

Airport Funding and Finance

NC Airport Leadership and Management Program
Course 4

May 2, 2019
Raleigh, NC

A presentation of the
North Carolina Airport Technical Assistance Program



Airport Funding and Finance

Part 4: What are the Rules and How do Airports Comply

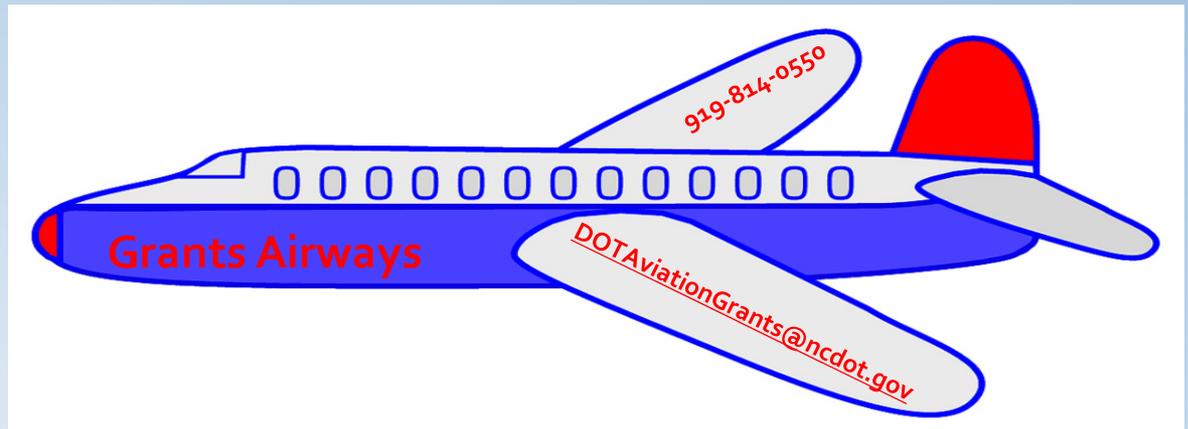
Grants Team
NCDOT Division of Aviation

May 2, 2019
Raleigh, NC

A presentation of the
North Carolina Airport Technical Assistance Program



Part 4 & 5: Objectives



Good Afternoon ladies and gentlemen. Welcome aboard Grants Airways - your only destination for funding of your grant projects. Thank you for your attention while important information is reviewed. In preparation for this presentation, be certain that you are seated straight in your chair. Make sure that your personal items that you felt compelled to bring with you today are placed completely under your seat, are not infringing on your neighbors' space or better yet take them to the car during a break. Portable telephones are not approved for use during this presentation, however, you may use certain other electronic devices as long as you are taking copious notes for the Kahoots retest. Please direct your attention to the speakers whose objectives are to provide: **An Overview of Grants Rules, Regulations, and Compliance along with Updates, Information, and Tips and Tricks to Improve Turn Around Times**

Now sit up, pay attention, and be assured that we want to get the money off our books and into your airports!

Part 4 and 5: Presentation Stewards:

Grants Team, NCDOT Division of Aviation

Betsy Beam, Grants Administrator

Rachel Fogleman, Grants Compliance Monitor

Amy Harber, Grants Technical Consultant

Cindy Reilly, Grants Accounting Clerk

Leah Roberts, Business Officer



Grant Assurances

Designed to Guarantee that All of us are compliant with the law



Betsy Beam, Grants Administrator

Seat Belts were invented in 1949 and mandatory in all cars in 1966. It was the belief of congress that passengers might panic in an emergency situation and not remember to LIFT as opposed to PUSH to release the seatbelt in airplanes -- so our federal law requires that *flight attendants must brief passengers on the method of fastening, tightening, and unfastening seatbelts.*

Grant Agreements are like Seat Belts-designed for assurance that we continue to comply with the law.

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- Grants Agreements-What Changed?
- Certified Mail / Digital

UNITED STATES POSTAL SERVICE

First-Class Mail
Postage & Fees Paid
USPS
Permit No. G-10

• Sender: Please print your name, address, and ZIP+4 in this box •

Your Name (Sender)
8901 Sampler Road
Your City, ST 12345-6789

SENDER: COMPLETE THIS SECTION

■ Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
■ Print your name and address on the reverse so that we can return the card to you.
■ Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Charles Sampler
4567 Example Road
Example City, ST 12345-6789

2. Article Number
(Transfer from service label) 9876 5432 1098 7654 3210

PS Form 3811, February 2004 Domestic Return Receipt 102596-02-M-1540

COMPLETE THIS SECTION ON DELIVERY

A. Signature
X *Charles Sampler* Agent Addressee

B. Received by (Printed Name)
CHARLES SAMPLER 00-00-00

C. Date of Delivery
00-00-00

D. Is delivery address different from item 1? Yes No
If YES, enter delivery address below:
1234 EXAMPLE ROAD

3. Service Type
 Certified Mail Express Mail
 Registered Return Receipt for Merchandise
 Insured Mail C.O.D.

4. Restricted Delivery? (Extra Fee) Yes

▼ Attachments Attachment URL With Template | Advanced

Actions	Name	Type
Properties	GRANT EXECUTION AND NOTICE TO PROCEED 20	PDF File (Adobe Acrobat Exchange/Reader)
Properties	EXECUTED_GA_PMZ_36237.40.13.1	PDF File (Adobe Acrobat Exchange/Reader)
Properties	Signed_AIPCert_PMZ_36237.40.13.1	PDF File (Adobe Acrobat Exchange/Reader)
Properties	NCDOT Div of Aviation - Allocation of Fe	PDF File (Adobe Acrobat Exchange/Reader)
Properties	Partial Signed GA_PMZ_36237.40.13.1.pdf	PDF File (Adobe Acrobat Exchange/Reader)
Expand		

◀ Back 1 2 3 4 Forward ▶

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Mailed Hard Copies.....



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• Grants Agreements-What Changed?

Federal Grant Agreement

- Combined all Federal templates so we can use for Apportionment, NPE, or Discretionary funding.
- Added Title VI/Nondiscrimination Assurances
- **Upgraded the signature page** (deleted the Notary requirement and “Resolution” page)
- Added an assurance for the SAM Registration for DUNS numbers (A-9)
- Added an assurance for Texting While Driving (A-10)
- Deliverables from the Sponsor to the Division will be communicated to the APM (B-1)
- “Unless otherwise approved by the Division, the Sponsor shall not commence construction or award construction contracts on the project until a “Grant Execution and Notice to Proceed” is provided by the Division.” (B-3).
- “Payment of the funds obligated under this Agreement shall be made in accordance with the following schedule, unless otherwise authorized by the Department: Payments from the Department to the Sponsor are made on an advance or a reimbursement basis. If an advance payment is received, the Sponsor must pay all contractors/vendors prior to or within 3 business days of receipt of the Department’s advance payment. Reimbursement must be requested by the Sponsor within 60 days after making payment to the vendor.” (C-3)
- Deleted assurances that were already in the FAA Federal Certifications
- Reference to cover letter as to the allocation of funds by amount and expiration date (page 1)

Grant Assurances

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• Grants Agreements-What Changed?

State Grant Agreement

- Combined all State templates so we can use for State Financial Aid, STIP, and Economic Development Funds.
- Updated debarment provisions in #2, page 2 (G.S. 143-59.2 “Certain vendors prohibited from contracting with State”).
- Title VI Assurances
- Upgraded the signature page (deleted the Notary requirement and “Resolution” page)
- Deleted Plan Review Submittal information since this info is in the Work Authorization.
- ““Unless otherwise approved by the Division, the Sponsor shall not commence construction or award construction contracts on the project until a “Grant Execution and Notice to Proceed” is provided by the Division.” (B-5).
- Inserted Quarterly Status Reports due dates (B-6).
- Added statement that awards will not be made for those who have been removed from the Department’s list of pre-qualified bidders (B-9).
- “Payment of the funds obligated under this Agreement shall be made in accordance with the following schedule, unless otherwise authorized by the Department: Payments from the Department to the Sponsor are made on an advance or a reimbursement basis. If an advance payment is received, the Sponsor must pay all contractors/vendors prior to or within 3 business days of receipt of the Department’s advance payment. Reimbursement must be requested by the Sponsor within 60 days after making payment to the vendor.” (C-4)
- Updated D-4: “For each parcel, building, or real property, fair market value shall be established by an appraisal, completed by a competent NCDOT approved appraiser and an appraisal review, completed by an NCDOT staff reviewer or outsourced by the NCDOT to a competent consultant appraisal reviewer. For complex acquisitions, estimated claims over \$1,000,000 or estimated claims with over \$250,000 in damages, fair market value shall be established by two appraisals: one original appraisal and one review appraisal. In such cases, all other provisions of this Section shall apply.”
- Reference to cover letter as to the allocation of funds by amount and expiration date (page 1)

Grant Assurances

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- Grants Agreements-What Changed?
- Notary Stamp / Seal



THE PARTIES BY LEGALLY BINDING SIGNATURE BELOW HEREBY EXECUTE THIS GRANT AGREEMENT THE DAY AND YEAR FIRST WRITTEN BELOW:

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION:

DocuSigned by:
Julie White
B1309F15DE4B46B... (SEAL)
BY: _____
Deputy Secretary for Multi-Modal Transportation or Designee

DATE: 4/10/2019

AUTHORIZED SIGNATURE FOR SPONSOR
(Approving Authority Board Member or Local Governing Official):

SIGNED: *[Signature]* (SEAL)
TITLE: AIRPORT MANAGER
DATE: 04/05/2019

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AV-103: Sponsor Reimbursement or Advance Request (Claim) Checklist

Sponsor use when submitting reimbursement or advance requests to NCDOT-DOA

Use: Submitting reimbursement or advance requests to the Division of Aviation for professional services (preliminary engineering, RPR, CA) and construction. Note that each request can involve multiple invoices of different types. For property-related requests, please reference [AV-100 \(NCDOT GA Program Development Checklist, page 2\)](#).

If all of the applicable items on this checklist are not met, the submission package will be considered incomplete and returned. This checklist covers the minimum requirements for a reimbursement or advance request. Please contact your APM to determine if your project has additional requirements.

