NC AirTAP
NORTH CAROLINA
Airport Technical Assistance Program

EBS/PC User Training Workshop for Airport Sponsors

NC AirTAP is a program of the N.C. Department of Transportation Division of Aviation, managed by the Institute for Transportation Research and Education at NC State University and supported by the N.C. Airports Association.
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Creating Project Requests in EBS

1. Prior to having an award letter that will result in an Agreement, a Project Request **MUST** be submitted in EBS. No Project Request=No Award=No Agreement=No Claims.

2. Creating and Submitting Project Requests is the FIRST step to a grant. From the home page select “Aviation Proj. Request/Review”.

3. Select your airport from the dropdown menu and select “Next”.

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**Image Description:**
- The image shows a screenshot from the EBS website, specifically the Grants section.
- The user is navigating through the EBS portal to create a project request.
- The airport selection menu is visible, allowing the selection of various airports.

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S:\Grants\Training\EBS TRAINING\201906_EBS-PC Handouts and Presentation\1_Creating Project Requests in EBS.docx 1 of 3
Creating Project Requests in EBS

4. Select “Create New Request”.

5. Enter the Project Request details (required fields include):
   - Description
   - Detailed Description
   - Project Category
   - Project Sub-Category 1
   - Estimated Cost of this Project $

Providing as much information as possible will minimize review efforts/questions.
6. Once the Project Request form is satisfactory, type Sponsor Approval Initials, and then select Save. APMs will review and provide comments or questions as needed.
Submitting Applications in EBS

1. Once Award Letter has been issued an email with subject title: “Aviation Application 100000#### Created” will be sent. From Grants Home page, select “Change Request for Aid Appl”.

2. Search for the Application by entering the last 4 digits of the application with an asterisk. (Ex. *4338). Select “Search”. Then select the Application ID.
Submitting Applications in EBS

3. Verify project and contact information is correct, including Federal/State/Local percentages. Complete form with A-codes, DBE Goals and cash flow info. Upload pertinent information (see AV-101 Checklist) to support the costs associated with the application.

4. Once the documents are uploaded and the form is satisfactory, type name, title, and PIN and submit.

5. Sponsor will receive an email notifying them that the “Unsigned Agreement” was uploaded once the application has gone through internal approvals. Sponsor will have appropriate parties sign agreement and upload to the application and email DOTAviationGrants@ncdot.gov notifying us that the partially signed grant agreement is ready for final signatures.
1. After logging into EBS, select “Change Request for Aid Appl”

2. Search for appropriate application that is in “Award Letter Issued” status, hit enter, select the application.

3. After entering other pertinent info, scroll to the second page and find the Cash Flow table. Cash Flow Total **MUST** match Project Request Amount Total. Enter projected Cash Flow data in table.
4. If Cash Flow projections exceed 1 year, select “Add” to add a row. It’s just as easy to “Remove” the row as well.

Cash Flow Total MUST match Project Req Amt Total
Example below = $500,000

5. Review application. If no changes are needed, proceed to PIN and Submit as usual.

For more information watch this instructional YouTube video:
https://www.youtube.com/watch?v=x9A8b4mYWao
Cash Flow instructions at 05:39 mark
Submitting Claims in EBS

1. Once an Agreement is established the sponsor is allowed to request Reimbursements/Advances against said Agreement. From the home page select “New Reimbursement Request”.

2. Search for Agreement by entering the last 5 digits of the agreement with an asterisk. (Ex. *29197). Select “Search”. Then select the Aviation Reimbursement.
3. Verify project and contact information is correct. Input required data paying close attention to details (see DETAILS MATTER). Only select “Yes” this is an Advance Payment request if ALL of the payment verification will not be provided. Upload pertinent information (see AV-103 Checklist) to support the costs associated with the claim.

4. Enter A-code amounts and any necessary comments.
Submitting Claims in EBS

5. Once the documents are uploaded and the form is satisfactory, type name and PIN, and then select Submit.

6. Sponsor will be notified via email once the claim has been Approved/Returned/Rejected.
Revising Claims in EBS

1. Once a Claim has been submitted to DoA, if revisions need to be made to the claim form then DoA will RETURN the claim noting the requested changes. Select “Change Reimbursement Request”.

   Note: Sponsors can upload additional documentation at any time without the Claim being returned.

2. Search for the Claim by entering the last 5 digits of the claim with an asterisk. (Ex. *79722). Select “Search”. Then select the Claim number.
Revising Claims in EBS

3. Make any necessary changes to the claim form including A-code expenses and comments.

4. Upload any additional documents (such as Payment Verifications that are now available or revised documents to support the changes made) and once the form is satisfactory, type name and PIN, and then select Submit.

