PARTNER
connect

Sub-recipient Training

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The PTD Partner Connect sub-recipient training guide will provide you with step-by-step instructions and procedures for submitting applications for federal and/or state funded grants, claims, and change requests. Partner Connect was implemented fiscal year 2011 (FY11) to replace purchase orders in the SAP system. The first projects entered in Partner Connect were the FY11 Targeted Transit Assistant Program (TTAP) which includes: 5310 Elderly Individuals and Individuals with Disabilities Program, 5316 Job Access Reverse Commute Program (JARC), and 5317 New Freedom Initiative Program. It was later followed by the FY12 5311 Community Transportation System Program (CT). Sub-recipients in the past had to submit paper applications that were eventually converted into purchase orders in SAP by the Financial Management section. The same applied when sub-recipients had to submit reimbursement requests (now known as claims). Partner Connect will make applying for grants easier and expedite the process for claims. This system is actually a simple one to learn. While reviewing this training guide it will appear some information is being repeated. The more familiar you get with the system, you'll notice the similarities when navigating and processing applications, claims, and change requests.

Terms

Application = Grant Applications. Applications start with the number one. i.e. 100000XXXX. (Usually completed by sub-recipients after a call for projects is announced).

Agreement = Approved Contract between NCDOT-PTD and the sub-recipient. Agreements start with the number two. i.e. 200000XXXX

Claim = Invoice (previously referred to as reimbursement request). Claims start with the number three. i.e. 300000XXXX

Change Request = Revision. Change Requests start with the number four 400000XXXX. The sub-recipient will move funds in between line items within the agreement not changing the overall total. A Change Request turns into an Amendment when the overall amount of the Agreement increases or decreases.

SR_Applicant (Sub-recipient)= Grantee Organization

PIN = an electronic signature and password are unique to a specific person

PTD = NC Department of Transportation – Public Transportation Division

Getting Started

A PTD Security Form must be completed in order to gain access into Partner Connect. The form is located at http://www.ncdot.gov/nctransit/download/Grants/PTDSecurityForm.pdf.

Follow the instructions when completing this form

<u>Grants Management Access Authorization – Sample Form</u>

The new Grant Management System requires a User ID and Password for access in the system. Complete Section 1 for a User ID and Password only, which will allow you to view, but not submit any information connected to a Grant. If you are going to perform work within the Grants System (i.e. submit an application, submit a claim, or make changes to an agreement), you must complete Section 1 and 2 for a PIN. No more than three (3) PIN's will be issued per agency. A separate form will be required for each User ID and PIN issuance. Scan, attach and email the form to the PTD Security Coordinator at ctptransportation@ncdot.gov.

Section 1 - User ID Information

First Name: *_____ Last Name: * _____
Agency: * _____
Agency Address: *_____
Title: * _____
Telephone: *_____ Ext:* _____ Fax: * _____
Email: * _____
Secure 8 digit number: * _____
If you forget your password, you will need this 8 digit # to retrieve your information. It is suggested to use the last 4 digits of your SSN & birthday (MMDD). After your application has received security clearance, you will be emailed your personal User ID and temporary password to access the system. You must create a new password prior to logging into the Grants System for the first time

Section 2 - PIN Request Information

Final approval of Application, Claims for Reimbursement and Change Request forms will require the use of a PIN. A PIN represents an electronic signature and is unique to a specific person. In order for GHSP to issue a PIN, you must be an active employee of the department and the person responsible for the role. The following roles require the use of a PIN, please check which application you will be responsible for pining (signing).

☐   Submit Final Application
☐   Create/Submit Claims for Reimbursement
☐   Create/Submit Change Request
Choose a PIN with a minimum of 4 characters. PIN Number: _____

I certify information above is accurate and I am the authorized person to perform the duties listed.
Print Name: * _____
Signature: * _____
Agency Head/Authorized Official Signature: _____
*As agency head/authorized official, I understand that allowing someone to request a pin permits them to sign documents for this agency.

The sub-recipient will receive a User ID and password via email after the form is approved.

Please note: A Delegation of Authority form will be needed if a new Authorized Official signs the form.

Logging into Partner Connect

Go to https://partner.ncdot.gov

1. Enter your Grants System User ID in the User ID* field
2. Enter your system Password in the Password* field
3. The Warning and Consent Notice will appear. Click OK.
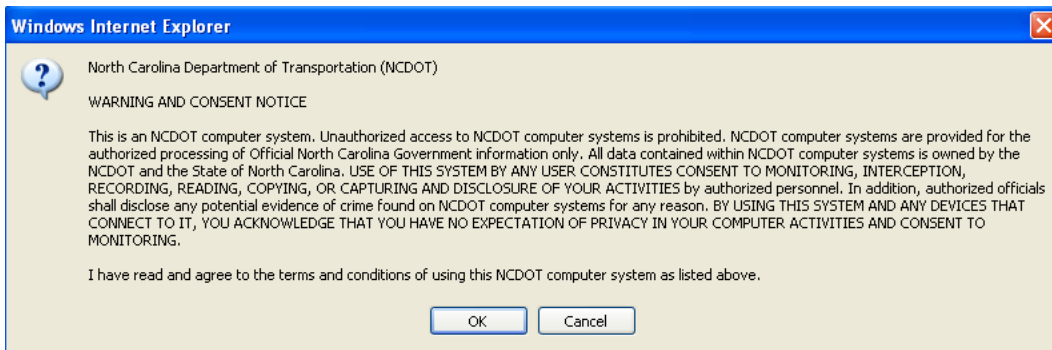
4. The Welcome to the NCDOT Grant Administration Web Portal appears. Click Grants to launch the application.
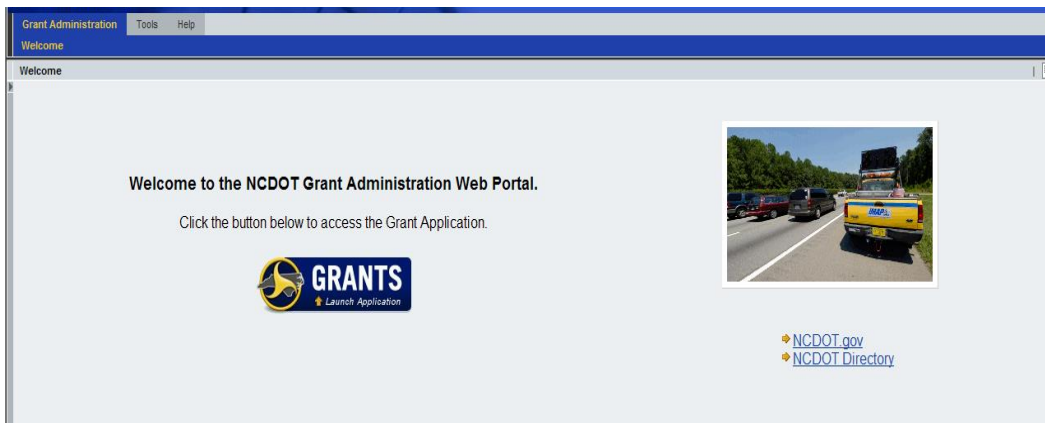
Note: If you forgot your User ID, Password, or PIN number, call NCDOT Help Desk at (919) 707-7000 or 1-800-368-2778. Let the Help Desk technician know you are an external user for the Grants System. You will be asked to provide the security code that you entered on the security form. Do not call the NCDOT Help Desk for a Security form to gain access into Partner Connect.

Home Screen

Click Help to access the original step-by-step training guide which is the source of this manual.

