses listed with state sales tax and other funding contributions are removed from the amount being expensed against this grant. Confirm all required environmental documentation for construction was completed and approved.	EBS – Change Request
Most recent <a href="#">AV-509/AV-510</a> : to show minority participation completed to-date. AV-509/AV-510: DBE/MBE/WBE/HUB Vendor Commitments/Payments.	ONLY collect for projects fully funded with state funds to show status to-date so DoA can confirm goals are met in the end. If project is funded across multiple years, require a report at the closeout of one funding grant as it rolls into the next. State funds require a MBE/WBE goal unless combined with federal funds which will require a DBE goal.	EBS – Change Request
Progress photos of project(s) (Photos, while not required for equipment, or construction, are very helpful for reporting progress to legislature.)	Name each image to provide the date it was taken, your airport call letters and brief description, as follows: <b>2022-4-2 XYZ Pavement rehab</b> . If you provide multiple images of the same thing, number each image: <b>2022-4-2 XYZ Pavement rehab-1</b> , <b>2022-4-2 XYZ Pavement rehab-2</b> , etc., before uploading.	EBS – Change Request

SPONSOR LETTERHEAD

Date

APM/Grant Administrator  
NCDOT Division of Aviation  
1560 Mail Service Center  
Raleigh, NC 27699-1560

Re: Directed Funding Allocation Closeout Letter for WBS 36244.XXX.XXX

Dear Grant Administrator,

This correspondence is to provide additional information concerning expenditures under WBS 36244.XXX.XXX, which have been fully expended. While funds are fully expended, the project is not complete and will continue in the next state fiscal year. Percent of contract completed at end of SFY is **XX**. Therefore, in lieu of closeout documentation, we have provided the following:

1. Updated AV-106 Directed Funding Encumbrance Report.
2. Updated AV-107 Directed Funding Quarterly Progress and Expense Report.
3. Updated AV509-510 to show minority participation to-date.

Additionally, we certify the following statements:

1. No expenses listed on AV-107 have been paid/reimbursed by any other federal or state funding program.
2. North Carolina sales tax have been removed and are not included as expenditures under this WBS.
3. All required environmental documentation for construction was completed and approved.
4. *Explanation if no formal bid tab is provided. (ex. CMAR)*

The << insert project scope here >> project is a multi-year project that is expected to continue through FY20xx. Executed contracts for Design/CA, Project Management and Construction pertaining to this period of funding have been uploaded to the agreement in EBS.

If you have any questions, please let us know.

Sincerely,

Authority signature

C: File

Attachments in EBS:

1. Environmental Permit(s)
2. FAA FONS, FAA 7460
3. Executed contracts pertaining to funding period
4. AV509-510, AV107 and AV106

NCDOT Aviation Directed Funding Allocation Closeout Letter Template

Rev. 11/14/2022

# Yellow Book Audits Required Each Year for Recipients of \$500K+





# Airport Record-keeping Responsibilities



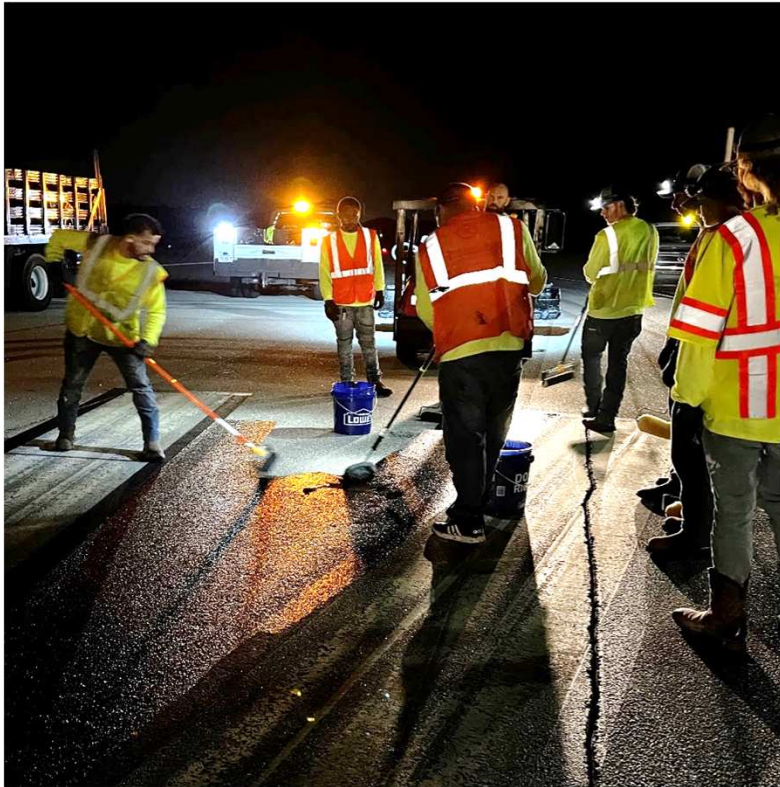
- Airport/Airport Sponsors are responsible for keeping all records and backup documentation
- Maintain records for five years following the acceptance of project completion