5. Sponsor will be notified via email once the claim has been Approved/Returned/Rejected.
Submitting QSRs in EBS

1. From Grants Home page, select “Submit Grant Mod Req/QSR”. If you previously started a Grant Mod Req/QSR but haven’t submitted it, then select “Edit Grant Mod Req/QSR”.

2. Search for the Grant Agreement by entering the last 4 digits of the agreement with an asterisk. (Ex. *5447). Select “Search”. Then select the “Aviation Quarterly Status Report”.

![Image of EBS interface showing search and selected report]
Submitting QSRs in EBS

3. Verify project information is correct. Select quarter for which you’re reporting on, typing in the year. Complete form.

4. Once a claim has been submitted containing Construction charges (anything billed to A106) then the 3rd page of the QSR form must also be completed. Projects that have not billed A106 are not subject to the Construction portion of the QSR form.
Submitting QSRs in EBS

5. Be sure to scroll all the way to the bottom of the form to enter your name and “Submit”.
Submitting Non-Amount Grant Mod (Change Request) in EBS

1. Once an Agreement is established the sponsor is allowed to submit Grant Mod (Change Requests) against said Agreement. From the home page select “Submit Grant Mod Req/QSR”.

2. Search for Agreement by entering the last 5 digits of the agreement with an asterisk. (Ex. *29197). Select “Search”. Then select the Aviation Change Request Form.
Submitting Non-Amount Grant Mod (Change Request) in EBS

3. Verify project and contact information is correct. Input required data paying close attention to details (see DETAILS MATTER). Upload pertinent information (see AV-102 Checklist) to support the changes being requested.

<table>
<thead>
<tr>
<th>CODE</th>
<th>EXPENSE DESCRIPTION</th>
<th>APPROVED BUDGET</th>
<th>CLAIMED AMOUNT</th>
<th>CHANGE AMOUNT (+/-)</th>
<th>PROPOSED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>A101</td>
<td>A:101 - Administrative Exp</td>
<td>$150,000.00</td>
<td>$120,000.00</td>
<td>$30,000.00</td>
<td>$120,000.00</td>
</tr>
<tr>
<td>A102</td>
<td>A:102 - Preliminary Eng., Planning, Testing</td>
<td>$149,000.00</td>
<td>$81,000.00</td>
<td>$68,000.00</td>
<td>$81,000.00</td>
</tr>
<tr>
<td>A103</td>
<td>A:103 - Land Acq., Str./Utility Relocation</td>
<td>$190,000.00</td>
<td>$100,000.00</td>
<td>$90,000.00</td>
<td>$90,000.00</td>
</tr>
<tr>
<td>A104</td>
<td>A:104 - Engineering Services Basic Fees</td>
<td>$190,000.00</td>
<td>$100,000.00</td>
<td>$90,000.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A105</td>
<td>A:105 - Project Inspection, QA, Testing</td>
<td>$100,000.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A106</td>
<td>A:106 - Const. &amp; Project Improvement Cost</td>
<td>$100,000.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A107</td>
<td>A:107 - Equipment(s) onNav aids, Fire Trk</td>
<td>$100,000.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A108</td>
<td>A:108 - Miscellaneous(specify)</td>
<td>$100,000.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A109</td>
<td>A:109 - In Kind</td>
<td>$100,000.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>TOTAL EXPENSES</td>
<td></td>
<td>$600,000.00</td>
<td>$300,000.00</td>
<td>$30,000.00</td>
<td>$300,000.00</td>
</tr>
</tbody>
</table>

Overall change to grant is $0 (non-amount)

4. Once the documents are uploaded and the form is satisfactory, type name and PIN, and then select Submit.

5. Sponsor will be notified via email once the Change Request has been Approved/Returned/Rejected.
Submitting Grant Mod (Change Requests) in EBS

1. Once an Agreement is established the sponsor is allowed to submit Grant Mod (Change Requests) against said Agreement. From the home page select “Submit Grant Mod Req/QSR”.

2. Search for Agreement by entering the last 5 digits of the agreement with an asterisk. (Ex. *29197). Select “Search”. Then select the Aviation Change Request Form.
3. Verify project and contact information is correct. Input required data paying close attention to details (see DETAILS MATTER). Upload pertinent information (see AV-102 Checklist) to support the changes being requested. Awarded amount vs documentation amount

REASON FOR CHANGE: * 
Requesting additional NPE funds be added to allow for additional bid advertisements due to no response on original advertisement.