NCDOT NORTH CAROLINA DEPARTMENT OF TRANSPORTATION	**GRANTS**

Saved Searches ▾ [▾] Go Advanced

Home   ◁ Back ▾ ▣ ▾

Grants Home

Help

FAQ's

Recent Items
- 3000001224
- 3000001225
- 3000000188
- 3000001226
- 3000001105

Grant Processes   ▫ ×

New Application
Display Application
Change Application
View Agreement
Submit Change Request
Edit Change Request
New Claim
Review Claim
Change Claims
View Program/Grants

Menu options for submitting applications, claims, change requests, and reviewing agreements

Functions for capturing awards and payments to Disadvantaged, Minority, and Women Business Enterprises   ▫ ×

Maintain Sub Contractor Awards
Enter Sub Contractor Payments

This box shows items recently worked on. In this case claims. **Do not access claims, applications, etc. through Recent Items if you plan to make any changes.**

Provides information such as terminology and technical support information.

Note: Certain items may not be shown as above if all the boxes are not checked in the Grants Authorization Access form.
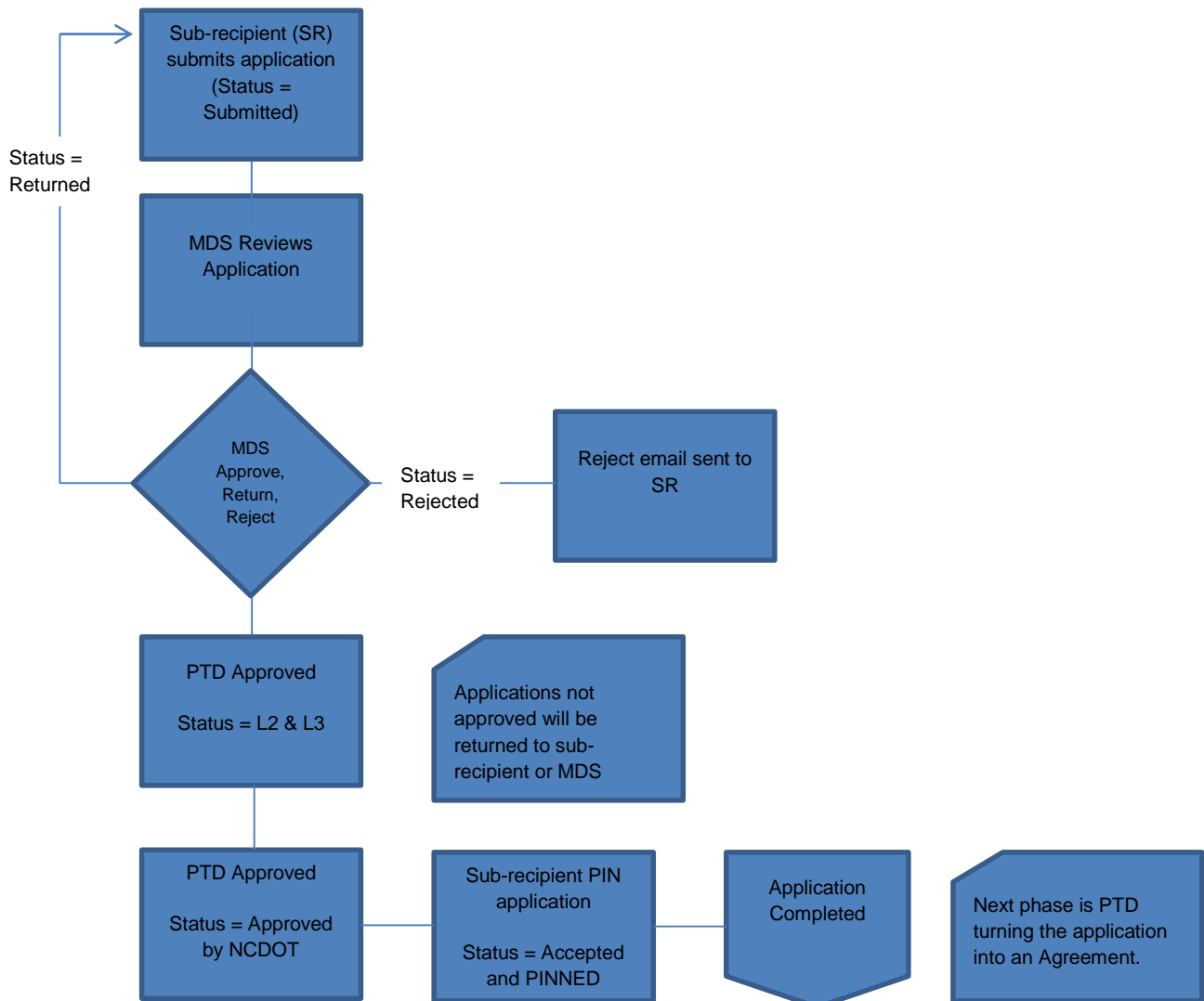
Applications

Submitting New Applications

Background: Prior to Partner Connect, sub-recipients submitted paper applications requesting funding for a particular project and submitted it to PTD. The applications were either emailed or downloaded from PTD's website. Many of the existing procedures in the past are still in effect; however, it is now done online with Partner Connect.

Procedures: Sub-recipients will start submitting applications when there is a "Call for Projects." Previously awarded sub-recipients will receive an all-hands email notifying what projects are available to apply for and the deadline applications are due. Sub-recipients who never received a grant from NCDOT-PTD need to check our website regularly. Go to www.ncdot.gov. Scroll down and click on Public Transportation. On the right hand side click Connect NCDOT. Next scroll down until you see Public Transportation Grants and ARRA. Next, scroll until you see Grants Documents. You'll see how many applications are open and documents related to the grant. Contact the Mobility Development Specialist (MDS) for the region of the sub-recipient to answer any questions. A list showing the MDS' regions is located at the end of this document. The MDS for your region will supply you with a checklist for all the required documentation that needs to be attached prior to submitting the application to PTD.

Application Process

Tips on searching for applications

Before we focus on applications it is important to understand how to search for them. Clicking the Search button will display all the applications at once. To narrow the search, go to the Program ID. For example, if you are looking for a 5311 application for FY2015 Admin. The name in Partner Connect for a FY15 5311 Admin application is P2015_5311_Admin. In other words, an application name starts with the letter *P* with no space the *fiscal year* underscore *project number* underscore *budget type*. Therefore, you can narrow the search by typing P2015_5311* in Program ID to display all the FY15 5311 applications which consists of Admin, Operating, and Capital. Typing *5311* displays all the 5311 applications regardless of the fiscal year or budget type. The same applies if typing *Admin* which would display all Admin applications, although it may not be restricted to 5311 projects. It is important to know this short cut since you will be dealing with different applications over time. The same search tips apply to agreements, claims, and change requests.

From the Grants Home Page click on New Application. Click on the blue Application Form link that you are applying for. Make sure you view the Program ID year and the type of program. Filling out the wrong application will be rejected by PTD staff and the sub-recipient will have to fill out a new application.

The Application Forms listed below are listed this way when only the Search button is clicked. Without narrowing the search the sub-recipient will have to navigate through several pages to find the appropriate application. Please by mindful PTD creates new application each fiscal year which create a longer list over time.

GRANTS

Search: Application Form   ◘ Back ▾ ◘ ▾

Search Criteria   Hide Search Fields

Program ID	▾	is	▾		▢	✚ ➖
Status	▾	is	▾		▢	✚ ➖
Program Type	▾	is	▾		▾	✚ ➖

Maximum Number of Results 100

[Search] [Clear]   Save Search As [   ] 💾 Save

Result List

Application Form	Program ID
PTD Admin & Operating Application	P2011_5317_OPER
PTD Planning Application	P2012_5303_PLANNING
PTD Planning Application	P2012_5307_CAP
PTD Planning Application	P2012_5307_PLANNING
PTD Planning Application	P2012_5309_CAP
PTD Capital Application	P2012_5310_CAPITAL
PTD Admin & Operating Application	P2012_5310_MOBILITY
PTD Admin & Operating Application	P2012_5310_OPERATING
PTD Admin & Operating Application	P2012_5311_ADMIN
PTD Capital Application	P2012_5311_CAPITAL

◀ Back 1 2 3 4 5 6 Forward ▶

FY13 Community Transportation Admin.