<input checked="" type="checkbox"/>	Activity	Notes	Submit Via
	If a budget or grant modification is required, go to the AV-102 (Sponsor Budget Revision & Grant Modification Request Checklist) for further instructions before submitting a reimbursement or advance request. Situations that would require a budget or grant modification include: Project description (scope) changes, additional funds, and/or moving money between A-codes on the project budget.		
	If this is an initial reimbursement or advance request , all executed Work Authorizations and Construction contracts with supporting documentation are required. If this is a final reimbursement or advance request/close out , submit the required documents on page 2 in addition to the documents specified below. Each reimbursement or advance request submitted must be rounded UP to the nearest whole dollar.		
1	For ALL reimbursement or advance requests:		
	Review executed Grant Agreement – If expired, need to request extension of time in Partner Connect.		Partner Connect – Grant Agreement
	AV-502 : Submit Quarterly Status Report(s) (QSR) or FAA Form 5370-1 to cover the most recently completed quarter.	QSR(s) are required from NTP through the most recently completed quarter. The QSRs are automated in EBS/Partner Connect. The non-construction QSR is required through the design/bid phase. The construction QSR is required with the first construction payment request.	Partner Connect – Grant Agreement
	AV-509/AV-510 : DBE/MBE/WBE/HUB Vendor Forms (signed by Sponsor and Contractor)	See DBE/WBE/MBE guidance	Partner Connect – Claim
	AV-515 : Reimbursement or Advance Request Summary	Summary sheet should list associated invoices and categorize expenses by A-Code. Review Aviation Line Item Descriptions for proper use of A-Code(s), unit costs, description of work completed, consistency with Work Authorization, correct percentage complete and resulting payment calculations, and total sums, etc. **CHECK MATH**	Partner Connect – Claim
	Sponsor Payment verification is required.	Acceptable documents include: copy of cancelled check or screen shot in accounting system showing check cleared. Please upload all documents to the actual claim it is supporting.	Partner Connect – Claim
	If this is an Advance, Sponsor must pay all contractors/vendors prior to or within 3 business days of receipt of the Department's reimbursement.	Noncompliant sponsors will be notified and this will be considered in the Risk Monitoring Plan. Please upload all documents ASAP to the actual claim it is supporting.	N/A
	If this is a Reimbursement, verify the Date of Check is within 60-days of claim submittal date.	Noncompliant sponsors will be notified and this will be considered in the Risk Monitoring Plan.	N/A

Grant Assurances

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Federal Grant Assurance: C-3

State Grant Assurance: C-4

If this is an **Advance**, Sponsor must pay all contractors/vendors prior to or within **3 business days** of receipt of the Department's reimbursement.

AUTHORIZING SUB-RECIPIENT SIGNATURE

I certify that, to the best of my knowledge, billed costs of disbursements are in accordance with the terms of the Grant Agreement, and that the claim represents the share(s) due which have not been previously requested, that an inspection on all work represented on this invoice has been performed, and that it has been determined that all work being claimed meets project specifications and is in accordance with the terms of the grant.

I hereby certify that this request for advance funds represents an immediate cash need for the invoice(s)/expense(s) referenced above. I also certify that the incurred expense(s) was within the scope of the approved grant agreement. I further certify that once payment is received from NCDOT, the advanced funds will be dispersed to the referenced payee within three business days.

Name: PIN: Date: (mm/dd/yyyy)*

Don't forget to UPLOAD the payment verification as soon as possible

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	AV-515 : Reimbursement or Advance Request Summary	Summary sheet should list associated invoices and categorize expenses by A-Code. Review Aviation Line Item Descriptions for proper use of A-Code(s), unit costs, description of work completed, consistency with Work Authorization, correct percentage complete and resulting payment calculations, and total sums, etc. **CHECK MATH**	Partner Connect – Claim
	Sponsor Payment verification is required.	Acceptable documents include: copy of cancelled check or screen shot in accounting system showing check cleared. Please upload all documents to the actual claim it is supporting.	Partner Connect – Claim
	If this is an Advance, Sponsor must pay all contractors/vendors prior to or within 3 business days of receipt of the Department's reimbursement.	Noncompliant sponsors will be notified and this will be considered in the Risk Monitoring Plan. Please upload all documents ASAP to the actual claim it is supporting.	N/A
	If this is a Reimbursement, verify the Date of Check is within 60-days of claim submittal date.	Noncompliant sponsors will be notified and this will be considered in the Risk Monitoring Plan.	N/A



Grant Assurances

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Federal Grant Assurance: C-3

State Grant Assurance: C-4

Reimbursements must be requested by the Sponsor within 60 days after *making the payment to the vendor*

For Reimbursements, verify that the Date of Check is within 60-days of claim submittal date.

Note - if you are submitting several checks it will be the date of the OLDEST check for that claim

AIP Certifications

Designed to Document that All of us are compliant with the law



13. Sponsor has revised or will revise their airport layout plan (ALP) that reflects improvements made and has submitted or will submit an updated ALP to the FAA no later than 90 days from the period of performance end date. (49 USC § 47107 and Order 5100.38).

Yes No N/A

Attach documentation clarifying any above item marked with "No" response.

Sponsor's Certification

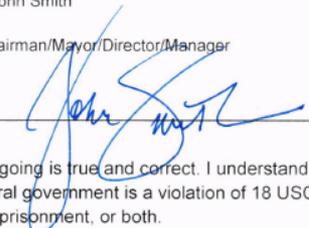
I certify, for the project identified herein, responses to the forgoing items are accurate as marked and additional documentation for any item marked "no" is correct and complete.

Executed on this 2nd day of May, 2019

Name of Sponsor: Best Ever Airport

Name of Sponsor's Authorized Official: John Smith

Title of Sponsor's Authorized Official: Chairman/Mayor/Director/Manager

Signature of Sponsor's Authorized Official: 

I declare under penalty of perjury that the foregoing is true and correct. I understand that knowingly and willfully providing false information to the federal government is a violation of 18 USC § 1001 (False Statements) and could subject me to fines, imprisonment, or both.

- ALL **FEDERAL** funded grants
- What's the version and how many do airports sign
 - **FAA Form 5100-129 (1/17) SUPERSEDES PREVIOUS EDITION**
 - **SEVEN (7) Certifications (ALL must be dated and signed)**

Name

-  FAA Form 5100-129 Construction Project Final Acceptance
-  FAA Form 5100-130 Drug-Free Workplace
-  FAA Form 5100-131 Equipment and Construction Contracts
-  FAA Form 5100-132 Project Plans and Specifications
-  FAA Form 5100-133 Real Property Acquisition
-  FAA Form 5100-134 Selection of Consultants
-  FAA Form 5100-135 Potential Conflicts of Interest

AIP Certifications

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Ladies and Gentlemen, We have reached our “assurances” altitude you can now relax. Always remember that in order to release an Airline seat belt you lift the face plate of the buckle. There is no button to push and if automobiles and airlines used the same type buckle no one would ever have to listen or observe the seat belt demonstration again!

However before you get too relaxed I am required to inform you that non-compliance with the 3-day payment rule; the 60-day reimbursement rule; or continued returns for not signing the AIP Certifications will result in higher rankings on the new DoA Risk Assessment



Risk Assessment Tool

Designed to objectively score the financial stability and/or risks of the airport

Contrary to popular belief this is not designed to RESTRAIN or be punitive it is simply a tool for ALL to use to objectively score the financial stability and/or risks of the airport

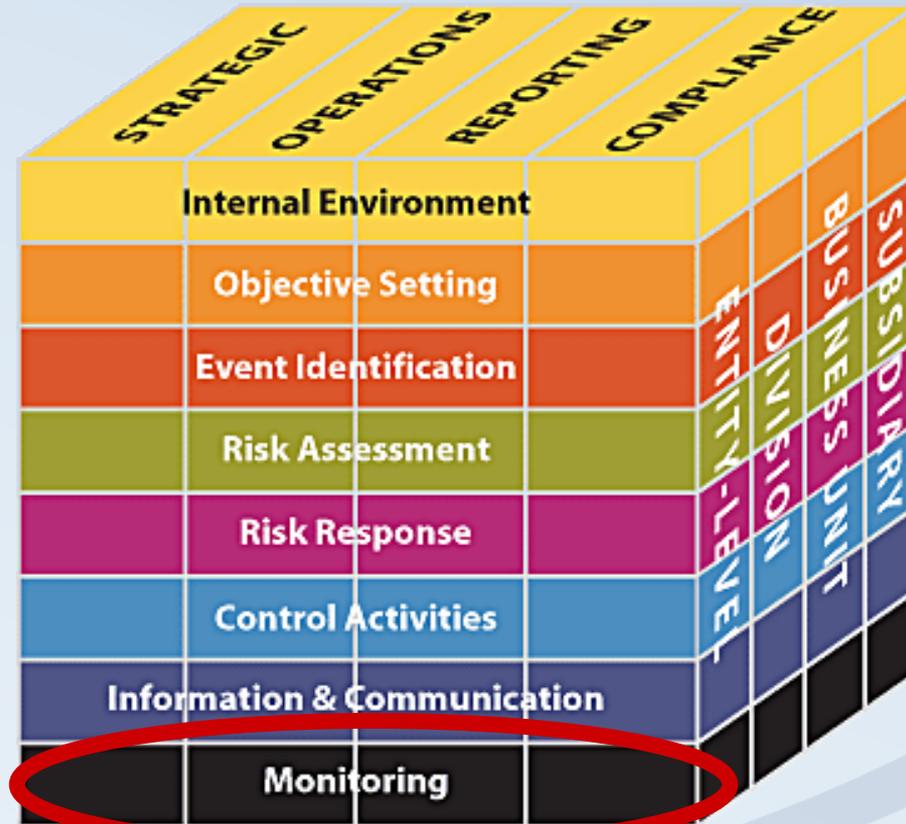
Rachel Fogleman, Grants Compliance Monitor

<https://www.dailymotion.com/video/x2nl1xc>



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Why does DoA have to Monitor Airports?

- Monitoring the subrecipient's use of Federal awards through reporting, site visits, regular contact, or other means to provide reasonable assurance that the subrecipient administers Federal awards in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved. *(Source: OMB Uniform Guidance)*
 - *DoA applies the federal guidelines to state awards.*
- Findings from the State Auditor's Office for SFY2018



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What is Subrecipient Risk?

Per the OMB Uniform Guidance, subrecipients may be evaluated as higher risk or lower risk to determine the need for closer monitoring.

Possible Risk Factors

- History of non-compliance as either a recipient or subrecipient
- New personnel
- New or substantially changed systems



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Thank you to those that answered the
Internal Control Questionnaire!

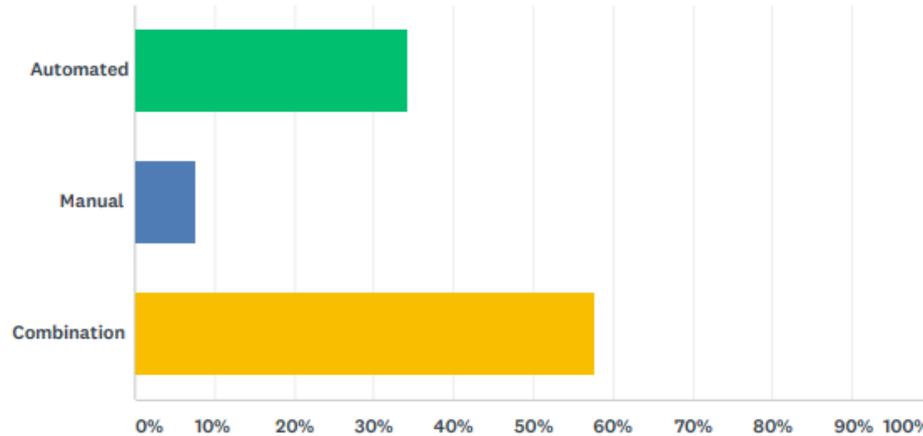




Internal Control Questionnaire Results

Q24 Which of the following best describes your accounting system?