<table>
<thead>
<tr>
<th>CODE</th>
<th>EXPENSE DESCRIPTION</th>
<th>APPROVED BUDGET</th>
<th>CLAIMED AMOUNT</th>
<th>CHANGE AMOUNT (+/-)</th>
<th>PROPOSED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>A101</td>
<td>A101 - Administrative Expense</td>
<td>$150,500.00</td>
<td>$1,200.00</td>
<td>$250.00</td>
<td>$153,750.00</td>
</tr>
<tr>
<td>A102</td>
<td>A102 - Preliminary Eng., Planning, Testing</td>
<td>$140,500.00</td>
<td>$411.00</td>
<td></td>
<td>$140,911.00</td>
</tr>
<tr>
<td>A103</td>
<td>A103 - Land Acq., Str./Utility Relocation</td>
<td>$100.00</td>
<td>$100.00</td>
<td></td>
<td>$100.00</td>
</tr>
<tr>
<td>A104</td>
<td>A104 - Engineering Services Basic Fees</td>
<td>$100.00</td>
<td>$100.00</td>
<td></td>
<td>$100.00</td>
</tr>
<tr>
<td>A105</td>
<td>A105 - Project Inspection, QA, Testing</td>
<td></td>
<td>$1,000.00</td>
<td></td>
<td>$1,000.00</td>
</tr>
<tr>
<td>A106</td>
<td>A106 - Const. &amp; Project Improvement Cost</td>
<td></td>
<td>$100,000.00</td>
<td></td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A107</td>
<td>A107 - Equipment, e Nav, Fire Truck</td>
<td></td>
<td>$100,000.00</td>
<td></td>
<td>$100,000.00</td>
</tr>
<tr>
<td>A108</td>
<td>A108 - Miscellaneous(specify)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A109</td>
<td>A109 - In Kind</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL EXPENSES</td>
<td>$500,000.00</td>
<td>$2,011.00</td>
<td>$250.00</td>
<td></td>
<td>$500,250.00</td>
</tr>
</tbody>
</table>

Overall change to grant is $250 (increased amount)

4. Once the documents are uploaded and the form is satisfactory, type name and PIN, and then select Submit.

5. Sponsor will be notified via email once the Change Request has been Approved/Returned/Rejected.
**General**

1. Iran Divestment Act certification is no longer required.
2. Hard copies of grant agreements and FAA AIP Certifications no longer need to be mailed to the Division.
3. Notify Grants Staff or your APM of upcoming Board meetings if an application needs to be expedited; we’ll do our best to accommodate.
4. Remember to use the established Naming Convention when uploading documents in EBS/PC. Eventually, this will become a drop-down list that will be required.
5. State funding will expire after two years rather than four.
6. **Applications** in EBS/PC start with 100000xxxx.
7. **Agreements** in EBS/PC start with 200000xxxx.
8. **Claims** (Reimbursements/Advances) in EBS/PC start with 300000xxxx.
9. **Change Requests** in EBS/PC start with 400000xxxx.

**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.

**Claim Requests**

1. Prior to submitting a Claim Form, review in detail to avoid delays and returns.
2. Invoice # = sequential numbering (First Invoice = 1, Second Invoice = 2, etc.); not Invoice # ex. 113402.
3. If no vendor payments were made during this claim period, mark “No”. If “Yes” is marked, a signed AV509-510 form must be provided showing vendor payment details.
4. If this is NOT a FINAL claim request, mark “No”. If “Yes” is marked, closeout documentation must be provided.
5. For Resident Project Representative (RPR) direct costs, a completed RPR form is required (or an equivalent). Meals are only eligible when employee is in overnight status. However, hours must be included to determine meal eligibility. *(Ex. If employee returned home/work by noon, dinner for that same night is not eligible)*
6. Certified Payroll Reports (Federal Form WH-347) must be attached to all A106 expenses for federally-financed construction projects.
7. The 60-day assurance is in effect. The date the claim is submitted must be 60 days or LESS than when the check was paid.
8. For Advance requests, payment verification must be uploaded to coinciding claim within 10 days, showing that payment was made within 3-business days of claim approval.