Project Number :

BUDGET SUMMARY

November 2011 - June 2013

Legal Name:	ALBEMARLE REGIONAL HEALTH SERVICES	
Address:	PO Box 189 ELIZABETH CITY, NC 27907	
County:		Congressional District:
Contact Person:		
Telephone:		
Fax:		
Email:		
Web Site:		
Federal ID Number: 56-6000798		DUNS Number:
CFDA #		
Period of Performance: Nov 1, 2011 to Jun 30, 2013	Federal Billable/Non-Billable	Billable

I. Total Project Expenditures

(NCDOT Maximum Participation Amounts)	Requested	NCDOT Use Only
Total Expenses	$0	
Total Contra Accts and Fare Revenue		
Total Net Expenses/Cost	$0	

II. Proposed Project Funding*

	Total	Federal	Federal Non-Billing	NCDOT	Local
Total Funding	$0	$0	$0	$0	$0

IV. Proposed DBE, MBE, WBE Goals (Enter DBE Goal if Federal Funding applies, otherwise enter MBE/WBE Goals)

	DBE	MBE	WBE
%			
Amount	$0	$0	$0

The following information is displayed automatically in the header portion of the form:

- Legal Name, Address, Federal ID Number, and Period of Performance
- Leave the Project Number blank. PTD will insert this number

I. Total Project Expenditures

- These fields will calculate automatically after completion of the form

II. Proposed Project Funding

- Enter the Federal, State, and Local participation. Choose between Federal Billable or Non-billable. The split must total 100%. Billable is Federal funds administered by PTD. Non-billable is when the sub-recipient requests Federal funds directly from FTA. In most cases it applies to 5307 and 5309 projects.

IV. Proposed DBE, MBE, WBE Goals…

- Complete if applicable

The fields colored blue are active and this is where information will be completed. This information is self-explanatory.

Proposed Budget Expenses

Enter the total amount of funds being requested per line item in the blue active fields. Repeat this step for each line item.

<u>Submit/Saving Applications</u>

It is important to review an application before submission. At the bottom of the form, three red buttons will appear: Check, Save, and Submit:

- Check: Click this button first to see if all the mandatory fields were entered. If not, the system will give an error message. Please note if no error messages are given it does not mean the application was filled out correctly. It means all the mandatory fields have been completed.
- Save: A sub-recipient can save an application without it being submitted to PTD. Saving it allows a sub-recipient to continue working on it at a later time.
- Submit: This button sends an application to PTD through the workflow for review. A sub-recipient will not be able to make any changes, but additional attachments may be added when requested.

AUTHORIZING SUB-RECIPIENT SIGNATURE

☐ The information supplied in this claim is true to the best of my knowledge, and conforms with the terms and conditions of this agreement.

Name: [   ] PIN [   ] Date: (mm/dd/yyyy)* 08/01/2012

Check **Save** **Submit**

To submit an application the sub-recipient needs to:

- Check the acknowledgement box
- Type in the Name of the person submitting the application (First and Last)
- PIN number
- Date
- Click "Submit"
- Record the application number issued by Partner Connect. i.e. 1000000XXX.

Note: These steps also apply to submitting claims and change requests.

Attachments

Partner Connect will display a message if you want to add any attachments. You will upload attachment(s) to your application from there. If you are not submitting an application, you can upload attachments after clicking Save or accessing the application through Display Application from the home page.

Display/Change Application

Displaying an application is for viewing only. Changes cannot be made on this screen. This is a good feature for sub-recipients who will have personnel reviewing applications and not make any changes.

Change Application is accessed if changes are needed. This is usually done in two scenarios: 1. an application has been saved and information needs to be added or reviewed at a later time. 2. PTD returning an application to the sub-recipient because changes are needed.

If the sub-recipient does not have the Application ID, it can be retrieved by clicking "Search" to bring up all the saved and completed applications for the sub-recipient. Another way is search for the application in the Program ID field.

PIN Application

Once the preliminary application approval steps have been completed, you will receive an email from Workflow-System with a subject of PTD Application Accepted LTR. The email will instruct you to PIN your application and will reference the application number.

From Grants Home:

- Click Change Application

- Type the "Application ID" in the third box right of Application ID. If unknown, click Search
- Scroll to the bottom of the application form and click the checkbox besides "I have read and accept terms and conditions of the grant funding and attached the Grant Agreement. The information supplied in this application is true to best of my knowledge."
- Enter your Name (First and Last), PIN, and date.
- Click Validate to ensure that your PIN is correct. Note: If your PIN is incorrect the system will prompt an error message.
- Click Submit
- A message will display "Click here if you would like to upload attachments to Grants document. If nothing to attach, click the Home key. Click here and follow the instructions to add attachment".

Note: Prior to PIN the application the status will be "Accepted by NCDOT." Once the application is PIN by the sub-recipient the status will read "Accepted and PINNED."

It is important to check the status of your applications.

PTD Application - Status	Meaning
In Process by SR	Sub-recipient is working on application. Has not been submitted.
Submitted	Application has been submitted by the sub-recipient and is under review within PTD.
Returned	Application has been returned to the sub-recipient for additional action. An email is sent to sub-recipient contact person with reasons for return.
Rejected	The application has been rejected (deleted) by PTD. No additional changes can be made. An email with an explanation would have been sent to the contact person
Returned to Mobility Specialist	Mobility Specialist is further re-analyzing an application.
L1-Mobility Specialists Approved	Application has been approved by Grant Mobility Specialist.
L2-Assistant Director Approved	Application has been approved by PTD Assistant Director
L3-Waiting for Board Approval	Application is awaiting for DOT Board approval
Accepted by NCDOT	Application is approved by Board and sent to sub-recipient for accepting terms and conditions and pinning an application. An email will be sent to sub-recipient with instructions how to PIN the application.
Accepted and Pinned	The sub-recipient has pinned the application and returned it to PTD.
Director Approval Complete	PTD Director has approved your application and it has been Pinned by PTD. Application will be converted into agreement/contract by PTD.

Applications Frequently Asked Questions

1. **Can I save the application while working on it?** Yes, you can select the red save button at the bottom of the application. This button saves the form on the Grants server without submitting it. This is useful if you are unable to complete the application in one sitting and do not want to have to start over.

There is also a Save Icon at the top of the application, but this save function only saves the document on your local computer. This option does <u>NOT</u> save the application on the Grants Management System. This function should only be used after you have performed the main Save or Submit function at the bottom of the form.

2. **How do I continue to work on an application that I have saved, but not submitted?** Select Change Application from the Grants Management System home page. Search for your applications and click on the application that you would like to change.

3. **How do I edit an application that has been returned to me for changes?** Select Change Application from the Grants Management System home page. Search for your applications and click on the application that you would like to change.

4. **Why can't I make changes to my application?** You can only make changes to an application prior to submitting it or after it has been returned to you for changes. Also, accessing an application from "Recent Items" will not allow changes. It is similar to Display Application where it is read-only.

5. **What is the difference between the red save button in the application and the save icon on the top of the application?** You can select the red save button at the bottom of the application. This button saves the form on the Grants server without submitting it. This is useful if you are unable to complete the application in one sitting and do not want to start over. The Save Icon at the top of the application only saves the document on your local computer. This option does <u>NOT</u> save the application on the Grants Management System. This function should only be used after you have performed the main Save or Submit function at the bottom of the form.

6. **How do I know my application is saved?** Partner Connect will issue a number that starts with a one after clicking save (i.e. 100000XXXX) and the status will read In Process by SR. Be mindful saving an application is not submitting it.

7. **What happens when I submit my application?** When you submit your application, it will pass through several levels of approvals. It will either be approved, returned to you for more information or rejected. You may log into the grants application and search on the application number to follow its progress. You will receive letters via email from Workflow-System depending upon the decisions that are made during the approval process.