Answered: 64 Skipped: 6



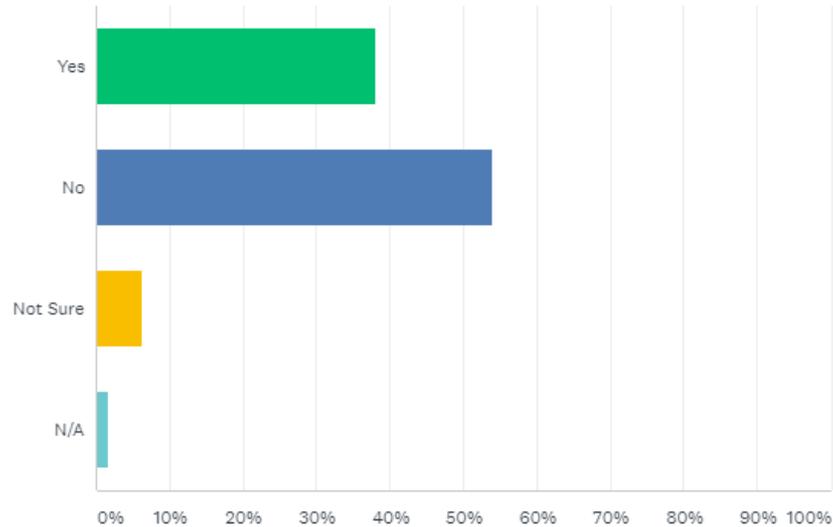
ANSWER CHOICES	RESPONSES	
Automated	34.38%	22
Manual	7.81%	5
Combination	57.81%	37
TOTAL		64



Internal Control Questionnaire Results

Is the total amount of federal funding for State Fiscal Year 2019 more than \$750,000 for the Airport (or expected to be by June 30, 2019)?

Answered: 63 Skipped: 7

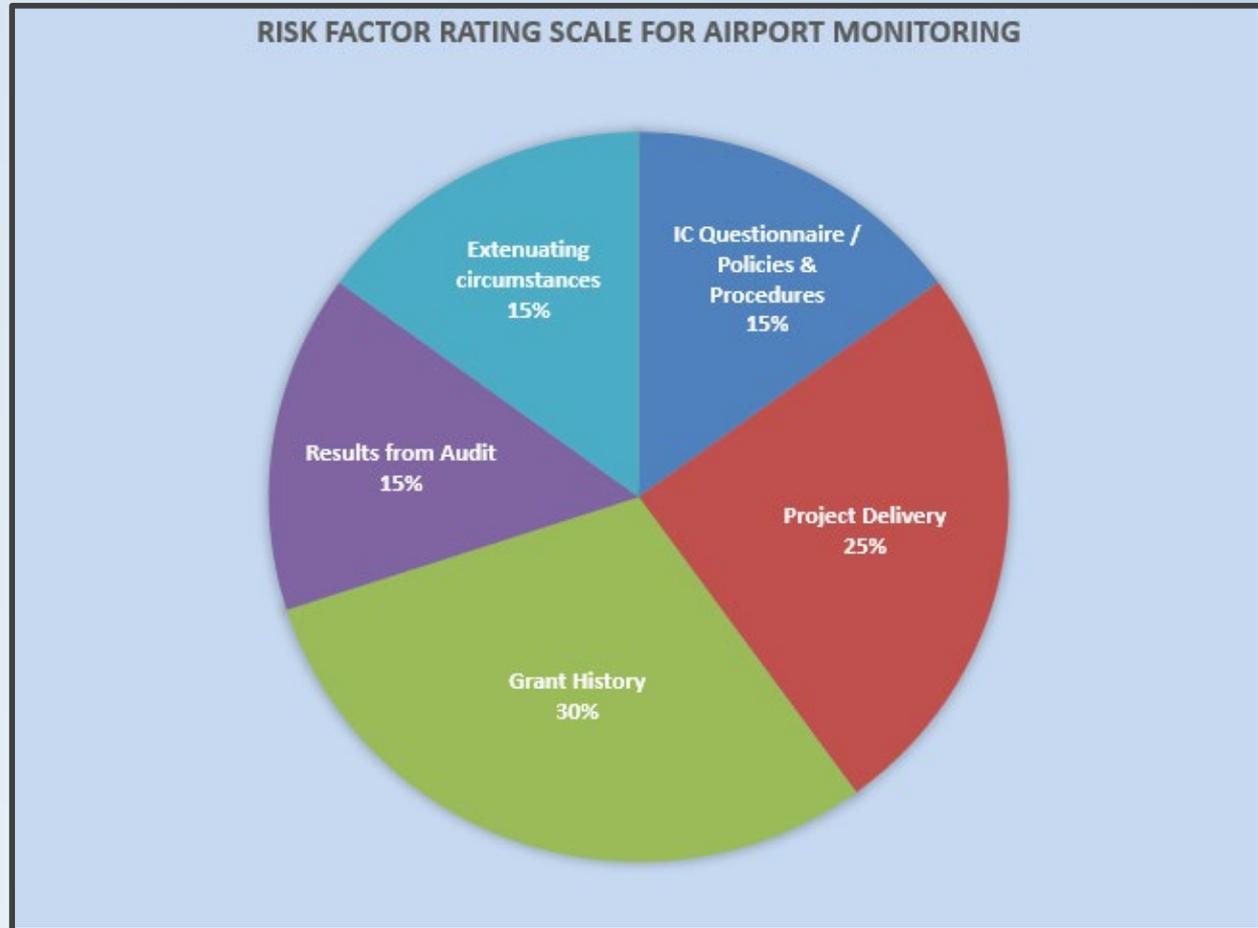


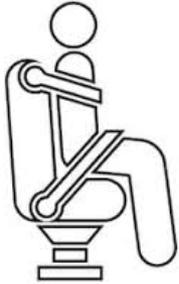
ANSWER CHOICES	RESPONSES
▼ Yes	38.10% 24
▼ No	53.97% 34
▼ Not Sure	6.35% 4
▼ N/A	1.59% 1
TOTAL	63



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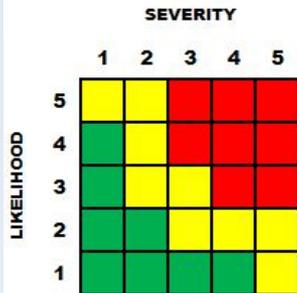




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RISK MATRIX



Green = Low Risk (1-4)
 Yellow = Moderate Risk (5-10)
 Red = High Risk (11-25)

LIKELIHOOD CATEGORIES

	Descriptor	Description
5	Highly Likely	> 80%
4	Probable	50% to 80%
3	Possible	20% to 49%
2	Remote	5% to 19%
1	Improbable	< 5%

SEVERITY - CATEGORIES AND DESCRIPTIONS

1 (Very Low)	Would not disrupt grants or projects.
2 (Low)	An annoyance that does not disrupt grants or projects, or has only a localized impact.
3 (Moderate)	Short-term partial failure, limited financial losses or disruption to grants or projects.
4 (High)	Short-term total service failure or prolonged partial failure to grants or projects, possible financial losses.
5 (Very High)	Total service failure of grants or projects, high financial losses, possible national media criticism, local media interest.

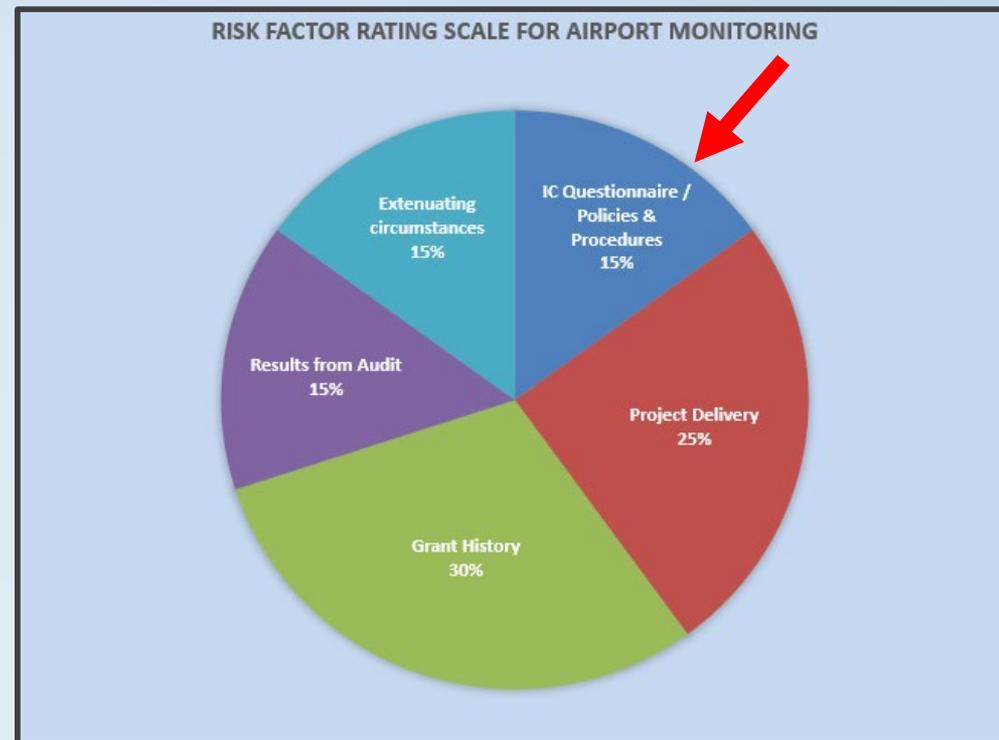


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Internal Control Questionnaire/Policies & Procedures (15%)

- Weighted risk score from the IC Questionnaire
- Turnover of personnel
- Accounting system (automated, manual, combination)



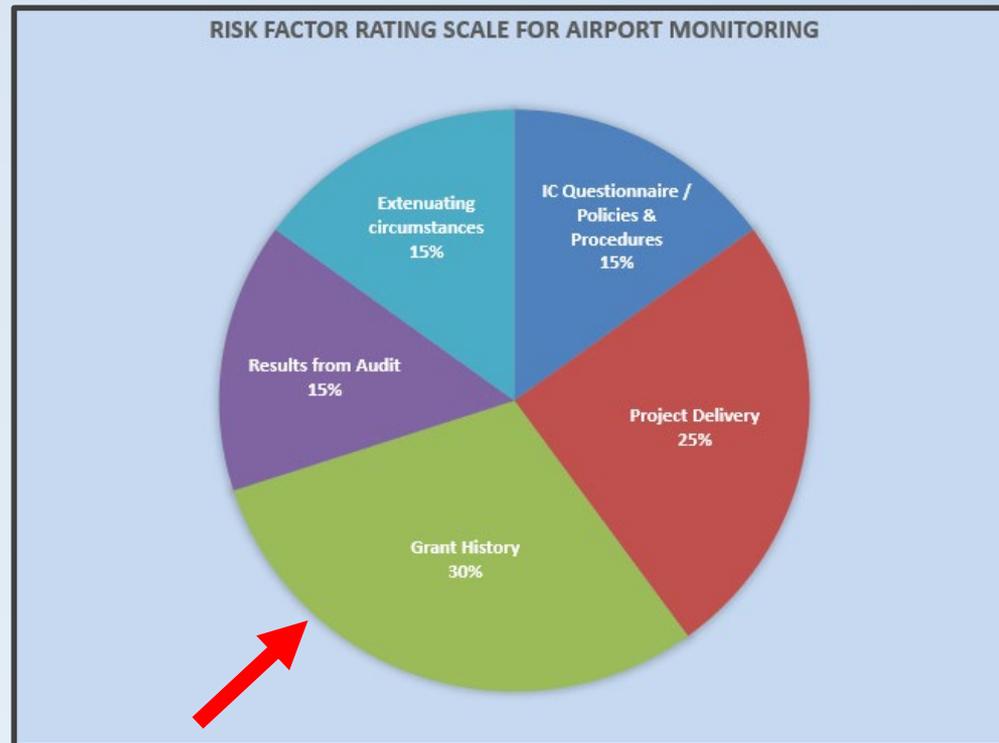


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Grant History (30%)