**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.

Updated 6/19/2019
AV-101: Sponsor Request For Aid (RFA) Checklist
Sponsor use when submitting requests for aid (RFA) to NCDOT-DOA

Section 1: General RFA Requirements
Section 2: RFA Requirements for Construction
Section 3: RFA Requirements for Professional Services
Section 4: RFA Requirements for Land Acquisition

Review the applicable sections to the project. If all the applicable items on this checklist are not provided, the submission package will be considered incomplete and returned. This checklist covers the minimum requirements for a Request for Aid. Please contact your APM if you have additional questions. Grant agreements may be signed through DocuSign to help expedite the application process. Interested Sponsors should contact the Finance and Grants staff.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Notes</th>
<th>Submit Via</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>☑</strong> General RFA Requirements for All Projects</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>AV-508</strong>: Pre-Bid DBE/MBE/WBE Goal Notification &amp; Certification</td>
<td>See <a href="#">DBE/WBE/MBE guidance</a> for information on goal setting.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td><strong>AV-509/AV-510</strong>: DBE/MBE/WBE/HUB Vendor Commitments/Awards/Payments AND <strong>AV-511</strong>, if applicable: Letter of Intent to Perform as Subcontractor (only applies if you do not have a contract)</td>
<td>See <a href="#">DBE/WBE/MBE guidance</a> for information.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td>Work Authorization <strong>Must be executed prior to first reimbursement or advance request</strong></td>
<td>Agreements/Proposals including estimated manhours for Subcontractor(s) are required. Work Authorization is required ONLY if there are professional services.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td>Sketch or Drawing of Project Area</td>
<td></td>
<td>To APM</td>
</tr>
<tr>
<td>Project Schedule</td>
<td></td>
<td>To APM</td>
</tr>
<tr>
<td>Cash Flow</td>
<td>This is required even if there is no local match. Must be uploaded into RFA. If the RFA was issued prior to July 1, 2018 and doesn’t have the Cash Flow template, we will accept a PDF version.</td>
<td>Partner Connect-RFA Application</td>
</tr>
<tr>
<td>Project Budget and Expense Summary</td>
<td>Include airport name, project descriptions, WBS number, and description of expenses and costs.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td>In Kind Summary (if applicable)</td>
<td>Tracking spreadsheet showing deductions.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td>Justification of A-101 expenses (if applicable)</td>
<td>Executed Federal Block Grant AIP Sponsor Certifications (federal agreements only) must be uploaded prior to final approval of the RFA. Please use most current version of the certifications located on the <a href="#">State Airport Aid and FAA State Block Program website</a>.</td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td><strong>☑</strong> Sponsor AIP certifications (7 total) <strong>if applicable</strong></td>
<td></td>
<td>Partner Connect-Request for Aid</td>
</tr>
<tr>
<td></td>
<td>Activity</td>
<td>Notes</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------</td>
<td>-----------------------------------------------------------------------</td>
</tr>
<tr>
<td>2</td>
<td>RFA Requirements for Construction</td>
<td>Supporting documentation includes:</td>
</tr>
<tr>
<td></td>
<td>Construction Contract</td>
<td>1. Advertisement to Bid</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Certified Bid Tab</td>
</tr>
<tr>
<td></td>
<td>Change Order (if applicable)</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>RFA Requirements for Professional Services</td>
<td>Independent Fee Estimate if professional services &gt;$100,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Independent Fee Appraisal if professional services range from $10,000 to $100,000</td>
</tr>
<tr>
<td>4</td>
<td>RFA Requirements for Land Acquisition</td>
<td>Please contact your Airport Project Manager and review the AV-100 (NCDOT GA Program Development Checklist) requirements for Land Acquisition.</td>
</tr>
</tbody>
</table>
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