# State Capital and Infrastructure Funds (SCIF)

- FY2022 – SCIF: 3 CS airports received
- FY2023 – SCIF: 1 CS airport received
- The EBS reporting process we just reviewed for NCAIP grants also applies to the SCIF grants, as they're both Legislatively Directed funding grants.



# State Funded and State Transportation Improvement Program (STIP) Funded Grants



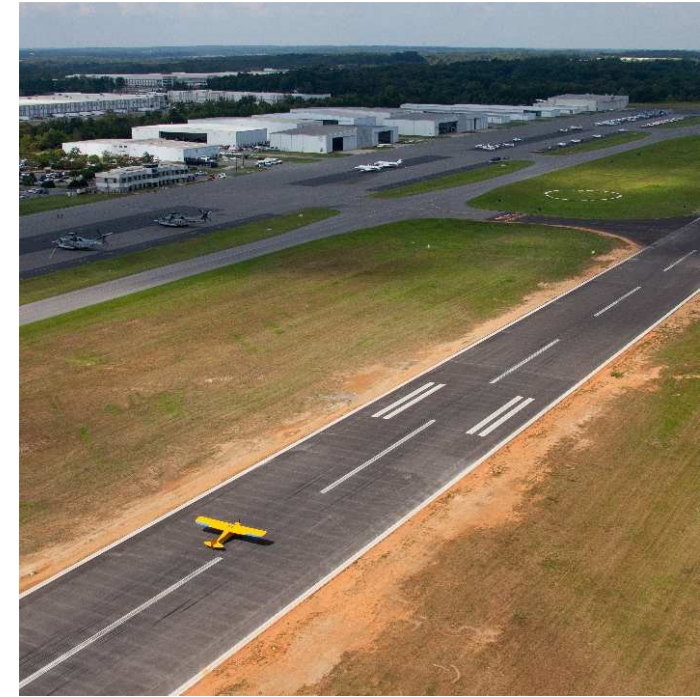
- NOT Legislatively Directed Funds
- Approved by NCDOT BOT
- STIP Funded WBS begins with “4” (ex.46317.3.1)
- Supporting documentation required for reimbursement
- Use AV-103 Sponsor Reimbursement Checklist on Connect site
- Use EBS QSR for quarterly reporting



# Reminders

- NCAIP FY22 Funds encumbrance deadline September 30, ~~2023~~ 2022 thcoming
- NCAIP FY23 Funds must be encumbered or expended by September 30, ~~2024~~ (G.S. 63-74 (d)) 2023
- Any land acquisition must have NCDOT Right-of-Way concurrence on fair market value / settlement value
- FAA Section 163 to determine need for federal approval applies when using State/Directed funds. If no federal funds are used or SEPA is needed, work directly with NCDOA.
- Contact NCDOA APM if alternative delivery methods are proposed.