- Significant number of RFA and claim returns
- Relinquished funding
- Not complying with 3-day rule
- WBS Inactivity list without good reason



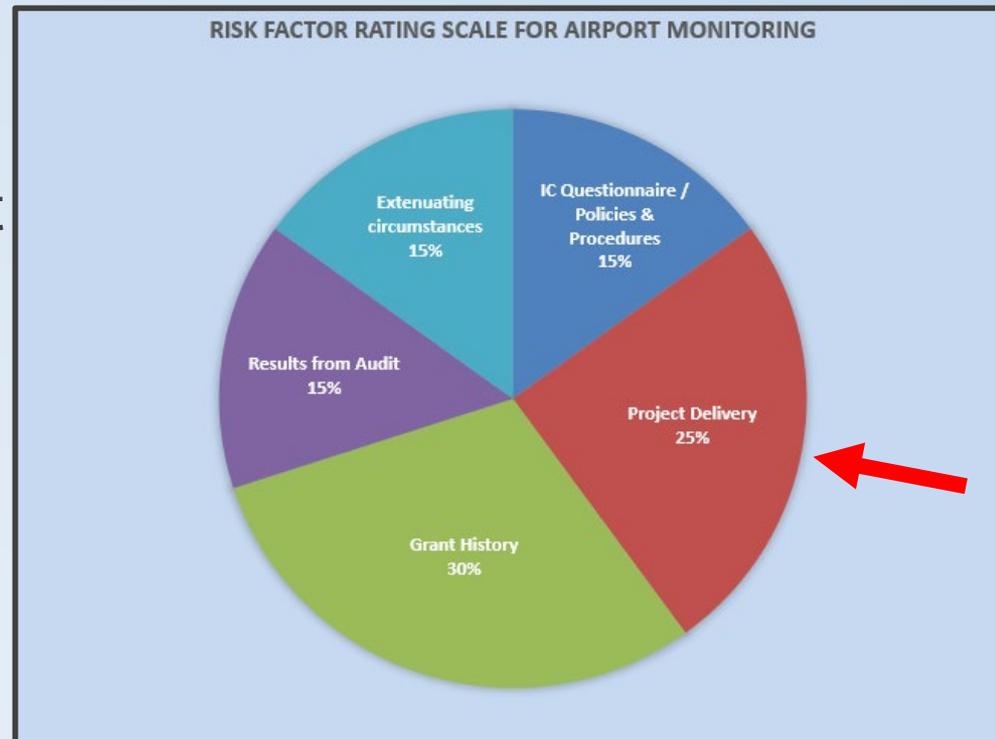


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Project Delivery (25%)

- Claims submitted with subcontractors and subconsultants that are not prequalified
- Communication with the Division is not effective or frequent
- Time between last interim payment and final billing is lengthy (without good reason)



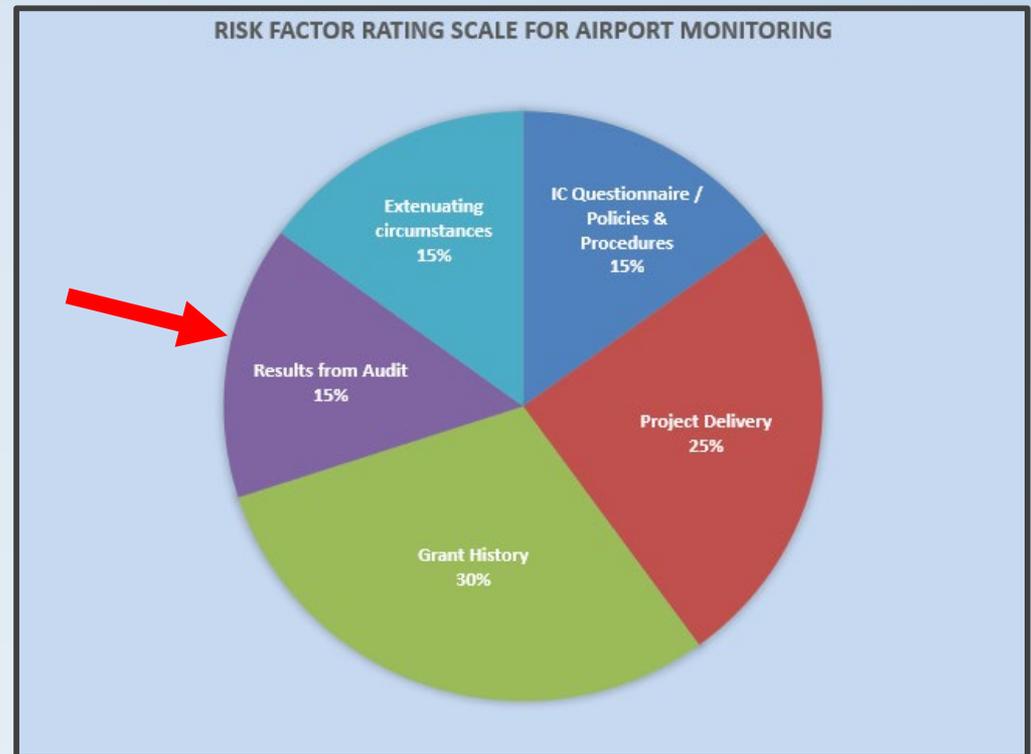


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Results from Audits (15%)

- Severity of management findings of non-compliance
- Management implementation of corrective action plan





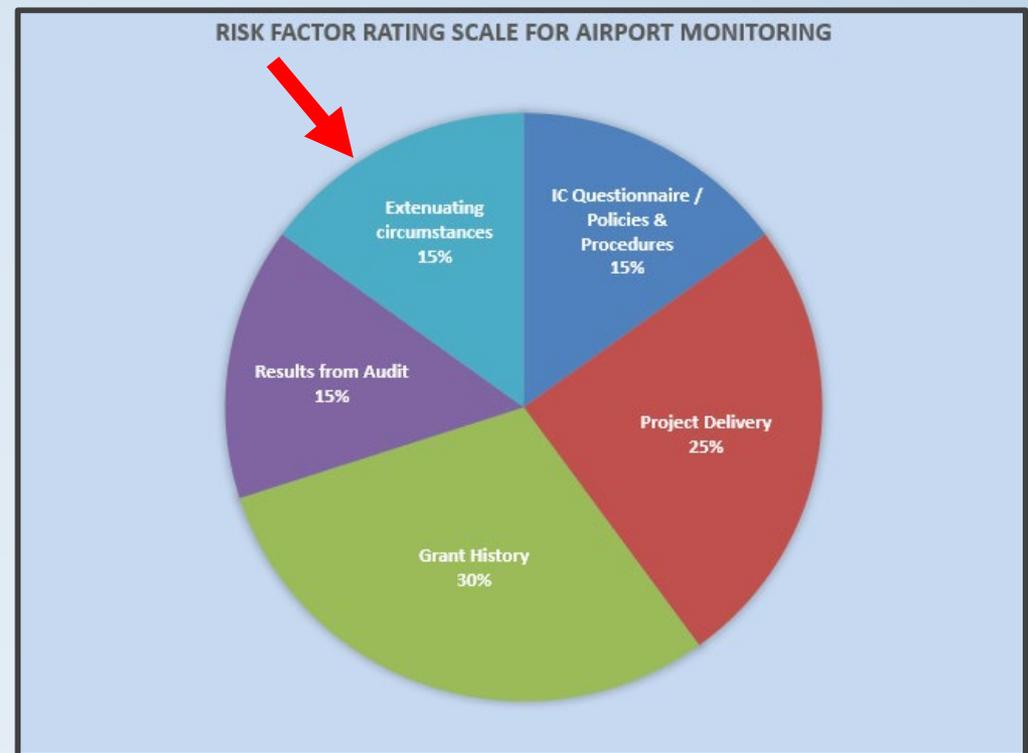
Risk Assessment Tool

Contrary to popular belief this is not designed to RESTRAIN or be punitive it is simply a tool for ALL to use to objectively score the financial stability and/or risks of the airport

Extenuating Circumstances (15%)

- Anything that could elevate the risk of the financial stability of the airport.

Example: Hurricanes Florence & Matthew



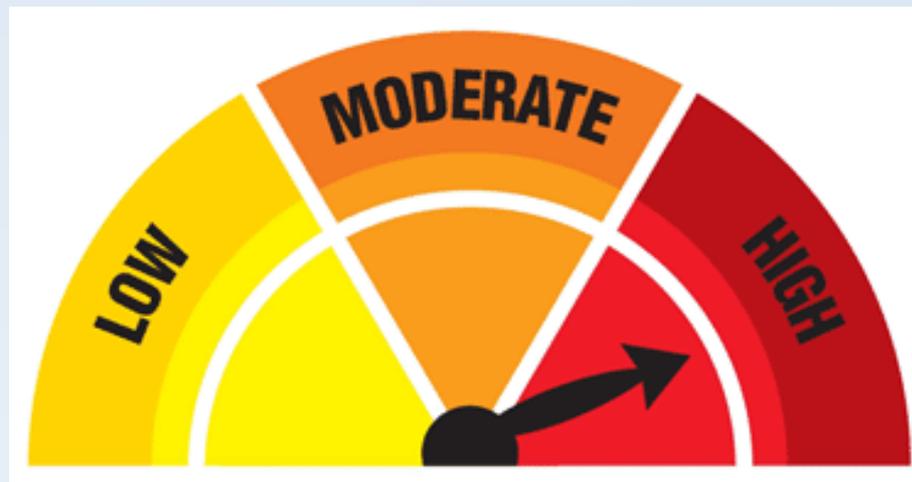


Risk Assessment Tool

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Consequences of a high risk airport

Likely affect eligibility for future funding





Risk Assessment Tool

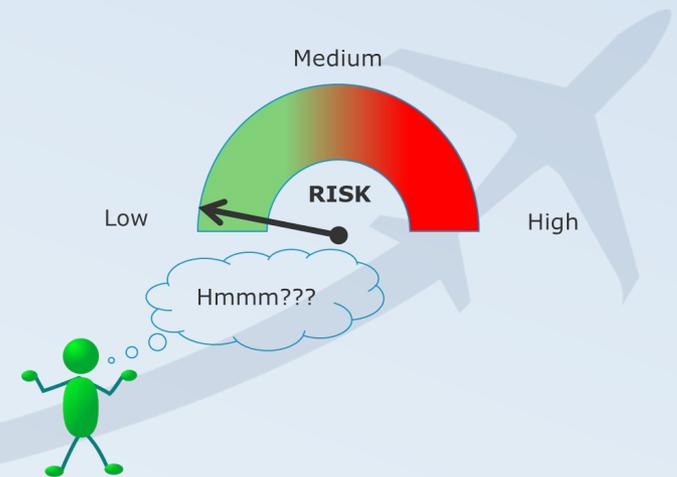
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Risk Ratings

Low Risk = Continue to monitor RFAs and Claims

Medium Risk = Desk Review

High Risk = On-site Visit





Risk Assessment Tool

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BREAK



Tampering with, disabling, or destroying a lavatory smoke detector is prohibited.