8. **I submitted my application and my screen shows a spinning circle for five or more minutes. What should I do?** Your Grants Management System session has timed out. You will need to shut down the application and restart it. You will have to re-enter all data if you have not saved the application.

9. **If I select Submit, but have not saved the application, what happens?** The application will be saved and submitted. You do not have to save the application to submit it.

10. **How frequently should I save an application I am working on?** You should save your application at least every twenty-five minutes.

11. **I submitted an application and got the message "Pricing document could not created". Why did this happen?** Programs have specific dates for when applications will be accepted. Your application was submitted outside of that date range.

12. **How can I print application/claim from my PC?** Select the print icon located just above the application.

13. **I do not see attachments that I uploaded after pinning my application. What should I do?** Log off the Grants Management System and the log back in.

14. **How do I attach documents to my application?** The easiest way to attach documents is to click the save button. The screen will change and Partner Connect will ask if you want to attach any files. You would upload your attachments from there.

Agreements

Background: Prior to Agreements, PTD created purchase orders based on a sub-recipients budget(s). They received a paper contract along with a budget. It was from the MS Excel invoice template and sub-recipients internal reports how they kept up with expenditures and the remaining balances on line items. With Agreements in Partner Connect, a sub-recipient can access this information immediately and not worry about discrepancies between a sub-recipient's agency and PTD when submitting claims. Other information like the project number, WBS element, period of performance, and funding splits can be found on the Agreement as well versus the paper contract and budget.

Procedures: First the applications will have to be approved by PTD in Partner Connect. The application status will be Director Approval Complete and the application will be converted to an Agreement. Once PTD receives funding the Accounting Specialist will email the Authorized Official or point of contact the following information: award letter, contract, budget, and instructions. The sub-recipient will have the Authorized Official print and sign two original contracts. The two contracts will be mailed to PTD. Once the contracts are signed by the Deputy Secretary the Accounting Specialist will upload a contract in Partner Connect. The sub-recipient will again receive an email notifying him or her the agreement has been approved and claims can be submitted. During this time, the Accounting Specialist will mail an original contract back to the sub-recipient. So terms will not be confused, the contract is the paper agreement exchanged from the sub-recipient and PTD and the agreement is found in Partner Connect.

Agreement Process
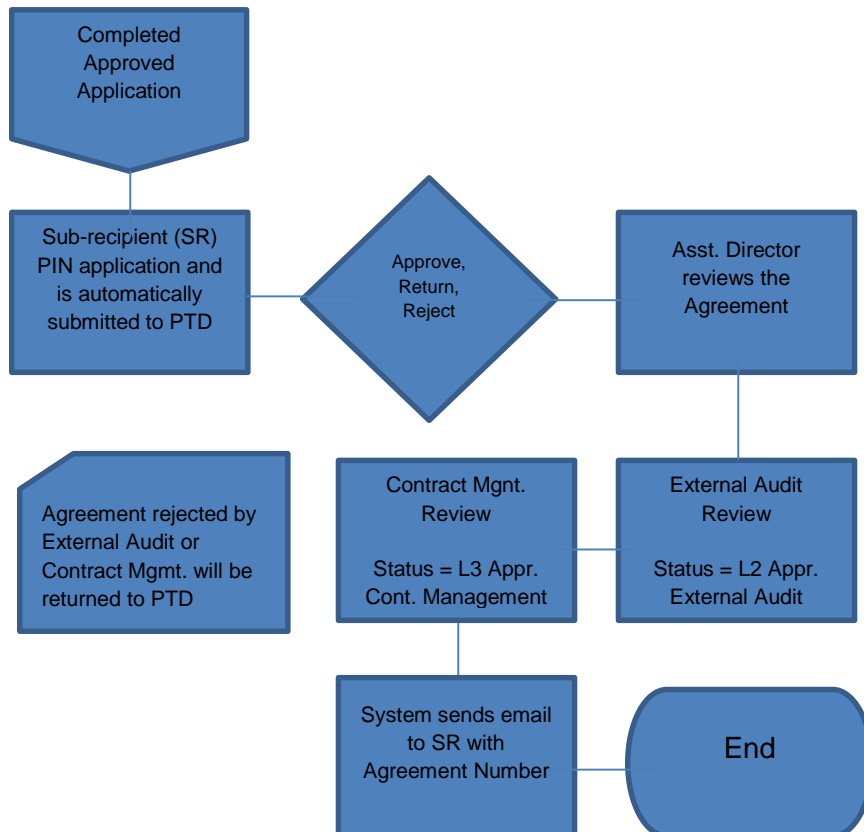
To access Agreements:

- Click View Agreement
- Click Search (if you don't know the Agreement number)
- Select the Agreement ID for the Agreement you would like to open
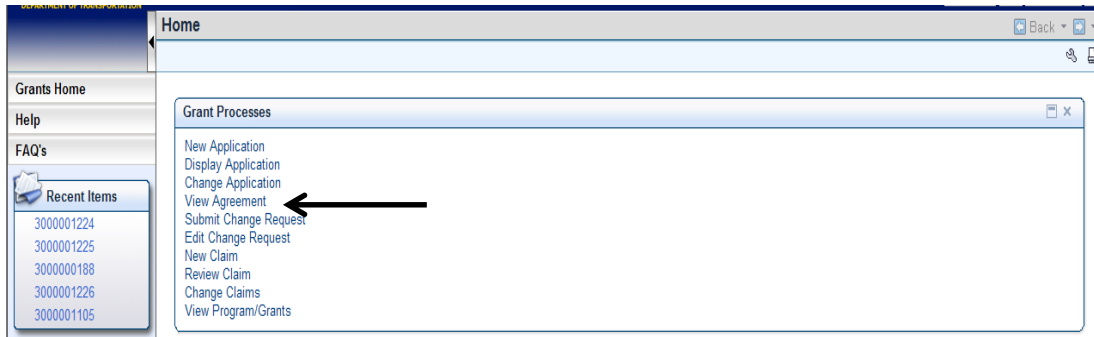
Once inside you'll notice the Agreement is broken into multiple sections.

- The Agreement Overview includes the period of performance, funding source percentages, PTD employee responsible (point of contract), authorized amount (the max PTD will reimburse), and project information.
- Notes: usually filled out by someone from PTD.
- Attachments: Three attachments on all agreements would be the PTD Agreement Approval Letter, the paper contract executed by PTD and the sub-recipient, and the application. Other attachments may be attached over time.
- Agreement Item Lists: Shows the line items Authorized Amount. This is the total amount approved by PTD for each line item. Authorized Claim Amount. This can be viewed as a year-to-date total. Open Balance is the remaining balance on the line item. Authorized Amount - Authorized Claim Amount = Open Balance
- Transaction History: Show all the transactions that transpired in relation to the Agreement. For example, the initial application, claims, and change requests would be listed. It'll show the date each item was created and the status of each transaction.

PTD Agreement – Status	Meaning
Pending Approval	Agreement is pending with PTD Financial Management group for approval.
L1-Approved PTD	Agreement approved by PTD
L2-Approved External Audit	Agreement is approved by DOT external auditor. At this status, an email with a detailed letter is sent to Sub-recipient contact person about next tasks and processes.
L3-Approved Cont. Management	Agreement is approved by DOT contract Management (Accounts). At this status sub-recipients can start submitting claims.
Rejected	Agreement is rejected/canceled by NCDOT.

Claims

Background: PTD administers State and Federal public transportation grant programs to a variety of sub-recipients in North Carolina. When systems incurred expenditures, they submitted what was then called Request for Reimbursements (RFR) to PTD. The RFR forms were MS Excel templates created by PTD as invoice forms. Those forms were then entered by the Accounting Specialists in PTD in a program called System Application Program (SAP). The only means sub-recipients had looking up previous claims (formerly RFR) were the excel spreadsheets. Now they view previous claims online with Partner Connect and better track expenditures and balances for each line item in their budget(s).

