

Document Release Notice

Document Number:	CA-02	Title:	Invoicing & Payment
Current Revision #:	3	Type of Change:	<input checked="" type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE
New Revision #:	4	Document Type:	QMS Document - CA Choose from Drop Down Menu - left
Date Submitted:	2/15/2010	DRN Number:	10109

Summary of Proposed Changes:


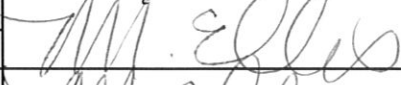

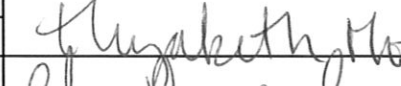
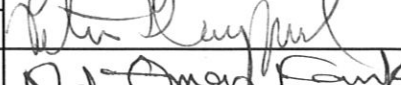
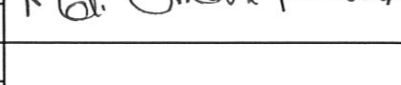
- Include paragraph numbers or other references & attach a copy of the new or revised documents)
- For new documents, indicate "Original Release"

Addition of Form CA-02-F5 (Cost Plus Fixed Fee Contract Invoice Template) to Procedure CA-02. Add CA-02-F5 to paragraph 6.1.1 and the link to to 9.0 Component Documents

Reason for New Release / Revision / Obsolescence:

A cost plus fixed fee contract was executed and required a new invoice template.

Required Signatures:

Title:	Printed Name	Signature	Date:
Originator	Darla M. Parsons		2/15/10
Process or Content Owner	Micki Ellis (Alt - Darla Parsons)		2/15/10
Assistant Program Manager	Micki Ellis (Alt - Steve Knobbe)		2/15/10
Department Director	Elizabeth Mow (Alt - Mark Bouma)		2-22-10
Quality Manager	Peter Claypool (Alt - Micki Ellis)		2/17/2010
Document Control	Edie Adams (Alt - Omar Faruk)		02/25/2010