## Goals of Reporting

- Complying with state laws
- Communicating Return On Investment (ROI)

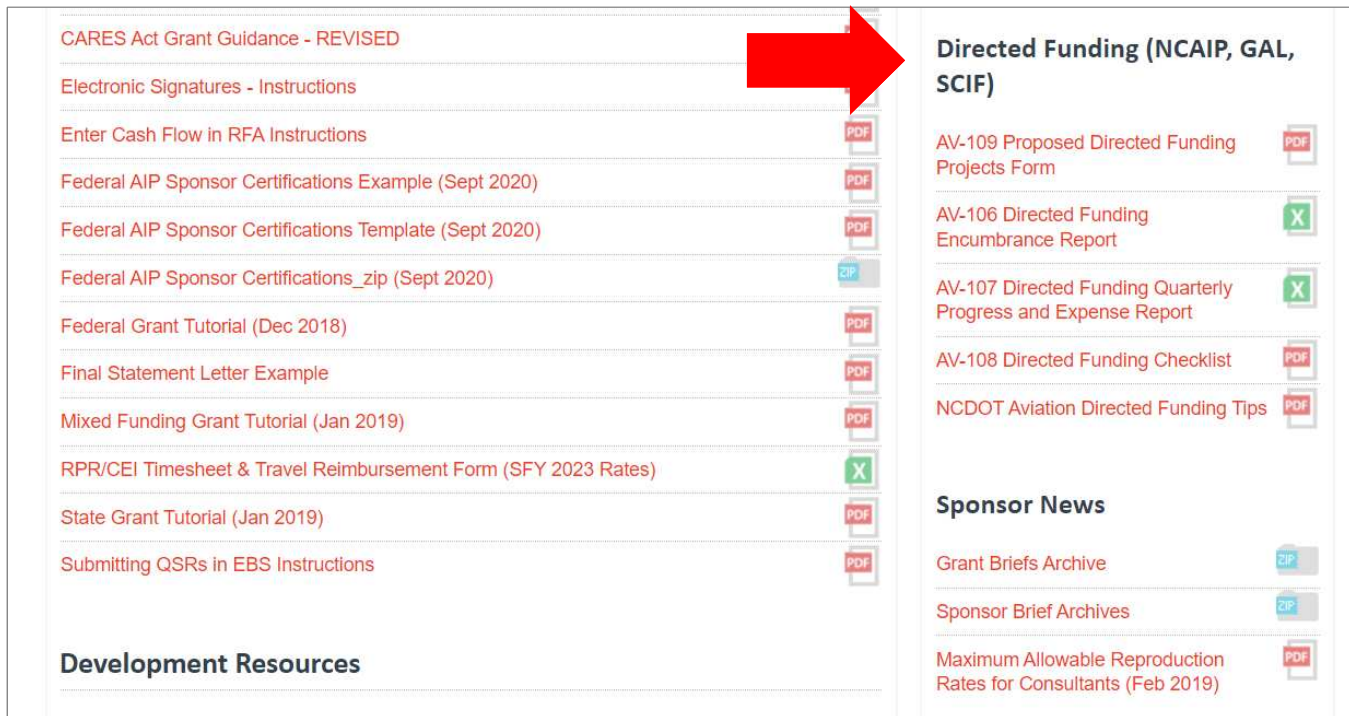


# Questions?

- Raise hand/unmute
- Type in Chat



# Slides, Forms and Guidance on the Connect site



CARES Act Grant Guidance - REVISED

Electronic Signatures - Instructions

Enter Cash Flow in RFA Instructions PDF

Federal AIP Sponsor Certifications Example (Sept 2020) PDF

Federal AIP Sponsor Certifications Template (Sept 2020) PDF

Federal AIP Sponsor Certifications\_zip (Sept 2020) ZIP

Federal Grant Tutorial (Dec 2018) PDF

Final Statement Letter Example PDF

Mixed Funding Grant Tutorial (Jan 2019) PDF

RPR/CEI Timesheet & Travel Reimbursement Form (SFY 2023 Rates) X

State Grant Tutorial (Jan 2019) PDF

Submitting QSRs in EBS Instructions PDF

**Development Resources**

**Directed Funding (NCAIP, GAL, SCIF)**

AV-109 Proposed Directed Funding Projects Form PDF

AV-106 Directed Funding Encumbrance Report X

AV-107 Directed Funding Quarterly Progress and Expense Report X

AV-108 Directed Funding Checklist PDF

NCDOT Aviation Directed Funding Tips PDF

**Sponsor News**

Grant Briefs Archive ZIP

Sponsor Brief Archives ZIP

Maximum Allowable Reproduction Rates for Consultants (Feb 2019) PDF

## Questions?

**Rachel Bingham**  
(919) 814-0570  
rsbingham@ncdot.gov

# North Carolina: Forever First in Flight

Thank you for creating a strong aviation economy!

