

Date: \_\_\_\_\_ Airport: \_\_\_\_\_ WBS No: \_\_\_\_\_

Change Request No: **40000** Description: \_\_\_\_\_

## 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

☑	Activity	Notes	Submit Via
1	Determine whether a Budget Revision or Grant Modification is required: (a) If change does not include additional funds being requested, then a <u>Budget Revision</u> is required (b) If the new total project cost exceeds the previously awarded grant amount or the project description changes, a <u>Grant Modification</u> is required		
	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. <b>The BOT approval process can take 3-4 months, so it is important to identify this situation early.</b>		
	If additional requested funds are <u>Non-Primary Entitlement</u> or are already included in award, proceed to <b>Step 2</b> .		
	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 & Cash Flow		
2	The following items are required for both a <b>Grant Modification</b> and <b>Budget Revision</b> :		
	Verify the grant expiration	Include request for grant extension, if expired	<b>Partner Connect-Grant Agreement</b>
	"Reason for Change"- Explanation of need for grant modification or budget revision ( <i>submitted via online form</i> )		<b>Partner Connect-Change Request</b>
	<a href="#">AV-502</a> : Quarterly Status Report(s) (QSR)	QSR(s) should be current up to most recently completed quarter. <b>The QSRs are automated in EBS/Partner Connect.</b> The non-construction QSR is required through the design/bid phase. The construction QSR is required with the first construction payment request.	<b>Partner Connect-Grant Agreement</b>
	<a href="#">AV-508</a> : Pre-Bid DBE/MBE/WBE Goal Notification & Certification	Required when adding construction to the scope of the project.  See <a href="#">DBE/WBE/MBE guidance</a> for information on goal setting. Contact your APM if the construction funds (A106) have increased to determine <u>if any DBE/WBE/MBE goals have changed</u> .	<b>Partner Connect-Change Request</b>
	<a href="#">AV-509/AV-510</a> : DBE/MBE/WBE/HUB Vendor Commitments/Awards/Payments <b>OR</b> <a href="#">AV-511</a> : Letter of Intent to Perform as Subcontractor ( <i>only applies if you do not have a subcontractor</i> )	Required when adding construction to the scope of the project.  See <a href="#">DBE/WBE/MBE guidance</a> for information.	<b>Partner Connect-Change Request</b>



☑	Activity	Notes	Submit Via		
	<a href="#">AV-512: DBE/MBE/WBE/HUB Request Replacement</a>	Required when contractor wants to request a replacement of a currently contracted DBE/MBE/WBE/HUB. 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	<b>Partner Connect-Change Request</b>		
	Revised Project Budget and Expense Summary	Include airport name, project descriptions, WBS number, and description of expenses and costs.	<b>Partner Connect-Change Request</b>		
	Justification of A-101 expenses (if applicable)		<b>Partner Connect-Change Request</b>		
	<u>Work Authorization Amendment w/Proposal(s)</u> <b>**Must be executed prior to next claim</b>	Agreements/Proposals including estimated manhours for Subcontractor(s) are required. Work Authorization Amendments are required <b>ONLY</b> if there are professional services. (Example: CA & RPR services with construction)	<b>Partner Connect-Change Request</b>		
	<u>Construction Contract</u> (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.	<b>Partner Connect-Change Request</b>		
	<u>Supporting documentation for Construction</u> (if applicable)	<table border="1" data-bbox="824 940 1224 999"> <tr> <td data-bbox="824 940 1224 968">1. Advertisement to Bid</td> </tr> <tr> <td data-bbox="824 968 1224 999">2. Certified Bid Tab</td> </tr> </table> <p>If this Change Request is based on a construction estimate (not contract), then the above documentation, as well as Pre-Construction documentation should be available when submitting the next reimbursement or advance (claim) for a project.</p>	1. Advertisement to Bid	2. Certified Bid Tab	<b>Partner Connect-Change Request</b>
1. Advertisement to Bid					
2. Certified Bid Tab					
	<u>Executed Construction Contract Change Order</u> (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.	<b>Partner Connect-Change Request</b>		
	In-Kind Summary Report (if applicable)	Please include tracking spreadsheet showing deductions.	<b>Partner Connect-Change Request</b>		
	Updated Sketch or Drawing of Project Area (if applicable)		<b>To APM</b>		
	Updated Project Schedule (if applicable)		<b>To APM</b>		
	Updated Cash Flow (if applicable)		<b>Partner Connect-Change Request</b>		