

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.

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

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

	Final Engineer's report and required documents per APM	Contact the NCDOA APM if you have questions	To APM (submit electronically)
5	IF: This reimbursement or advance request contains <u>final professional services invoice</u> THEN: Verify the following items from the AV-100 have been submitted		
	Engineer's Design Report and necessary documents per APM	Contact the NCDOA APM if you have questions	To APM (submit electronically)
	<u>Payment verification:</u> i.e., cancelled checks	Contact the NCDOA Grants Administrator if you require accommodations to meet this requirement.	Partner Connect - Claim
6	IF: This reimbursement or advance request contains <u>land acquisition</u> THEN: Submit a separate binder to include items on the AV-100 checklist NOTE: All costs associated with land go under A103 (Land Acquisition & Easements)		