<table>
<thead>
<tr>
<th>Activity</th>
<th>Notes</th>
<th>Submit Via</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Determine whether a Budget Revision or Grant Modification is required:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) If change does not include additional funds being requested, then a Budget Revision is required</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) If the new total project cost exceeds the previously awarded grant amount or the project description changes, a Grant Modification is required</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>The BOT approval process can take 3-4 months, so it is important to identify this situation early.</td>
</tr>
<tr>
<td></td>
<td>If additional requested funds are Non-Primary Entitlement or are already included in award, proceed to Step 2.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Before submitting a grant modification, please send the following to your APM, if applicable:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) Updated Sketch or Drawing of Project Area</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) Updated Project Schedule &amp; Cash Flow</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>The following items are required for both a Grant Modification and Budget Revision:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>“Reason for Change”- Explanation of need for grant modification or budget revision (submitted via online form)</td>
<td>Include request for grant extension, if expired</td>
</tr>
<tr>
<td></td>
<td>AV-502: Quarterly Status Report(s) (QSR)</td>
<td>QSR(s) should be current up to 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.</td>
</tr>
<tr>
<td></td>
<td>AV-508: Pre-Bid DBE/MBE/WBE Goal Notification &amp; Certification</td>
<td>Required when adding construction to the scope of the project. See DBE/WBE/MBE guidance for information.</td>
</tr>
<tr>
<td></td>
<td>AV-509/AV-510: DBE/MBE/WBE/HUB Vendor Commitments/Awards/Payments OR AV-511: Letter of Intent to Perform as Subcontractor (only applies if you do not have a subcontractor)</td>
<td>Required when adding construction to the scope of the project. See DBE/WBE/MBE guidance for information.</td>
</tr>
<tr>
<td></td>
<td>AV-512: DBE/MBE/WBE/HUB Request Replacement</td>
<td>Required when contractor wants to request a replacement of a currently contracted DBE/MBE/WBE/HUB. Replacement of a DBE</td>
</tr>
<tr>
<td>Activity</td>
<td>Notes</td>
<td>Submit Via</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>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</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revised Project Budget and Expense Summary</td>
<td>Include airport name, project descriptions, WBS number, and description of expenses and costs.</td>
<td>Partner Connect-Change Request</td>
</tr>
<tr>
<td>Justification of A-101 expenses (if applicable)</td>
<td></td>
<td>Partner Connect Request</td>
</tr>
<tr>
<td><strong>Work Authorization Amendment w/Proposal(s)</strong> <strong>Must be executed prior to next claim</strong></td>
<td>Agreements/Proposals including estimated manhours for Subcontractor(s) are required. Work Authorization Amendments are required <strong>ONLY</strong> if there are professional services. (Example: CA &amp; RPR services with construction)</td>
<td>Partner Connect-Change Request</td>
</tr>
<tr>
<td>Construction Contract (if applicable)</td>
<td>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.</td>
<td>Partner Connect-Change Request</td>
</tr>
</tbody>
</table>
| Supporting documentation for Construction (if applicable) | 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 should be available when submitting the next reimbursement or advance (claim) for a project. | Partner Connect-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. | Partner Connect-Change Request |
| In-Kind Summary Report (if applicable)             | Please include tracking spreadsheet showing deductions.                                                                                                                                                  | Partner Connect-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)                  |                                                                                                                                                                                                        | Partner Connect-Change Request |
### 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.

<table>
<thead>
<tr>
<th>☑</th>
<th>Activity</th>
<th>Notes</th>
<th>Submit Via</th>
</tr>
</thead>
<tbody>
<tr>
<td>If a <strong>budget or grant modification</strong> is required, go to the <strong>AV-102 (Sponsor Budget Revision &amp; Grant Modification Request Checklist)</strong> 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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If this is an <strong>initial reimbursement or advance request</strong>, all executed Work Authorizations and Construction contracts with supporting documentation are required. If this is a <strong>final reimbursement or advance request/close out</strong>, 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.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1</strong></td>
<td>For ALL reimbursement or advance requests:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review executed Grant Agreement – If expired, need to request extension of time in Partner Connect.</td>
<td>Partner Connect – Grant Agreement</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>AV-502:</strong> Submit Quarterly Status Report(s) (QSR) or FAA Form 5370-1 to cover the most recently completed quarter.</td>
<td>Partner Connect – Grant Agreement</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>AV-509/AV-510:</strong> DBE/MBE/WBE/HUB Vendor Forms (signed by Sponsor and Contractor)</td>
<td>Partner Connect – Claim</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>AV-515:</strong> Reimbursement or Advance Request Summary</td>
<td>Partner Connect – Claim</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsor Payment verification is required.</td>
<td>Partner Connect – Claim</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **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.**