Procedures: Sub-recipients are able to submit claims once the Agreement has been approved. Claims shall be submitted 30 days after a given month or quarter. Sub-recipients have the option to submit claims either monthly or quarterly and are encouraged to be consistent throughout the life of the project. Sub-recipients who do not receive an A-133 audit are required supporting documentation verifying expenditures. These sub-recipients are highly encouraged by PTD to submit claims on a monthly basis. Sub-recipients who receive an A-133 are exempt; however, PTD randomly requests documentation for claims. It is imperative systems keep documentation verifying expenditures. Also, PTD annually sends an email to sub-recipients listing which agencies will be required to submit supporting documentation for a given project and/or fiscal year and it changes annually. Regardless of exemption, all sub-recipients have to submit supporting documentation for Capital claims. Supporting documentation will be explained later in further detail. Expenditures need to be claimed in the month or quarter they are incurred. If an Agreement is approved after the start date of a period of performance, the sub-recipient can claim the expenditures from the start date up till a given month. The fields highlighted in blue once the claim form is open are active fields. The sub-recipient will enter expenditures in these fields. If cents are entered, Partner Connect will round it to the nearest dollar.

Taxes

PTD does not pay taxes on expenditures. The only exception would be for utilities (i.e. phone, electricity) and per diem. Taxes on per diem can be included if meals are less than the state rate. For example, lunch costs a sub-recipient $9.75 and it includes taxes. Since the state rate for lunch is $10.10, that amount can be claimed. If the amount exceeds the state rate at $10.10, only the state rate can be claimed. The sub-recipient must claim the actual cost for the meal if it is less than the state rate or must claim the state rate if it exceeds that amount.

Note: Invoices/receipts must clearly show subtotals prior to taxes. The department does not participate in reimbursement of sales tax expenses for which sub-recipients can file for reimbursement with the North Carolina Department of Revenue. For information regarding reimbursement of sales tax expenses, contact N.C. Department of Revenue at 1-877-252-3052.

<u>Supporting Documentation</u>

As explained earlier, non-profits and agencies not receiving an A-133 audit must submit supporting documentation with each claim. Agencies receiving an A-133 audit should have this information on hand because PTD will randomly request documentation. Regardless of the A-133 status, documentation must be submitted for all Capital claims. Sub-recipients can follow these steps as a guideline to submit documentation:

The following are steps that grantees should use to prepare and submit supporting documentation for <u>administrative expenses</u>. (Same rules apply to all other grants when submitting documentation).

<u>Step 1</u> - Group invoices and receipts by object code. Clearly write the G-code on the invoice as it pertains to the claim.

<u>Step 2</u> - Clearly circle or highlight the eligible expenses on each invoice and receipt (refer to UPTAS for detailed descriptions of eligible expenses). Documents must clearly indicate subtotals before taxes. The NCDOT does not participate in reimbursement of sales tax expenses since grantees can file for reimbursement with the North Carolina Department of Revenue.

<u>Step 3</u> - Write the check number and date paid on each invoice/receipt. Reimbursement requests should be submitted for eligible expenses for which the project was <u>paid</u> during the period covered. Overdue balances and late fees are not eligible expenses.

<u>Step 4</u> – Sub-recipients can write explanations on invoices such as rebates, split costs, etc. so PTD will have a better understanding of the expenditure(s). If invoices are not available, a general ledger can be used as documentation. Taxes included in the general ledger should be reduced when submitting the claim and follow step one by marking the appropriate G-code on the general ledger.

OBJECT CODE	Title	Required Documentation
121 - 189	Salaries, Wages, & Fringes	Payroll detail register by each position for which reimbursement is being requested. White-out social security numbers if present.
191	Accounting	Invoice from accounting firm. NCDOT must have a copy of the engagement letter or third-party contract on file between the grantee and the accounting firm.
192	Legal	Invoice from attorney. NCDOT must have a copy of the engagement letter or third-party contract on file between the grantee and the law firm.
195	Management Consultant	Invoice from management company. NCDOT must have a copy of the third-party contract on file

Object Code	Title	Required Documentation
		between the grantee and the firm.
2XX	Supplies & Materials	Vendor invoices or receipts.
3XX	Travel & Transportation (other than employee development)	Copy of local expense voucher and receipts for meals and lodging; conference registration receipt or confirmation letter.
321 & 33X	Telephone & Utilities Service	Monthly invoices including summary pages with detailed expenses and sales tax breakout. Drivers' cell phones are an ineligible expense. This is an operating expense.
325	Postage	Receipts.
34X	Printing & Binding	Vendor invoices or receipts.
35X	Repairs & Maintenance	Vendor invoices or receipts.
37X	Advertising/Promotion	Vendor invoices or receipts.
38X	Computer Processing Services – Contracted	Vendor invoices or receipts.
391	Legal Advertising	Vendor invoices or receipts.
396	Management Services	Copy of invoice from management company for services rendered during the period covered. NCDOT must have a copy of the third-party contract on file between the grantee and the management firm.
41X	Lease of Real Property	Copy of lease agreement should be submitted with first invoice.
43X	Lease of Equipment	Copy of lease agreement.
44X	Service & Maint. Contracts	Vendor invoices or receipts.
45X	Insurance & Bonding	Vendor invoices or receipts.
481	Central Services	NCDOT must have Approved Cost Allocation Plan on file. Reimbursement will not exceed amount in approved budget. Once indirect cost plan is reviewed by NCDOT, no additional supporting documentation is required to be submitted with requests for reimbursement. Expenses should be charged in equal amounts either on a monthly or

Object Code	Title	Required Documentation
		quarterly basis.
491	Dues and Subscriptions	Copies of invoices or receipts.

Other Required Documentation (all claims need to accompanied with a cover letter, grant reporting form, and DBE Payment form).

Program	Documentation
Advance Technology	Quarterly Progress Reports, Progress Report and a Reimbursement Request.
Demonstration Grant	Progress Report with each reimbursement request or at least quarterly.
Rideshare	Required documentation.
Section 5303	Narrative Progress Report of activities completed during the quarter.
Section 5307	FTA Quarterly Progress and Milestone report; narrative Progress report of activities completed during the quarter.
Section 5309	FTA Quarterly Progress and Milestone report; narrative Progress report of activities completed during the quarter.
Section 5310	Vendor invoices and copy of the check if Capital.
Section 5316	Vendor invoices and copy of the check if Capital.
Section 5317	Vendor invoices and copy of the check if Capital

Although some Grantees are exempt from forwarding supporting documentation for administrative expenses to the division, they are still required to maintain supporting documentation locally for a period of five years from the date of final payment as per Title 9 North Carolina Administrative Code (N.C.A.C.) Subchapter 03M (nonprofits) and "Records Retention and Disposition Schedule – Public Transportation Systems and Authorities, April 1, 2006," (public bodies). 09 NCAC 03M .0703   REQUIRED CONTRACT PROVISIONS- Not sure how to reference

Submitting Claim Form

Below is a header sample of a claim form.

				Request for Reimbursement				
Project Sponsor:	GOLDSBORO WAYNE TRANSPORTATION AUTHORITY							
Mailing Address:	AUTHORITY PO Box 227 GOLDSBORO, NC 27533-0227							
Project Number:	12-CT-047 (NC-18-X034-01)							
Program:	P2012_5311_ADMIN - FY12 Community Transportation Admin.							
Agreement Number:	2000000425			Agreement Period From: 07/01/2011 To: 06/30/2012				
Grantee ID:	1000000312			WBS: 36233.45.9.1				
Invoice Number:*	01			Date Prepared:* 01/19/2012				
Invoice Period: From:* 07/01/2011				To:* 11/30/2011		Final Invoice:* ○ Yes ◉ No		
DBE/MBE/WBE sub-contractor vendor payments made during this invoice period? * No								
Submitted by:	Sheila Stafford			Date: 1/19/12				

The Project Sponsor, Mailing Address, Project Number, Program, Agreement Number, Grantee ID, Agreement Period From and To, and WBS are automatically filled.