14:59 LEFT

Airport Funding and Finance

Part 5: Grants Systems Overview

Grants Team
NCDOT Division of Aviation

May 2, 2019
Raleigh, NC

A presentation of the
North Carolina Airport Technical Assistance Program



Grants Updates

“New” Process to get information to Sponsors of any upcoming changes



Cindy Reilly, Grants Accounting Clerk

For your *reading entertainment* OR simply a way to provide information and updates in a concise and easy to understand format.

Grants Updates

“New” Process to get information to Sponsors of any upcoming changes

• December 2018

• February 2019



GRANT UPDATES

DECEMBER 2018

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Betsy Beam - Grants Administrator
Rachel Fogleman - Grants Compliance Monitor
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NCDOT Division of Aviation
(919) 814-0550 | ncdot.gov/aviation



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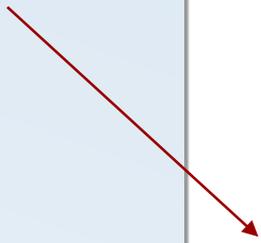
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Grants Updates

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DocuSign Signatures





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NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

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Grants Updates

“New” Process to get information to Sponsors of any upcoming changes



DocuSign Process

DoA will send an email via DocuSign to your Signature Authority for grant signatures
That person clicks on the signature icon (which will automatically sign the document)
DocuSign automatically emails the signed document back to DoA

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION:

DocuSigned by:
Julie White
B1309F15DE4B46B (SEAL)
Deputy Secretary for Multi-Modal Transportation or Designee

DATE: 3/5/2019

AUTHORIZED SIGNATURE FOR SPONSOR

(Approving Authority Board Member or Local Governing Official):

DocuSigned by:
Fion Viventi
C226375FF8B64E0... (SEAL)

TITLE: Director

DATE: 2/27/2019

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION:

DocuSigned by:
Julie White
B1309F15DE4B46B (SEAL)
Deputy Secretary for Multi-Modal Transportation or Designee

DATE: 3/12/2019

AUTHORIZED SIGNATURE FOR SPONSOR

(Approving Authority Board Member or Local Governing Official):

DocuSigned by:
Philip Lawrie
76DBA9A044E468 (SEAL)

TITLE: Airport Director

DATE: 3/12/2019

Grants Updates

“New” Process to get information to Sponsors of any upcoming changes

DocuSign Process-Record Approval Time



NORTH CAROLINA DEPARTMENT OF TRANSPORTATION:

DocuSigned by:
Julie White
B1306F15DE4B40B

BY: _____ (SEAL)
Deputy Secretary for Multi-Modal Transportation or Designee

DATE: 3/12/2019

AUTHORIZED SIGNATURE FOR SPONSOR
(Approving Authority Board Member or Local Governing Official):

DocuSigned by:
Phil Lanier
76DBA9A044E468

SIGNED: _____ (SEAL)

TITLE: Airport Director

DATE: 3/12/2019

1:36 pm – DoA sends unsigned grant agreement to Phil Lanier, Johnston County Airport

1:53 pm – DoA receives signed agreement from Phil

3:45 pm – DoA sends unsigned agreement to Julie White, NCDOT Deputy Secretary of Multi-Modal Transportation

3:49 pm – DoA receives fully executed GA from Julie White

2 hours 13 minutes

Use DocuSign! Cuts grant processing time from weeks to hours.

Grants Updates

“New” Process to get information to Sponsors of any upcoming changes



DocuSign Process

Currently there are **SIX** airports using this process:

Duplin County Airport

Henderson Oxford Airport

Johnston Regional Airport

Richmond County Airport

Rocky Mount Wilson Regional Airport

Greater Asheville Regional Airport



Grants Updates

“New” Process to get information to Sponsors of any upcoming changes



Waiver of Liens



 **DIVISION OF AVIATION**
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Grants Updates

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AV-103: Sponsor Reimbursement or Advance Request (Claim) Checklist

3	IF: This reimbursement or advance request contains construction THEN: Submit these items:		
	<u>Executed Construction Contract</u>	Initial reimbursement or advance request (claim) will not be paid until executed construction contract is submitted.	Partner Connect – Grant Agreement
	<u>Pre-Construction Meeting Documentation</u>	Initial reimbursement or advance request (claim) will not be paid until supporting documentation (including agenda/minutes/attendance) is submitted.	Partner Connect – Grant Agreement
	<u>Pay Application/Pay Estimate for Prime Contractor(s)</u> to support request.	If retainage is reduced prior to final contractor invoice, a <u>Partial Waiver of Lien is required</u> . Submit Contractor’s certified sales tax statement, including correct percentage complete and resulting payment calculations. Ensure total sum excludes sales tax.	Partner Connect – Claim
	<u>Certified Payroll Reports</u> (WITHOUT Social Security Numbers, please redact this info.)	For Federally Funded projects <u>ONLY</u>	Partner Connect – Claim
	<u>AV-512 DBE/MBE/WBE/HUB Request Replacement Form</u>	If applicable	Partner Connect – Claim
4	IF: This reimbursement or advance request contains a final construction invoice THEN: Verify the following items from the AV-100 have been submitted:		
	<u>Contractor’s Affidavit of Payment of Debts and Claims</u> (sometimes also called Final Waiver of Lien or Affidavit of Release of Liens)	If the dollar amount on the waiver is <u>NOT</u> zero, a payment verification for the exact amount shown on the waiver <u>MUST</u> be included. Example: AIA G706	Partner Connect – Claim
	<u>Notarized Consent of Surety with Power of Attorney</u> if bank handled funding (if applicable)	Example: AIA G707	Partner Connect – Claim
	<u>Separate Releases or Waivers of Liens</u> from Subcontractors (if applicable)		Partner Connect – Claim
	<u>Final Change Orders</u> with all supporting documentation (if applicable)		Partner Connect – Claim
	<u>Final Statement Letter</u> from contractor (2012 DOT Standard Spec 107-24 & 109-10)	Letter should state that Contractor has no request for any extension in the completion date or any adjustment in compensation from that shown in the final estimate.	Partner Connect – Claim
	<u>Contractor Warranty Statement</u> from the contractor complying with contract		Partner Connect – Claim
	<u>AV-514: DBE Payment Shortfall Form</u> (if applicable)		Partner Connect – Claim
	<u>Payment verification:</u> i.e., cancelled checks	Contact the NCDQA Grants Administrator if you require accommodations to meet this requirement.	Partner Connect – Claim



Grants Updates

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CONTRACTOR'S AFFIDAVIT OF RELEASE OF LIENS

- OWNER
- ENGINEER
- CONTRACTOR
- SURETY
- SUBCONTRACTOR

TO (Owner):
Engineer's Project No.: 2206-1702
Grant No.: 36237.53.13.1 & 36244.18.6.1
Contract for: Columbus County Airport Authority
Contract Date: February 22, 2018

PROJECT (Name and Address): Runway 6-24 Pavement Rehabilitation Runway Light System Replacement and Apron Rehabilitation
Columbus County Airport
Whiteville, North Carolina

State of: NC
County of: NASH / CUMBERLAND

The undersigned, pursuant to the General Conditions of the Contract for Construction, hereby certifies that to the best of his knowledge, information and belief, except as listed below, the Releases or Waivers of Lien attached hereto include the Contractor, all Subcontractors, all suppliers of materials and equipment, and all performers of Work, labor or services, who have or may have liens against any property of the Owner arising in any manner out of the performance of the Contract referenced above.

EXCEPTIONS: (If none, write "None". If required by the Owner, the Contractor shall furnish bond satisfactory to the Owner for each exception.) NONE

CONTRACTOR: JOYNER KERRY LLC
Address: 230 DONALDSON ST - SUITE 500A
FAYETTEVILLE, NC 28301

BY: REX B. OWEN Rex B. Owen
Subscribed and sworn to before me this 20th day of SEPTEMBER, 2018.
Notary Public: Beverly Ann Moore
My Commission Expires: 07-16-2020

(Seal)

BEVERLY ANN MOORE
NOTARY PUBLIC
NASH COUNTY
NORTH CAROLINA



Grants Updates

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Waiver of Liens

State of: NC
County of: Robeson

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EXCEPTIONS: (If none, write "None". If required by the Owner, the Contractor shall furnish bond satisfactory to the Owner for each exception.) **Missing the word "None" or "Zero"** ←

CONTRACTOR: Purdess Dinnert Seely
Address: 1357 Broyard Rd
Bohalem, NC 2863

BY: [Signature]

Subscribed and sworn to before me this 21 day of September 2018

Notary Public: [Signature]

My Commission Expires: 9/28/21

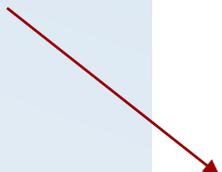


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Naming Conventions



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NCDOT Connect Website



Next Steps - Initial Instructions

Congratulations on your project award. Below you will find the information needed for the "next steps" in securing the funding for your grant agreement. It is helpful to read the document titled "'Next Step' Grant Award Conditions to receive a Grant Agreement" first. Your Airport Project Manager will be able to assist you with any questions you may have. Please note the date at the top of each document. If and when amendments are made, this "version date" will be modified.

[Summary of Procurement Requirements for Professional Services](#)



[Guidance for Project Schedule Preparation](#)



[Sample project Schedule \(MS Project\)](#)

[Sample Project Schedule \(PDF\)](#)



[Sample Program Budget](#)



[AV-200 Sample Work Authorization Template](#)



[AV-201 WA Fee Estimate Template](#)



[Aviation Line Item Descriptions \(A-Codes\)](#)



Checklists

[AV-100 General Aviation Development Check List \(11/2015\)](#)



[AV-101 Sponsor Request for Aid \(RFA\) Checklist](#)



[AV-102 Sponsor Budget Revision and Grant Modification Request Checklist](#)



[AV-103 Sponsor Reimbursement or Advance Request \(Claim\)](#)



[Enter Cash Flow in NEW RFA Instructions](#)



[New Partner Connect RFA Form & Launch of NC AirTAP Instructional Videos](#)



NC AirTAP

Visit the Division's [NC Airport Technical Assistance Program](#) webpage to access relevant training, information, and technical resources.

EBS/PC

[Partner Connect Access Request Form](#)

[Partner Connect Login Page \(EBS\)](#)

[Partner Connect Login Instructions](#)

[PARTNER CONNECT FILE NAMING CONVENTIONS](#)



Employee Directory

Staff contacts for *Aviation Division*.