- **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.**

- **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.**
<table>
<thead>
<tr>
<th>Activity</th>
<th>Notes</th>
<th>Submit Via</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invoices and receipts to support request.</td>
<td>Documentation required depends on contract type. (i.e., lump sum or cost-plus)</td>
<td>Partner Connect – Claim</td>
</tr>
<tr>
<td>RPR Form (or equivalent) for Non-Salary Direct Costs</td>
<td>EQUIVALENT FORM MUST INCLUDE THESE REQUIREMENTS: Employee; Firm; WBS; Travel Date(s); Start/Stop Hours; Hours Not Worked; Start/Stop Location; Purpose of Trip; Mileage Rate; Miles Driven; Lodging Rate; Lodging Tax. Travel expenses incurred in a single trip must be submitted on the same claim.</td>
<td>Partner Connect – Claim</td>
</tr>
<tr>
<td>Executed Construction Contract</td>
<td>Initial reimbursement or advance request (claim) will not be paid until executed construction contract is submitted.</td>
<td>Partner Connect – Grant Agreement</td>
</tr>
<tr>
<td>Pre-Construction Meeting Documentation</td>
<td>Initial reimbursement or advance request (claim) will not be paid until supporting documentation (including agenda/minutes/attendance) is submitted.</td>
<td>Partner Connect – Grant Agreement</td>
</tr>
<tr>
<td>Pay Application/Pay Estimate for Prime Contractor(s) to support request.</td>
<td>If retainage is reduced prior to final contractor invoice, a Partial Waiver of Lien is required. Submit Contractor’s certified sales tax statement, including correct percentage complete and resulting payment calculations. Ensure total sum excludes sales tax.</td>
<td>Partner Connect – Claim</td>
</tr>
<tr>
<td>Certified Payroll Reports (WITHOUT Social Security Numbers, please redact this info.)</td>
<td>For Federally Funded projects ONLY</td>
<td>Partner Connect – Claim</td>
</tr>
<tr>
<td>AV-512 DBE/MBE/WBE/HUB Request Replacement Form</td>
<td>If applicable</td>
<td>Partner Connect – Claim</td>
</tr>
<tr>
<td>Contractor’s Affidavit of Payment of Debts and Claims (sometimes also called Final Waiver of Lien or Affidavit of Release of Liens)</td>
<td>If the dollar amount on the waiver is NOT zero, a payment verification for the exact amount shown on the waiver MUST be included. Example: AIA G706</td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Notarized Consent of Surety with Power of Attorney if bank handled funding (if applicable)</td>
<td>Example: AIA G707</td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Separate Releases or Waivers of Liens from Subcontractors (if applicable)</td>
<td></td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Final Change Orders with all supporting documentation (if applicable)</td>
<td></td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Final Statement Letter from contractor (2012 DOT Standard Spec 107-24 &amp; 109-10)</td>
<td>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.</td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Contractor Warranty Statement from the contractor complying with contract</td>
<td></td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>AV-514: DBE Payment Shortfall Form (if applicable)</td>
<td></td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Payment verification: i.e., cancelled checks</td>
<td>Contact the NCDOA Grants Administrator if you require accommodations to meet this requirement.</td>
<td>Partner Connect - Claim</td>
</tr>
<tr>
<td>Step</td>
<td>Condition</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>------------</td>
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</tr>
<tr>
<td>5</td>
<td>IF: This reimbursement or advance request contains <strong>final professional services invoice</strong> &lt;br&gt; THEN: Verify the following items from the AV-100 have been submitted</td>
<td>To APM &lt;br&gt; (submit electronically)</td>
</tr>
<tr>
<td>6</td>
<td>IF: This reimbursement or advance request contains <strong>land acquisition</strong> &lt;br&gt; THEN: Submit a separate binder to include items on the AV-100 checklist</td>
<td>Partner Connect - Claim</td>
</tr>
</tbody>
</table>
In October 2018, the Division of Aviation Lean Six Sigma Team completed its *Streamlining the Aviation Grant Application Process Project*. This year-long effort identified opportunities to improve grant workflow efficiency and deliver better customer service to its airport sponsors. **On December 13, 2018, the Division will introduce 18 grants updates and changes to help accomplish these goals.** These improvements, which will also more fully align the Division and its sponsors with state and federal grant regulations, are listed below and affect grant agreements, grant documents, EBS/Partner Connect, claims, and compliance monitoring. This communication is being provided so that airport sponsors may review these updates and changes and make any necessary adjustments to their own workflow ahead of implementation.

### Grant Agreements

1. **Grant agreement language has been updated.** The Division has revised its grant agreement language and will be using three different grant agreement documents: state-funded, federal-funded, and split-funded grants. Sponsors should review the new grant agreement language entirely. The most notable changes include: clearer verbiage for period of performance, pre-award costs, and change order eligibility; current Title VI assurances; a simpler signature page; clarification of reimbursements and advance payments; a 60-day claim requirement for reimbursements; and clarification of the three business day requirement for advanced funds.

2. **Grant agreements may be signed through DocuSign.** The sponsor has the option to use DocuSign as a legal signature on the grant agreement. Interested sponsors should contact a member of the Finance and Grants staff or their APM for more information.

3. **State funding will expire after two years rather than four.** This change aligns with the state’s biennial budget schedule and NCDOT policy that project funds may be reserved for a maximum of two years. Federal funding will remain on a four year schedule.

4. **Grant agreements with federal funds will reference and include a cover letter outlining the sources and expiration dates of federal funds.** This change helps ensure compliance with period of performance requirements outlined in 2 CFR 200.309.

### EBS/Partner Connect

1. **Sponsors are no longer required to second PIN the Request for Aid (RFA) after the Department signs the application.** The second PIN was determined to be unnecessary and will be removed from the RFA.