The sub-recipient will need to enter the invoice number, Invoice Period: From and To, click if final invoice, and if any DBE/MBE. vendor payments were made.

The invoice number and DBE payments should be self-explanatory. Invoice Period From and To are the expenditures incurred and paid by the sub-recipient with a given period. Typically this is done quarterly or monthly with the fiscal year starting July 1, 20XX. Do not overlap the period cover on any claims. **Note: Be careful not to check Yes for Final Invoice when it is not the final invoice. Agreements are closed when the after a claim is processed when the Final Invoice indicator is checked yes. <u>Once closed, the Agreement cannot be reopened.</u>**

EXPENSES:

Expenses	Description	Approved Budget	Approved/ Pending Expenditures	Expenses This Period	Agreement To Date Expenditures	Balance
G565	G565 - Van Conversion Ex	$37,850	$37,203		$37,203	$647
G568	G568 - Lift-Equip Van Ex	$41,150	$40,103		$40,103	$1,047
G572	G572 - Mini-Van Exp	$27,500	$22,930		$22,930	$4,570
G591	G591 - Veh Lettering/Logos	$1,500	$1,170		$1,170	$330
TOTAL EXPENSES		$108,000	$101,406		$101,406	$6,594

The sub-recipient will entered the expenditures for reimbursement in the Expenses This Period column.

The meaning of the columns is listed as followed:

- The Approved Budget column listed in the Agreement will appear on the claim form. Approved/Pending Expenditures are expenditures claimed prior to a new claim being submitted.
- Expenses This Period is the amount of expenditures being claimed for each line item.
- Agreement to Date Expenditures is the same as being termed year-to-date expenditures.
- Balance is the remaining balance in the line item.

Only the Expense This Period field doesn't calculate automatically.

When submitting the claim do the following:

- Click the check box that reads "The information supplies in this claim is true to the best of my knowledge, and conforms with the terms and conditions of this agreement."
- Enter Name: First and Last Name.
- Enter PIN (same process as submitting applications)

As noted earlier the check button checks if any information is omitted in the header. Obviously, the system will not catch omitted expenses due to human error. The Save button does not submit the claim. It saves all information entered and allows sub-recipient to edit any information at a later time. The sub-recipient will have to go to Change Claim to edit information. The Submit button will send the claim to PTD for approval. After submitting the claim, Partner Connect gives the sub-recipient the option to attach any documentation to the claim.

The required documentation for all claims are: (regardless if the sub-recipients receives an A-133 audit)

- Grant Reporting form
- Cover Letter on agency's letter head
- DBE payment form

Review/Change Claim

Review Claim is for viewing purposes only. Information cannot be edited and documents cannot be attached.

Change Claim allows sub-recipients to attach files and edit information on this screen. However, information cannot be edited if the claim has been submitted to PTD. The Sub-recipient will have to go to Change Claim if PTD returned a claim. An email will be sent to the sub-recipient that created the claim to make necessary corrections. Typically the Expenses This Period column and attachments are usually changed when claims are returned.

To attach files: go to Attachments in "Change Claim" and click attachments. The other option to attach files would be to submit the claim and attach the file(s) when prompted by Partner Connect. As you can see, attaching information is practically the same as attaching files in Change Application.
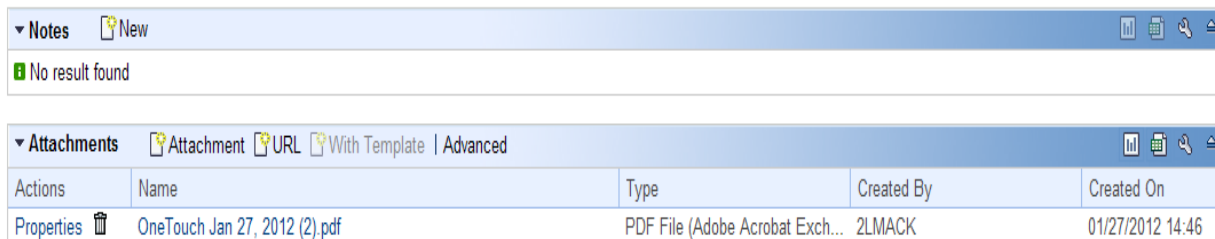
PTD Claim Status	Meaning
In-Process by SR	Sub-recipient has saved application and still working on it. Claim is not received by PTD.
Submitted	Claim has been submitted by the sub-recipient and is under review within PTD.
Returned	Claim is returned by PTD to sub-recipient for correction. An email is sent to the contact person with reasons for claim return and actions needed to correct it.
Rejected	No additional changes are allowed. An email with an explanation would have been sent to the contact person. Rejected claims are deleted claims
MDS Analyst Approved	Claim has been approved by MDS
Returned to Mobility Specialist	MDS is re-looking into claim. Usually happens when FM return a claim to the MDS.
FM Approved	PTD financial management has approved claim.
External Audit Approved	DOT External Audit has approved claim.
Contract Management Approved	DOT Contract management Approved claim. At this status claim will be posted in DOT Accounting system and payment will be processed.

Claims Frequently Asked Questions

1. **I submitted my claim and my screen shows a spinning circle for five or more minutes. What should I do?** Your Grants Management system session has timed out. You will need to shut down the application and re-start it. You will have to re-enter all data.

2. **How can I print application/claim from my PC?** Select the print icon located just above the claim.

3. **Can I submit a claim if I have requested a change to an agreement?** You cannot submit a claim if a change request is in process. Once your change request is approved, you can submit claims.

4. **How will I be notified if my claim has been approved, returned, or rejected?** You will receive an e-mail from Workflow-System.

5. **I submitted a claim and got the message "Pricing document could not be created". Why did this happen?** Programs have specific dates for when claims will be accepted. Your claim was submitted outside of that date range.

6. **How can I save a claim without submitting it?** Select the Save button at the bottom of the claim form.

7. **Can my agency submit multiple claims at the same time?** You can only submit one claim at a time. Once a claim has gone through all levels of approvals, then you can submit another claim.

8. **I get an error message "Claim cannot be submitted until CR 4000000XXX has been completed" or "Claim cannot be submitted until claim 300000XXX has been submitted". What do I need to do?** Only one claim at a time can go through the approval process. If a change request is currently being approved, the submit recipient must wait for it to be approved prior to submitting another claim. Please note these claims and change request would have the same agreement number. A sub-recipient can submit an Admin and Capital claim at the same time since both have a different agreement number.

9. **How do I find my grant reporting form?** Go to the agreement for that particular project. Go Agreement Overview and find Program ID/Desc. Click on the blue link on the right of it that names the type of program. Once opened, scroll down to attachments and the reporting form will be found there. It is a word documentation so it can be downloaded to your computer.

Change Requests

Background: Sub-recipients previously had to submit a change request (previously known as a revision) for the MS Excel invoice template. A paper copy was mailed to PTD for further review. There is very little difference between the old form and Partner Connect's change request form. The only difference is the sub-recipient will write the justification on the change request form versus the cover letter.