Airport Maps

[APM Region Map](#)



Project Managers

[Airport](#)

[Code](#)

[Manager](#)

Current Naming Conventions



Grants Updates

“New” Process to get information to Sponsors of any upcoming changes



Examples of New Drop-Down Box Choices

A101 Justification

Advertisement to Bid

AV-508 DBE Prebid DBE/MBE/WBE Goal Notification and Certification

AV-509/510 DBE/MBE/WBE/HUB Vendor Commitments/Awards/Payments

AV-514 DBE/MBE/WBE/HUB Payment Shortfall

AV-515 Reimbursement Request Summary

Certified Bid Tab

Certified Payroll

Contractor's Affidavit of Payment of Debts and Claims

Federal AIP Sponsor Certifications (All 7 Signed by Sponsor)

Project Budget & Expense Summary

RPR Form (or equivalent)

Work Authorization

Work Authorization Amendment

LSS Review

**Where have we been and
Where are we going**



Betsy Beam, Grants Administrator

*We are too busy mopping the floor to turn off the faucet.
– Author Unknown*

LSS Review

Where have we been and Where are we going



Problem Statement (2017)

- Currently 239 open grants totaling \$265 million dollars are being managed. There are 72 airports in NC that may apply for grants of which ten (10) are Commercial Service Airports.
- The current Division of Aviation (DoA) grant application process is complex and is being evaluated with special emphasis on terminology and Partner Connect.

Lean Six Sigma Phase	Tasks	End Date
Define:	<ul style="list-style-type: none"> • Define problem being addressed • Select Project • Complete Project Charter • Collect & Analyze Voice of Customer • Create Process Map 	• Completed December, 2017
Measure:	<ul style="list-style-type: none"> • Define Data Needed & Current Performance • Create & Complete Data Collection Plan • Establish Process Baseline 	• Completed February, 2018
Analyze:	<ul style="list-style-type: none"> • Define Root Causes of Problem • Identify & Analyze Data 	• Completed April, 2018
Improve:	<ul style="list-style-type: none"> • Identify Best Solution to Remove Root Causes • Brainstorm Solutions • Pilot Solutions • Optimize Process Outputs • Document Solution Implementation Plan 	• Piloted in May and June 2018
Control:	<ul style="list-style-type: none"> • Identify Ways to Maintain Gains • Select Appropriate Controls • Document Control Plan • Deliver Project Documentation • Celebrate 	• July- September, 2018

LSS Review

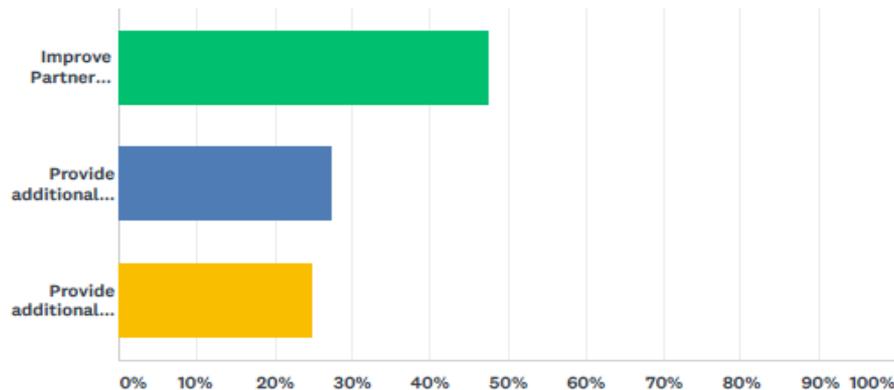
Where have we been and Where are we going



Voice of the Customer – Survey Results

Q20 Which would be the most important change you would recommend to the current grants process?

Answered: 40 Skipped: 0



ANSWER CHOICES

Improve Partner Connect?

Provide additional Partner Connect training?

Provide additional documentation of the process?

TOTAL

RESPONSES

47.50% 19

27.50% 11

25.00% 10

40

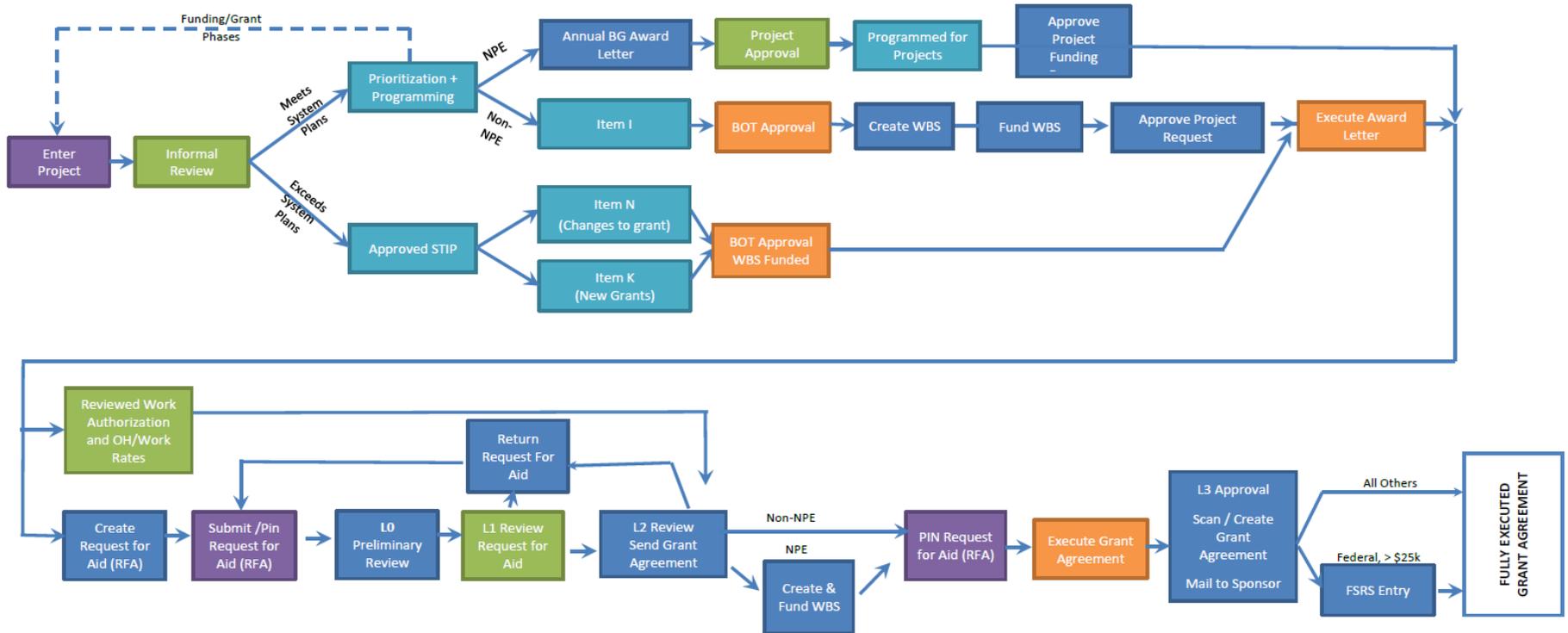
*75% of responses requested assistance with Partner Connect system and was the overall #1 change 'recommended' to the current process

LSS Review

Where have we been and Where are we going



Baseline Process Map

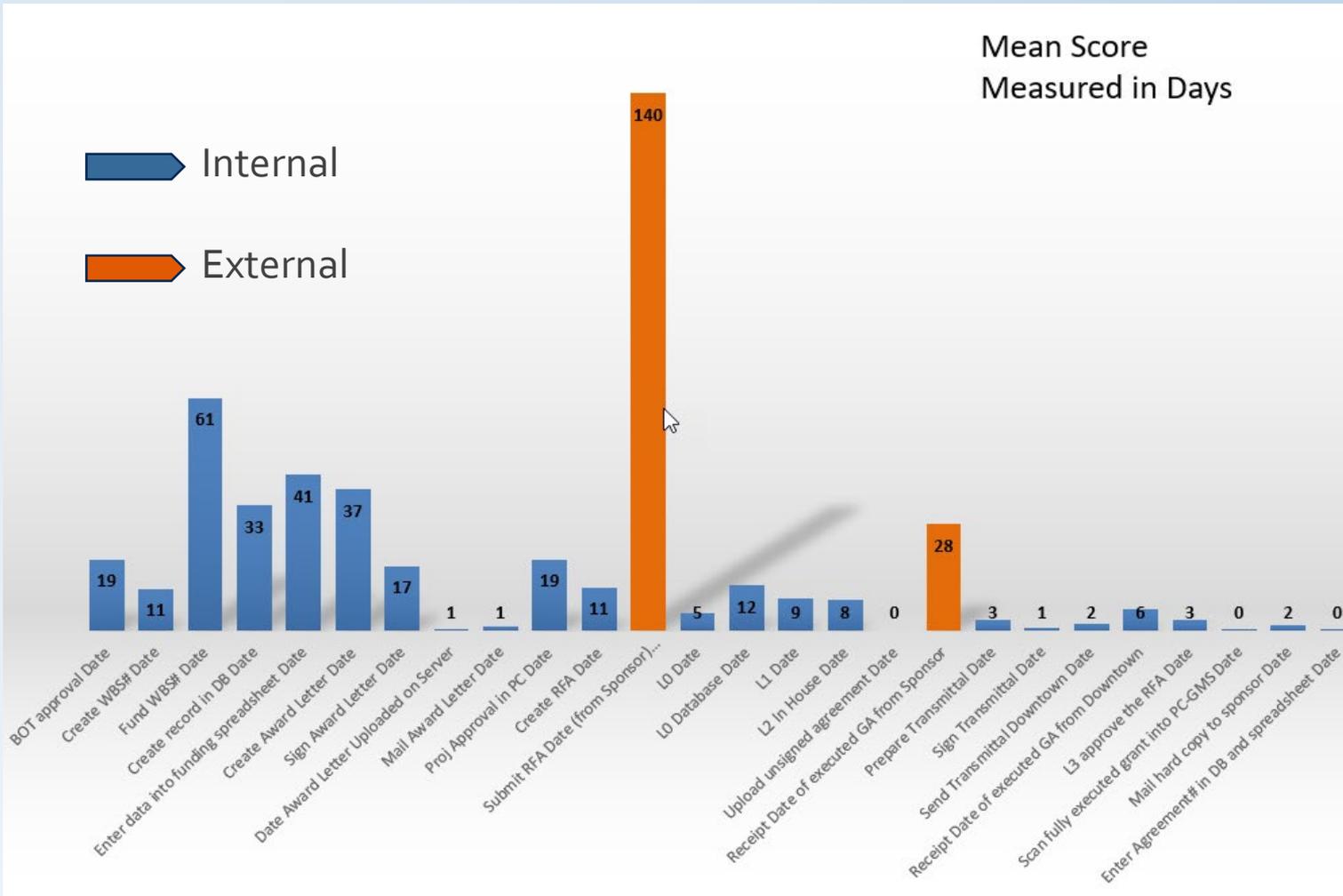


LSS Review

Where have we been and Where are we going



Baseline Data Analysis



LSS Review

Where have we been and Where are we going



8 Waste Identifications

Defects

Systematic process to track in-kind funds

Incomplete application by sponsors

Incorrect documentation from Sponsors

Differences in process for STI projects

Internal processes/procedures not documented

Lack of communication for process changes to customers (internal and external)

Over Processing

Grant modification signatures / approvals

Budget revisions signature / approvals

Managing multiple funding spreadsheets

Award Letter Reviews

Approvals (additional approvals needed due to staffing shortage)

Motion

Scanners and Printers

Handoffs for Approvals (multiple layer of approvals)

Inventory

Multiple copies of the same item

Knowledge of Records Retention

LSS Review

Where have we been and Where are we going



8 Waste Identifications

Overproduction

Separate tracking systems (database entries, triple entering information)

Printing (printing from electronic system)

Retention of records

Reviewing approvals from previous levels

Transportation

Information in different areas of PC

Signature approvals in separate location

Waiting

Corrected data entry from sponsor

Requesting additional documents to complete approval

Waiting for approval signatures (including transportation time)

Series process approval (one PC item at a time grant mod/ payment)

Skills

Lack of training (internal and external as to required documents)

Staff Knowledge and Turnover

LSS Review

Where have we been and Where are we going



The 5 Whys Analysis Partner Connect is difficult to work with



System is only available within Internet Explorer

Why?