2. **Naming conventions will be required in an upcoming EBS/Partner Connect system update.** Effective Spring 2019 (expected), the system will require sponsors to choose a document type from a drop down box before a document can be uploaded.

### Finance and Grants Staff

We are proud to serve the State of North Carolina and its vital airport system. Please feel free to contact us or your APM with questions about these improvements to our grants program.

- **Joseph Gilroy** - Manager of Finance and Grants
- **Betsy Beam** - Grants Administrator
- **Rachel Fogleman** - Grants Compliance Monitor
- **Amy Harber** - Grants Technical Consultant
- **Cindy Reilly** - Accounting Clerk
- **Leah Roberts** - Business Officer

NCDOT Division of Aviation  
(919) 814-0550 | ncdot.gov/aviation
GRANT DOCUMENTATION

1. Sponsors are not required to upload RS-2 forms for the grants process. The NCDOT Office of Civil Rights has determined that the RS-2 form duplicates effort as this information is already in the Work Authorization. Therefore, RS-2 forms are no longer required for the grant process but are still required for on-call projects.

2. Certified payroll reports (Federal Form WH-347) must be attached to all A106 expenses for federally-financed construction projects. A recent audit of the Division’s federal grants required that the reports be attached in accordance with the Davis-Bacon Act.

3. There are now two different Quarterly Status Reports: construction and non-construction. This is automated in EBS/Partner Connect. The non-construction QSR will be required through the design/bid phase. The construction QSR will be required with the first construction reimbursement request. Signed QSRs are required for the quarter in which the grant is executed and every completed quarter up to the time of closeout.

4. Sponsors will receive an automated email reminder when QSRs are due. Expected to launch in January 2019, sponsors will receive only one email regardless of how many open grants the sponsor has.

CLAIMS

1. The claim form now includes a drop-down menu for the sponsor to indicate whether the claim is a request for advance payment or reimbursement. Requests for advance payment (payment has not yet been made to the vendor) and reimbursement (payment has been made to the vendor) cannot be combined on one form because different rules apply to each.

2. Advanced funds must be disbursed within three business days. When requesting advanced funds, the sponsor must check the box on the claim form certifying its need for advanced funds for an approved project expense and that the payment will be made within three business days. The disbursement within three business days will be verified on the Division’s next payment verification check.

3. Reimbursement claims must be submitted to the Division within 60 days of payment to the vendor. If an expense was incurred prior to an executed grant agreement and is an allowable cost in the approved project budget, a claim for reimbursement must be submitted within 60 days of the executed grant agreement.

4. Each claim submitted must be rounded up to the nearest whole dollar. This change will help the Division align the EBS/Partner Connect system to the Department’s financial system. When a claim is submitted, the sponsor must round up to the nearest dollar before submitting the claim to the Division.

5. The Division will adhere to the NCDOT standard fee (profit margin). As of January 2018, the standard fee for professional services contracts is 9%. The Division will automatically adopt any future changes to the Department’s standard fee.

6. The RPR form (travel expenses) has been updated. When claiming travel expenses, sponsors must complete and attach an RPR form and all required source documentation (i.e., hotel receipts, mileage logs, pre-approval for overages, etc.) to the claim. Sponsors may use an equivalent travel form, but it must include all of the information required on the RPR.

Thank you for your attention and cooperation with our grant program improvements. We welcome your feedback before and after our December 13, 2018 implementation.
In December 2018, the Division of Aviation introduced 18 grant updates and changes to help improve grant workflow efficiency and deliver better customer service to airport sponsors. Your cooperation and feedback over the last two months have greatly contributed to the successful implementation of these improvements. The following updates, changes, and guidance are largely based on input received from sponsors, consultants, Airport Project Managers, and others. They are effective immediately unless otherwise noted. Also included are several reminders and clarification about December 2018 updates, which we hope you will find helpful. Thank you for your continued assistance and support of our grant program.

**EBS/PARTNER CONNECT**

1. **A waiver of lien is required with the final construction invoice.** If the dollar amount on the waiver is not zero, a payment verification for the exact amount shown on the waiver must be included. Please note that a final construction invoice may not necessarily be a final grant invoice.

2. **Reminder that naming conventions will be required in an upcoming EBS/Partner Connect system update.** Beginning in early Spring 2019, EBS/Partner Connect will require sponsors to choose a document type from a drop-down box before a document can be uploaded.