Procedure: A Change Request allows sub-recipients to move funds from one line item to another; however, the Approved Budget remains the same. Increasing or decreasing the Approved Budget will be an amendment. In such cases, contact PTD for prior approval. Change Request are usually done during December and June for 5311 Admin budgets. All other Change Requests are done as needed with prior approval for a MDS. Sub-recipients cannot do a Change Request with every claim submitted. Sub-recipients must contact their MDS before doing a change request on capital items for prior approval. The sub-recipient needs to make sure there are no pending claims in the workflow. If so, this can cause problems with the change request and/or claim from being approved. A justification needs to be written explaining the need for the change request. The only documentation required would be a cover letter. Once the change request is approved, Partner Connect will automatically update the budgets in the Agreement and any future claims. Funds cannot be removed or added to line G481.
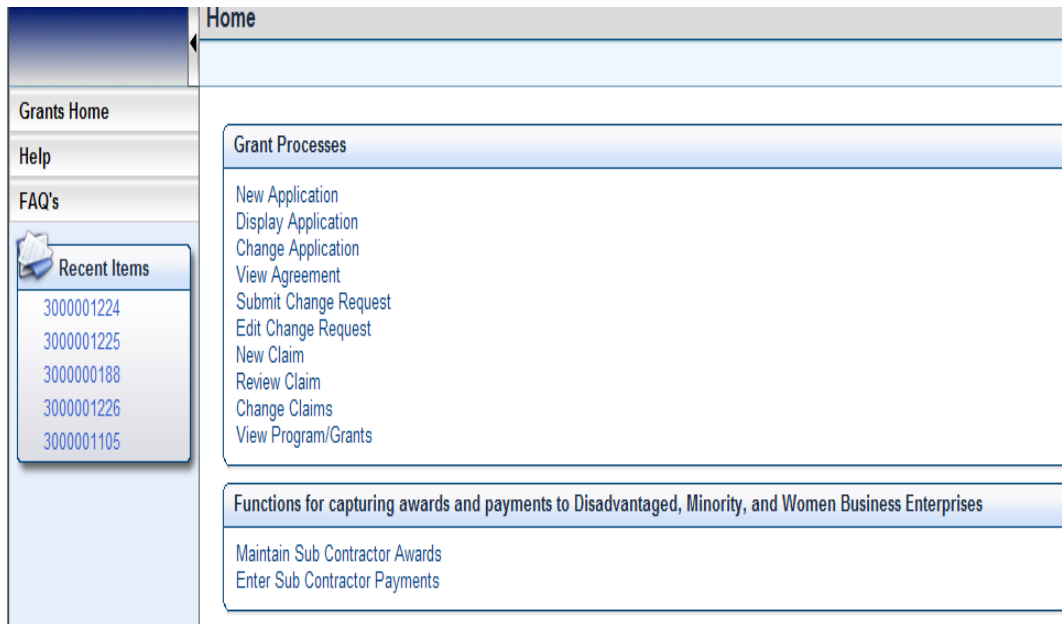
Access the form by doing the following:

- Click Submit Change Request.
- Click Search. (if you don't know the Agreement number)
- Click the Agreement Change Request Form besides the appropriate Agreement ID from the list displayed.

These fields are automatically populated: Program, Agreement, Sub-Recipient, WBS, and Submitted. Type in the box "Reason For Change" justifying the need for the Change Request.

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

AGREEMENT CHANGE REQUEST

PROGRAM	FY12 Community Transportation Admin.
AGREEMENT	2000000327
SUB-RECIPIENT	CAPE FEAR PUBLIC TRANSPORTATION AUTHORITY DBA WAVE
WBS	36233.122.6.1
SUBMITTED BY	Joseph Mininni
REASON FOR CHANGE: *	At the time the grant application was prepared and submitted, dispatcher services were contracted out through a third party management service. Because of performance issues that contract was terminated as of July 1, 2011. We are respectfully requesting that the previously budgeted $56,000 in management fees along with several other budget line items be reallocated to salaries and benefits as proposed on the attached budget revision. The additional salary and benefit costs include a 32% portion of the Payroll HR Clerk, Accounting Supervisor, Accounting Clerk, Procurement Clerk and a 32% allocation of one half of the Safety Training Coordinator's salary & benefits. In addition to staff we are including accounting, legal fees, and training, with increases in marketing, promotional items and professional liability insurance.

The funds in the Approved Budget columns are from the Agreement. The Claimed Amount column shows the amount claimed against line items to the current date. In other words, it's the year-to-date for that line item. The sub-recipient will enter the figures in the Change Amount (+/-) column. The Proposed Amount automatically calculated the Approved Budget column plus Change Amount (+/-) column for each line item. Funds cannot be removed from a line item that exceeds the Claim Amount. For example, the Approved Budget on line G252 is $20,000 and $15,000 is the Claimed Amount. Only $5,000 can be removed from line G252.

CODE	EXPENSE DESCRIPTION	APPROVED BUDGET	CLAIMED AMOUNT	CHANGE AMOUNT (+/-)	PROPOSED AMOUNT
G121	G121 - SALARIES AND WAGES - FULL TIME				
G252	G252 - Tires and Tubes	1,000	500	5,000	6,000
G253	G253 - Assoc Capital Maint.	20,000	15,000	-5,000	15,000
G261	G261 - Office Sup & Mat.				
G311	G311 - Travel				
G312	G312 - Travel Subsis.				
G313	G313 - Trans Clients/Oth.				
G314	G314 - Travel MP or Leased				
G331	G331 - Electricity				
G332	G332 - Fuel Oil				
G333	G333 - Natural Gas				
G334	G334 - Water				

Submitting Change Request

Do the following:

- Select the box "Under penalties of perjury, I certify that the billing is correct based upon actual expenditures for the period stipulated above, and that the progress of work and services under the project agreement is consistent with the amount billed."
- Enter First and Last name.
- Enter your PIN number.
- Click Validate. (Note: After you select Validate the system will check if all required fields have information entered and that your PIN is correct. The submit button will display if both above conditions are satisfied.
- Click Submit. A message displays which reads, "Request was saved with number 400000XXX. Change Request numbers start with a four (4).
- Partner Connect will display a message to attach documents. Click Grants Home if no documents will be attached.

Change Request Frequently Asked Questions

1. **How will I be notified if my change request has been approved? How will I be notified if my change request has been approved?** You will receive an email from Workflow-System with a subject of Change Request Approval Letter.

2. How will I be notified if my change request has been rejected? You will receive an email from Workflow-System with a subject of Change Req. Rejected Ltr.

3. **I submitted a change request and got the message "Pricing document could not be created". Why did this happen?** Programs have specific dates for when change requests will be accepted. Your change request was submitted outside of that date range.

4. **How can I save a claim or change request without submitting it?** You cannot save a claim or a change request without submitting it.

Disadvantaged Business Enterprises /Minority Business Enterprises (DBE/MBE)

Enter Subcontractor Payments

Enter subcontract payments after processing a claim that had DBE/WBE participation. Payments can be entered even if it's a one-time event. Entering the information is practically the same as maintaining subcontractors' awards. To enter this information:

- Click Maintain subcontractor awards
- Type the Agreement Number in the Agreement ID box
- Click Search
- A "Results List" box will appear. Click on the Agreement Number
- A Maintain Subcontractor Payment box will appear
- Click Record Subcontractor Payments.
- Click Add Row to enter information.
- Click record payment then close when completed.
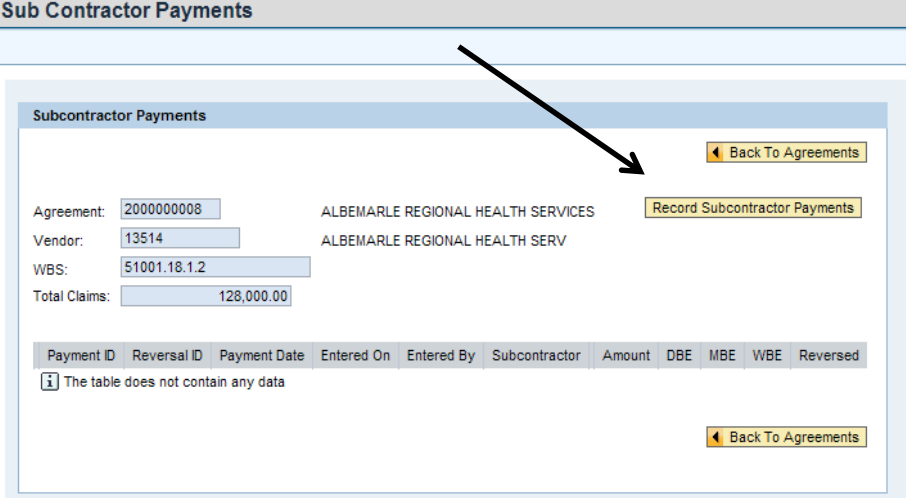
Maintain Sub Contractor Awards

Subcontractor Awards need to be completed if the sub-recipient knows if services rendered were from a DBE and/or WBE company during the life of a grant. The companies must be DBE/WBE certified by NCDOT and have a grantee ID number. Enter the following information:

- Click Maintain Subcontractor Awards.
- Type the Agreement Number in the Agreement ID box.
- Click Search
- A "Results List" box will appear. Click on the Agreement Number
- Click Edit. A Maintain Subcontractor Awards box will appear.
- Type the DBE/WBE company grantee ID number in the subcontractor box, dollar amount, and award date.
- Click Add Row if another company will be enter and follow the previous steps. If not, click update.