Some sponsors are working with older computers and software systems

Why?

Timely responses to technical issues

Why?

System times out with no warning

Why?



Some sponsors do not know what is available or how to access it-COMMUNICATION

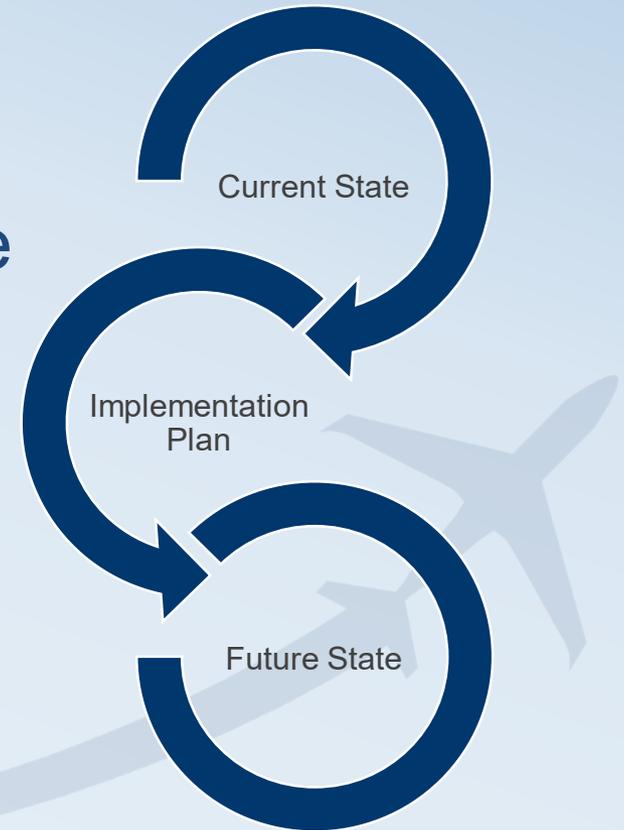
LSS Review

Where have we been and Where are we going



Improve Phase

- Pilot Study
- Post-Improve Data / Future State
- Implementation Plan



LSS Review

Where have we been and Where are we going



We Need YOUR Help Now

Measured in days

Process	Initial	Target	Pilot	Recent Change	Future State
BOT approval Date	19	21	20		21
Create WBS# Date	11	5	4		5
Fund WBS# Date	61	5	5		5
Create record in DB Date	33	3	deleted step		0
Enter data into funding spreadsheet Date	41	0	9		0
Create Award Letter Date	37	5	12		5
Sign Award Letter Date	17	5	2		5
Date Award Letter Uploaded on Server	1	1	1		1
Mail Award Letter Date	1	1	1		1
Proj Approval in PC Date	19	5	2		5
Create RFA Date	11	0	1		0
Submit RFA Date (from Sponsor) APM Review of WA date, IFE, etc	140	120	32		120
L0 Date	5	4	4		4
L0 Database Date	12	0	deleted step		0
L1 Date	9	5	4		5
L2 In House Date	8	4	3		4
Upload unsigned agreement Date	0	0	0		0
Receipt Date of executed GA from Sponsor	28	21	25		21
Prepare Transmittal Date	3	0	2		0
Sign Transmittal Date	1	1	2		1
Send Transmittal Downtown Date	2	5	0	0	0
Receipt Date of executed GA from Downtown	6	7	10	1	1
L3 approve the RFA Date	3	2	4		2
Scan fully executed grant into PC-GMS Date	0	1	3		1
Mail hard copy to sponsor Date	2	1	0		1
Enter Agreement# in DB and spreadsheet Date	0	0	0		0
	468	222	146		208

eliminated steps
process improvement

Recent improvement (since Pilot)



EBS/PC Training

Software Training designed specifically
for Sponsors



Leah Roberts, Business Officer

Just like with inflight entertainment you will have the ability to interact inside the EBS/PC system during this 'hands on' training session.

EBS/PC Training

Software Training designed specifically for Sponsors



Bermuda Triangle



EBS/PC Training

Software Training designed specifically for Sponsors



EBS/Partner Connect Training for Sponsors

Date: TBD

Time: TBD



- Location
 - NCDIT Transportation Training Room
 - New Hope Center
 - 4101 Capital Blvd, Raleigh
- Trainers
 - EBS-Enterprise System Group
 - Manoj Pandya
 - Vimal John
 - DoA Grants Team

EBS/PC Training

Software Training designed specifically for Sponsors



- Registration Required (AirTap will email Registration Details)

- UP to 30 attendees
- Hands On Training For:
 - Requests for Aid
 - Claims
 - Change Requests
 - Tips and Tricks
 - Other Issues / Concerns



EBS/PC Training

Software Training designed specifically for Sponsors



AFTER this training DoA and Sponsors will develop a “wish list” for changes to the system. Example we have submitted 85 requests for changes and 83 have been approved

Only 2 denied

1. Separate Report for Green Airports (not entered into system that way so not able to report out that data)
2. Allow anyone to delete documents uploaded in error (this would allow everyone that has access to entire system –not just Aviation- to be able to delete anything at anytime, NCDIT saw it as a security issue)

EBS/PC Training

Software Training designed specifically for Sponsors



- Preview new tool
 - *Utilities Training Tool*
 - (Creating the Aviation Tool Now-Available Late June)





Details Matter

What YOU can do to get those
Agreements and Claims approved
FASTER

Amy Harber, Grants Technical Consultant

Lack of details or incorrect documentation will cause TURBULENCE and add to turn around times in setting up grants as well as receiving payments.





Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

- Overlooking details causes TURBULENCE for all...

Request for Aid Applications

1. AV-500 (Certification of Local Funds) is no longer required.
2. RS-2 forms (prime or subs) are no longer required.
3. Sponsors are no longer required to *second* PIN the RFA after the Department signs the agreement. It has been removed.
4. Using DocuSign to sign grant agreements expedites approval process.
5. Remember to email DOTAviationGrants@ncdot.gov when uploading a partially signed (by the sponsor) grant agreement or AIP Certifications. *(Do NOT mail hard copies.)*
6. FAA AIP Certifications are only applicable to federally funded projects (WBS starts with 36237); DO NOT UPLOAD FOR STATE FUNDED PROJECTS.
7. FAA AIP Certifications – there are 7 of them. All must be completed. Don't skip questions. Be sure to include pertinent project information at the top of each Certification. Each Certification must be signed and dated.

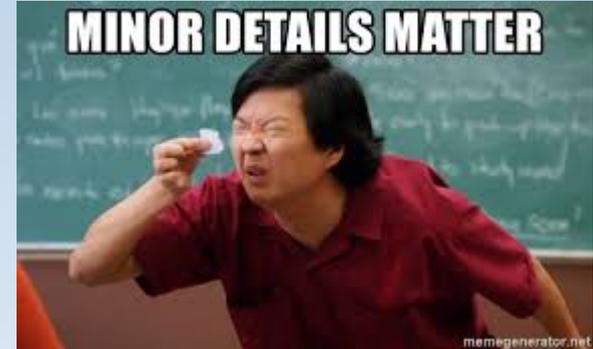




Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

- Overlooking details causes TURBULENCE for all...



Attachments Attachment URL With Template | Advanced Filter:

Actions	Name	Type	Created On
Properties	Signed_Page8 [redacted].pdf	PDF File (Adobe Acroba...	03/01/2019 16:26
Properties	APPROVAL OF REQUEST FOR AID APPLICATION	PDF File (Adobe Acroba...	01/29/2019 13:50
Properties	UNSIGNED AGREEMENT [redacted].pdf	PDF File (Adobe Acroba...	01/29/2019 13:49
Properties	Grant Budget by A Code.pdf	PDF File (Adobe Acroba...	01/10/2019 13:50
Properties	Sponsor Letter Request.pdf	PDF File (Adobe Acroba...	01/10/2019 13:50

Expand ◀ Back 1 2 3 Forward ▶

"Signed_GA_AirportID_WBS"



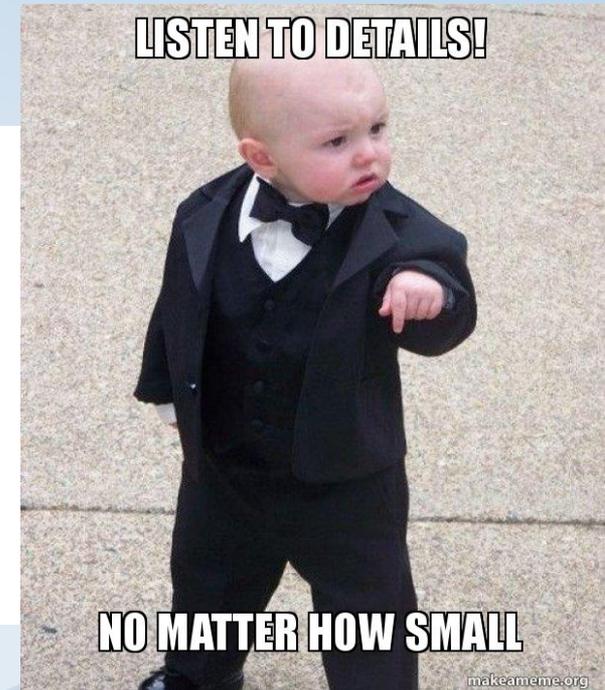
Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

- *Overlooking details causes TURBULENCE for all...*

Before submitting a claim, ask:

- Is the grant expired?
- Are the QSRs current?
- What number claim is this? (ex: 4th claim = 4, not the Invoice #113402)
- Were there vendor payments this period?
- Is this a Final claim?
- Is this an Advance Payment request? If the answer is “No”, then payment verification for all costs in that particular claim must be provided.





Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

**North Carolina Department of Transportation
Division of Aviation
Request for Reimbursement 3000105366**

Project Sponsor:		BRUNSWICK COUNTY DBA CAPE FEAR REGIONAL JETPORT	
Mailing Address:		DBA CAPE FEAR REGIONAL JETPORT 4019 LONG BEACH RD OAK ISLAND, NC 28461	
Federal Project Number:			
Program:		AV_STATE_GRANT - Aviation State Aid	
Agreement Number:		2000022586	
Agreement Period From:		07/01/2015 To: 12/31/2030	
Agreement Description: TERMINAL AREA WATER & SEWER CONSTRUCTION			
Grantee ID:		1000002635	
WBS:		36244.58.10.1	
Invoice Number:*		11	
Date Prepared:*		03/12/2019	
Invoice Period: From:*		02/01/2019	
To:*		03/12/2019	
Final Invoice:*		<input type="radio"/> Yes <input checked="" type="radio"/> No	
DBE/MBE/WBE sub-contractor vendor payments made during this invoice period? * <input type="text" value="No"/>			
Is this an Advance Payment request? * <input type="text" value="No"/>			

Highlighted aspects are data entry points from sponsor/consultant!



Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

Requests for Aid

For week ending 4/11/19 (3 weeks ago)

\$2,111,143

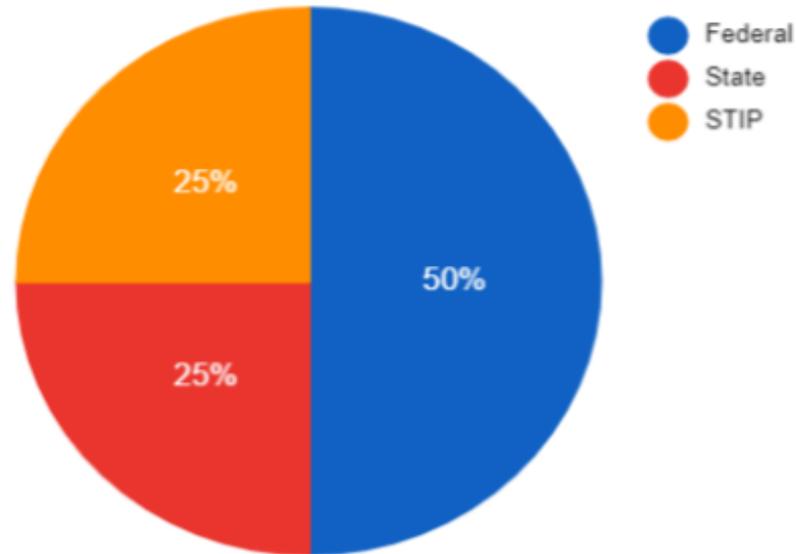
RFA Amount

4

Approved

33.5

Turnaround Time
(Calendar Days)





Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

Requests for Aid

For week ending 4/18/19 (2 weeks ago)

\$1,891,150

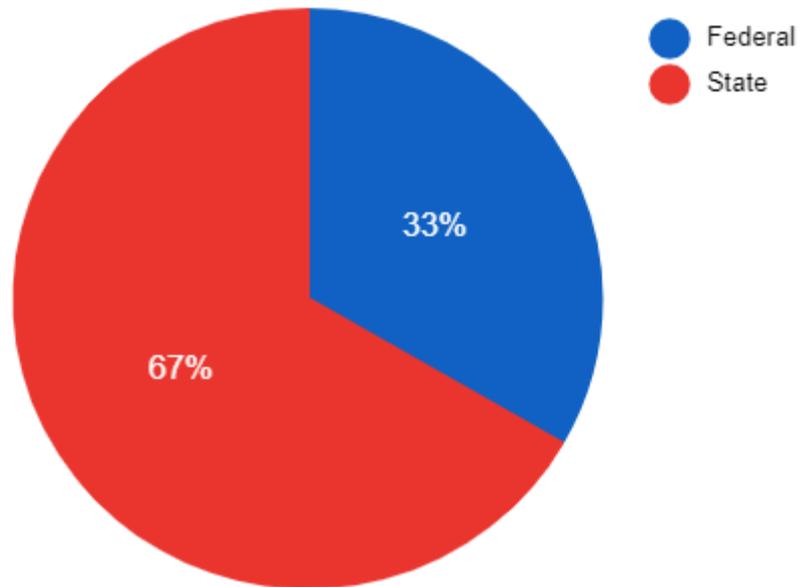
RFA Amount

3

Approved

37.3

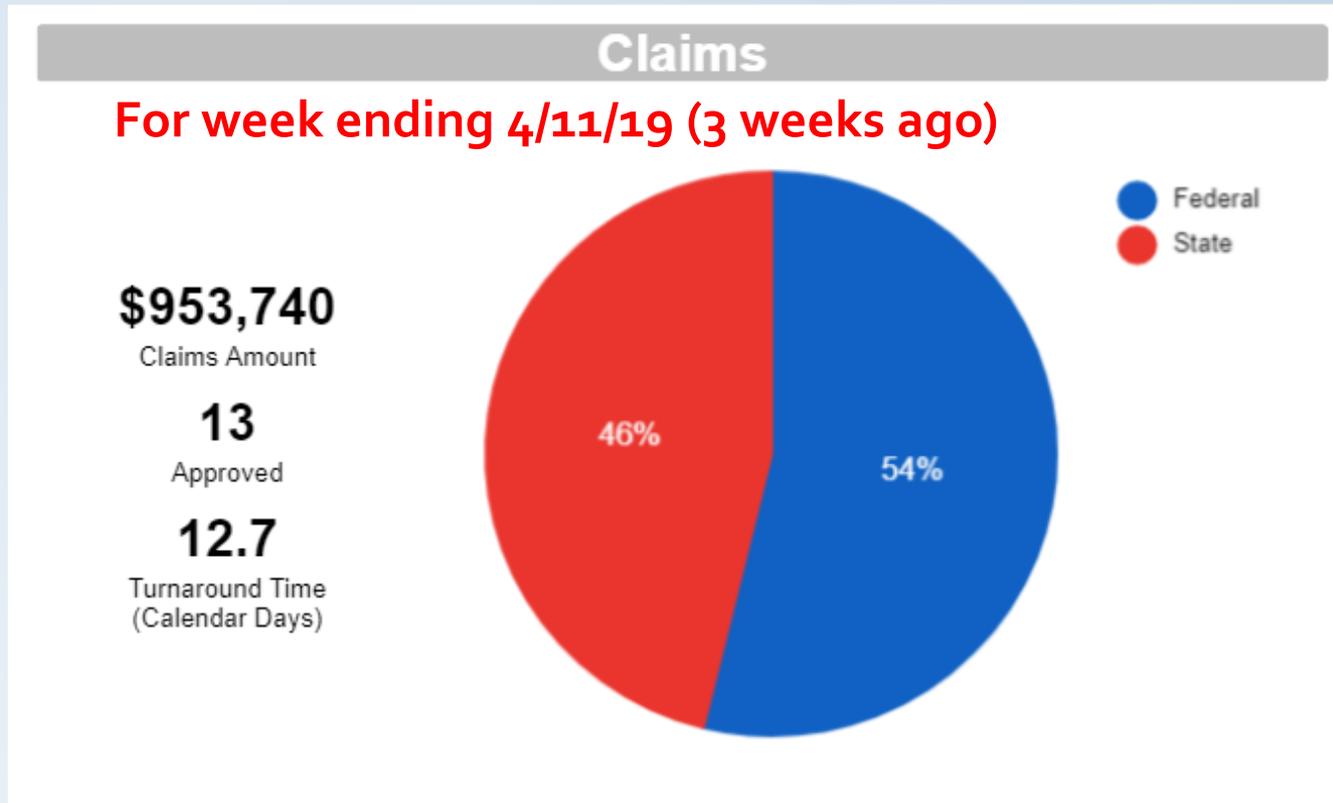
Turnaround Time
(Calendar Days)





Details Matter

What YOU can do to get those Agreements and Claims approved FASTER





Details Matter

What YOU can do to get those Agreements and Claims approved FASTER

Claims

For week ending 4/18/19 (2 weeks ago)

\$1,186,123

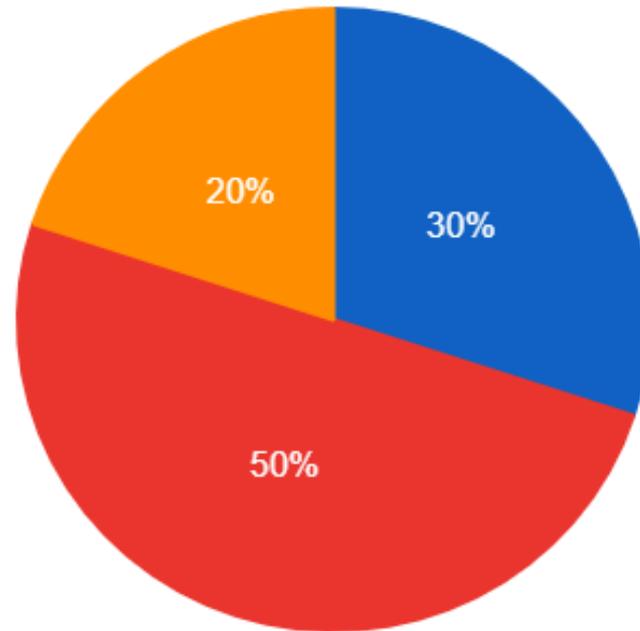
Claims Amount

10

Approved

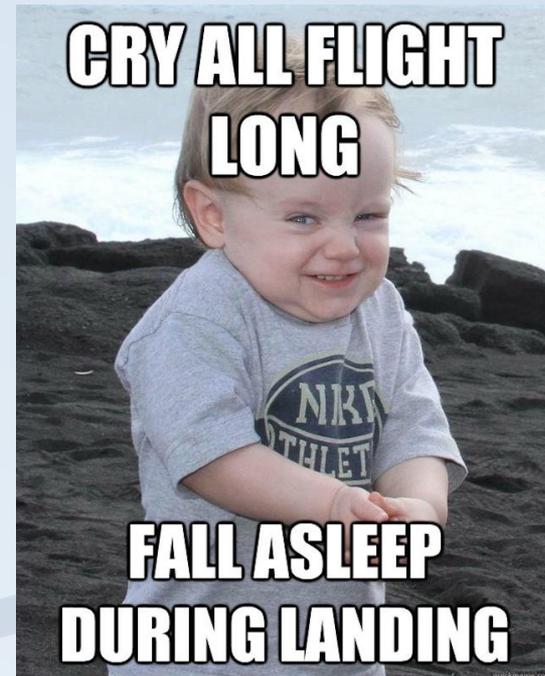
10.1

Turnaround Time
(Calendar Days)



Resources

- FAA Airport Improvement Program Handbook
https://www.faa.gov/airports/aip/aip_handbook/
- NCDOT Connect Website
<https://connect.ncdot.gov/municipalities/State-Airport-Aid/Pages/default.aspx>
- EBS Login Page
<https://www.ebs.nc.gov/irj/portal>
- Grant Email Address
DOTAviationGrants@ncdot.gov



For more information on NC AirTAP or this course:

Ladies and gentlemen, Grants Airways has completed our portion of the presentation. However you are NOT free to roam about. For your safety and the safety of those around you, please remain seated. You will be responsible for removing all those personal items that you refused to take to your car during the break as well as remove any other items you have collected around your space. We are aware that many of you are ready to depart but the Hosting Staff will advise you when they have completed all of their checks for today's event. Even though Grants Airways is your only choice for grant funding we are still honored that you chose to be present today and allow us to help you get more and more money for your airport! Thank you!

For more information on NC AirTAP or this course:

Finance and Grants
NCDOT Division of Aviation
919-814-0550
DOTAviationGrants@ncdot.gov

<https://connect.ncdot.gov/municipalities/State-Airport-Aid/Pages/default.aspx>

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go.ncsu.edu/ncairtap

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