**COMPLIANCE MONITORING**

1. **Reminder that the Division is developing a risk-based subrecipient compliance monitoring plan.** Beginning in Spring 2019 (expected), the Division will use information gathered from sponsors on the Internal Control Questionnaire and other provided sources to conduct a risk assessment, which will help DoA prioritize airport projects and ensure sponsor compliance with applicable statutes, regulations, and terms of the grant agreement.

2. **The Division is working with NCDOT and the FAA to revise the AV-509/510 form by Summer 2019.** This will allow for more consistent reporting of DBE/WBE/MBE goals and all vendor payments to ensure compliance with federal and state requirements.

**GRANT AGREEMENTS**

1. **Reminder that grant agreements may be signed through DocuSign to help expedite the application process.** Interested sponsors should contact a member of the Finance and Grants staff or their APM for more information.

**NEW RFA/GRANT AGREEMENT SIGNATURE PROCESS**

1. Sponsor receives an Approval for Request for Aid Application email.

2. If DocuSign is not being used, the sponsor prints one copy and completes the signature page. The first page date must be left blank, as it will be completed by NCDOT.

3. Sponsor uploads the signed agreement into EBS/Partner Connect under the application.

4. Sponsor signs and uploads all seven AIP Sponsor Certifications for all federal grant agreements. Please use the most current version of the certifications and all other forms. These are available on the DoA website.

5. Sponsor sends an email to DOTAviationGrants@ncdot.gov stating that the signed agreement has been uploaded. Please do not mail hard copies of the agreements to DoA.

6. DoA facilitates execution of the sponsor-signed agreement.

7. DoA uploads the fully signed agreement into EBS/Partner Connect and notifies the sponsor via system-generated email.
**GRANT DOCUMENTATION**

1. **The AV-500 (Certification of Local Funds) is no longer required.** The Division has determined that the form is unnecessary because the certification of local funds is made when the grant application is pinned.

2. **Beginning in April, sponsors will receive an automated email reminder when QSRs are due.** An email will be sent for each open grant. Construction and non-construction forms have been combined. QSRs are required for the quarter in which the grant was executed and every completed quarter up to the time of closeout.

3. **QSRs must be submitted in the EBS/Partner Connect Change Request Module.** Beginning with QSRs due April 1, 2019, the Division will no longer accept PDFs of older QSR forms. The sponsor’s or representative’s name and date will be required at the bottom of the form.

4. **Time extensions must be requested in the EBS/Partner Connect Change Request Module.** PDFs of the AV-507 to extend expiring grant agreements will no longer be accepted.

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**CLAIMS**

1. **Reminder that advanced funds must be disbursed within three business days.** The disbursement within three business days will be monitored and verified by the Division at least quarterly.

2. **Reminder that requests for reimbursement, including travel expenses, must be submitted to the Division within 60 days of payment to the vendor.** Also, if an expense was incurred prior to an executed grant agreement and is an allowable cost in the approved project budget, a claim must be submitted within 60 days of the executed grant agreement.

3. **Each claim submitted must be rounded up to the nearest whole dollar.** This system change was planned for December 2018 and was included in that month’s Grant Update. However, the EBS/Partner Connect update could not be completed until February. The system change is now complete and in effect.

4. **The Division has established additional maximum costs for reproduction.** Maximum allowable costs for print and copy sizes not included on the NCDOT Maximum Allowable Non-Salary Direct Costs memo will be maintained by the Division of Aviation and posted on its Connect DOT: Business Partner Resources web page.

5. **Travel expenses incurred in a single trip must be submitted on the same claim.** For example, please do not submit a reimbursement request for lodging expenses on one claim and mileage expenses from the same trip on the next claim. Please submit both expenses on the same claim.

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**BUSINESS PARTNER RESOURCES**

The Division’s Connect DOT: Business Partner Resources web page contains many resources to help you manage and promote your airport, such as:

- **North Carolina: The State of Aviation Economic Impact Brochure** and fact sheet
- Grant checklists, guidance, and required forms
- Airport development resource documents
- Information about the Division’s NC Airport Technical Assistance Program (NC AirTAP)

Please visit Connect DOT: Business Partner Resources at connect.ncdot.gov/municipalities/State-Airport-Aid/pages/default.aspx

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**FINANCE AND GRANTS STAFF**

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**NCDOT Division of Aviation**  
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(919) 814-0550 | ncdot.gov/aviation
Grant Email Address
DOTAviationGrants@ncdot.gov

NCDOT Connect Website
https://connect.ncdot.gov/municipalities/State-Airport-Aid/Pages/default.aspx

EBS Login Page
https://www.ebs.nc.gov/irj/portal

EBS SUPPORT SERVICES
919-707-2208

DOT Help Desk
919-707-7000