REGIONAL MOBILITY DEVELOPMENT SPECIALISTS CONTACT INFORMATION

CAROLYN FREITAG **919-707-4677** cmfreitag@ncdot.gov **DISTRICT 8**	**SHAWN BLANCHARD** **919-707-4694** sablanchard@ncdot.gov **DISTRICT 7**	**KEN BAKER** **919-707-4688** Kabaker2@ncdot.gov **DISTRICT 6**	**TAMRA SHAW** **919-707-4679** tshaw@ncdot.gov **DISTRICT 5**
BERTIE (CPTA) CAMDEN (ARHS) CHOWAN (ARHS) CURRITUCK (ARHS) DARE EDGECOMBE GATES HALIFAX (CPTA) HERTFORD (CPTA) HYDE MARTIN NASH NORTHAMPTON (CPTA) PASQUOTANK (ARHS) PERQUIMANS (ARHS) TYRRELL WASHINGTON	BEAUFORT CARTERET CRAVEN (CARTS) DUPLIN GREENE JONES (CARTS) LENOIR NEW HANOVER ONSLOW PAMLICO (CARTS) PITT WAYNE	BLADEN BRUNSWICK COLUMBUS CUMBERLAND HARNETT HOKE JOHNSTON PENDER RICHMOND ROBESON SAMPSON SCOTLAND WILSON	CHATHAM DURHAM FRANKLIN (KARTS) GRANVILLE (KARTS) LEE MOORE ORANGE PERSON VANCE (KARTS) WAKE WARREN (KARTS)

JAMES LIM **919-707-4693** jlim@ncdot.gov **DISTRICT 4**	**PAM HAWLEY** **336-760-3494** phawley@ncdot.gov **DISTRICT 3**	**CRAIG HUGHES** **336-903-9245** crhughes1@ncdot.gov **DISTRICT 2**	**NICK SCHEUER** **919-707-4695** nrscheuer@ncdot.gov **DISTRICT 1**
ANSON CABARRUS CLEVELAND GASTON IREDELL LINCOLN MECKLENBURG ROWAN STANLY UNION	ALAMANCE CASWELL DAVIDSON DAVIE (YVEDDI) FORSYTH GUILFORD MONTGOMERY RANDOLPH ROCKINGHAM STOKES (YVEDDI) SURRY (YVEDDI) YADKIN (VYEDDI)	ALEXANDER (WPRTA) ALLEGHANY ASHE AVERY BURKE (WPRTA) CALDWELL (WPRTA) CATAWBA (WPRTA) MADISON MCDOWELL MITCHELL WATAUGA YANCEY	BUNCOMBE CHEROKEE CLAY EASTERN BAND OF CHEROKEE INDIANS (EBCI) GRAHAM HAYWOOD HENDERSON JACKSON MACON POLK RUTHERFORD SWAIN TRANSYLVANIA

NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

FINANCIAL MANAGEMENT ASSIGNMENTS

PUBLIC TRANSPORTATION DIVISION

2/08
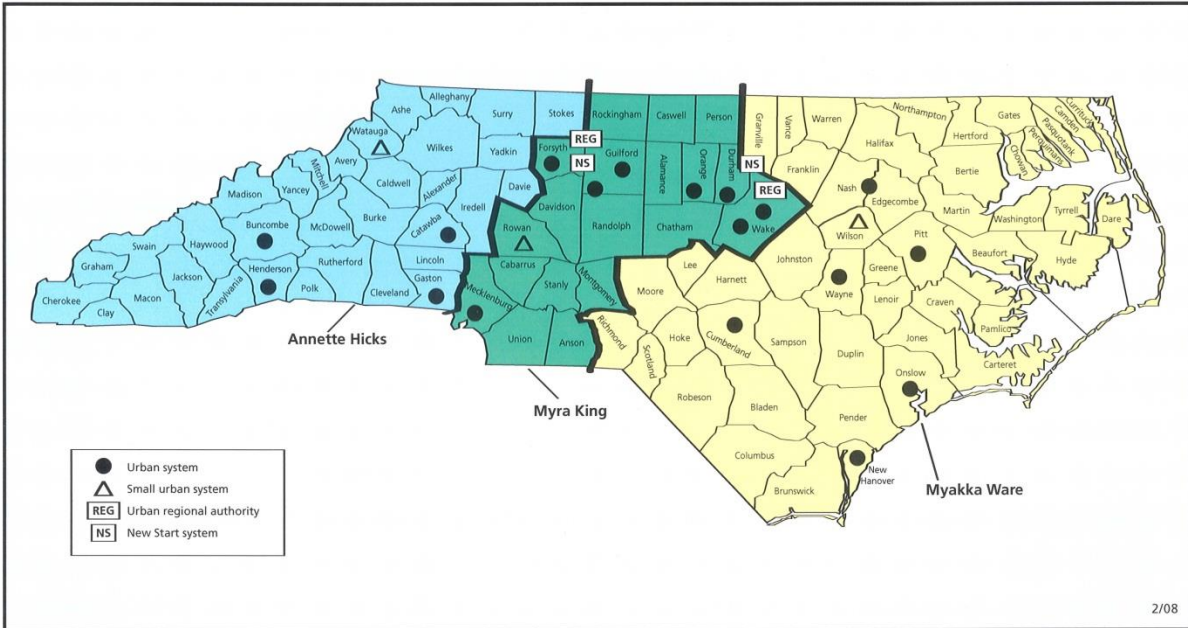
Technical Support

1. **I logged into the Grants System and selected the application or claim form, but I see the red X.** If you see a red X, there are three possible reasons:

- 1. You do not have Adobe Reader 9.0 or higher installed, please ask your technical support person to install. If you do have Adobe Reader 9.0 or higher installed, see reason 2 or 3.
- 2. Adobe Reader may not be enabled for you to use. Select Tools > Internet Options > Program > Manage Add-ons > Adobe PDF Reader > Enable > Ok. This path may vary slightly based upon your browser version.
- 3. The web browser options in Adobe may not be set correctly. Open Adobe Reader > Select Edit > Preferences > Internet > Check Display PDF in Browser > Ok. Reboot.

2. **I changed my password after I logged into the system for the first time but the system will not allow me to log in using my new password.**

- Make sure your Caps Lock is not on.
- Clean out your cache. IE Tools > Internet Options > Delete (Under Browsing History) > Delete All (Bottom of Window) Check Also delete files and settings stored by Add-Ons > Yes > Ok. Close Browser Window.

3. **Will I be able to access the Grants System using my MacBook?** The Grants System can be accessed if you are running Windows, but not if you are using the MAC OS. Additionally, you must use Internet Explorer 7 or 8.

4. **I logged into the Grants System but when I selected Submit Application, I saw a Stop Sign and Error – Your user id has not been set up, what do I do?** Call your Highway Support Specialist and read them the error message. FYI – Your user id needs to be connected to the agency/department that you work for.