Faruk, Omar

From: Faruk, Omar
Sent: Thursday, February 25, 2010 3:42 PM
To: Faruk, Omar; Mansoor Ahsan; Allen, L'Don; Allen, Russell; Alsina, Paul; Amaladas, Aruldass; Amundson, Camille; Anderson, Cindi; Barekman, Joe; Bo Cung; Bokaie, Tony; Bolt, Barbara; Bouma, Mark; Branch, Latausha; Britton, Keith; Brush, Scott; Campbell, Chris; Carrigan, Gerry; Christopher Bergeron; 'cblank'; Colin Blankenship; Chris Brook; Christmas, Ramona; Clarke, Dave; Claypool, Peter; Davis, Clif; Davis, John; 'dchapman'; Dennis, Bryan; Bruce Dinkheller; Ellis, Micki; Estridge, Jason; Farmer, Sue; Federspiel, Troy; Fennell, Joseph; Franko, Donovan; 'frye'; Garrelts, Jim; 'ggarrett'; Gill, Rocky; Graham, Doyle; Graham, Judy; Greenwade, Lynn; Griffin, James; Hagan, John; Halliday, Stephanie; Hancock, Craig; Hankins, Steve; Harbin, Gabe; Harden, Angela; Holly Becka; Heimer, Wallace; Hernandez, Kim; Hicklen, Jerry; Holboke, Marty; Huff, Eric; Ishmael, Ken; Ivie, Derek; Jackson, Kimberly; Berretz, John; Blaquiery, John; 'jcontreras'; Jenkins, Zenette; Jeremy Boswell; 'jfrye'; Kasselmann, Terry; Kastendick, David; 'kelsey'; Knobbe, Stephen; Kwast, Aaron; 'lagraham'; Larry Angeli; Latham, Tim; LaTonia Banks; Lehde, Amanda; Lopez, Sam; Lowe, Jason; Lucer, Pawel; Lucido, Tony; Mark Baker; Madison, Karen; 'Matthews, Benjamin'; Michael Batuna; Bloshock, Mark; McCombs, Jim; 'mcraig'; Michael Brown; Michael Bauer; Mow, Elizabeth; Muckle, Chad; Mueller, Gary; Musa, Basel; Negron, Carlos; Parsons, Darla; Paul, Adam; Paul, Pamela; Pavloff, Victor; Pat Ellis; Peloquin, Nancy; Piles, Jeremy; Plummer, Roxane; Pounds, Dave; Reilly, Tim; Reinhardt, Gary; Robbins, Rob; Robinson, Sherrie; Ross, Liza; Sanderfer, Reginald; Scharfenberger, Matt; Selensky, Les; Shahane, Arwind; Shakya, Anil; Shelton, Lori; Shidlofsky, Dana; Smith, Ed; Stokes, JD; Stuart, Jason; Swenson, Michael; Tom Diamond; Terranova, Paul; Thomas, Lisa; Tilley, Cynthia; Towner, Peggy; Wade Strong; 'Aanicoara'; Amanda Lehde; 'asoliver'; 'bhoney'; Bobby Nagel; 'bswindell'; 'chayes'; Chris Hoff; Cole, Athena; Craig Phillips; Daniel Ruth; Danny Luu; Darla Payberah; Darrell Thompson; David Crysap; Hoffman, David; Debbie Neubert; Dennis Satre; 'dmann'; Doyle Smith; 'enelsen'; Enrique Guillen; Floyd Martinez; 'gary reed'; 'greg vowels'; Helen Tran; Hemphill, Eric; Howe, Clayton; 'jhoffman'; Jim Reiser; Julie Morse; 'kahughes'; Kelly Johnson; Krueger, Martin; Lamb, John; 'langston'; 'LDWilson'; Leigh Hornsby; Lilah Ramey; 'mhannemann'; Hutchison, Mike; 'mmanesh'; 'mmatthews'; 'mscruggs'; 'muzair'; 'Mvassigh'; Nina Paruchuri; 'noelle'; 'nsimon'; Ozmer, Rusty; Phillip Hanley; 'psmith'; Rachel Hayden; 'rajesh.janarthanan'; Ray, Jackie; 'ReddenL'; Rick Hammerberg; Scott Pettit; Scott Yates; Shane Wade; 'shjackson'; 'singlish'; 'slmccord'; 'smith'; Smith, Rodney; Starnater, Eric; Terry Watson; Thomas Hunt; 'TMartinez'; 'tonya'; VanBaulen, Guy; 'vbridges'; Waltman, Gerald; 'wcurtis'; Wise, Tina; Woelfel, John; Wood, JC; Youngblood, Sherry

Subject: QMS Manual Updates

The below mentioned documents have been released to the QMS Manual:

Document/Form #	Document Title	Rev	Originator	DRN#	Changes
CA-02	Invoicing & Payment	4	Darla Parsons	10109	Added new cost plus fixed fee contract invoice template
CA-02-F5	Cost Plus Fixed Fee Contract Invoice Template	0	Darla Parsons	10109	Original Release
QM-12-F1	Document Release Notice	4	Md Omar Faruk	10111	Updated the signature authority list

The QMS Manual is available at the following location:

<http://www.ntta.org/WorkingWithUs/>

NTTA Projects	Issue Date: 06/05/2008	CA-02
Resource: Contract Administration	Revision <u>34</u> Issue Date: <u>09/29/2009</u> TBD	5 pages
Title: Invoicing & Payment		

1.0 PURPOSE:

The purpose of this procedure is to define the contract invoicing and payment processes.

2.0 RESPONSIBILITIES:

- 2.1 Assistant Executive Director (AED) – The AED shall be responsible for approving a PeopleSoft requisition for invoice payments above \$25,000.00
- 2.2 Director of Project Delivery (DPD) – The DPD shall be responsible for reviewing a PeopleSoft requisition for invoice payment, reviewing and signing the invoice and checklist.
- 2.3 Assistant Program Manager – The Assistant Program Manager shall be responsible for reviewing, signing, and submitting the invoice package.
- 2.4 Corridor Managers (CM)/Project Manager – The CM or Project Manager shall be responsible for reviewing and signing monthly invoices from consultant firms.
- 2.5 Deputy Program Managers or NTTA Staff – The Deputy Program Managers or NTTA staff shall be responsible for reviewing and approving management invoices submitted by consultants.
- 2.6 Consultants – The consultants shall be responsible for submitting invoices in accordance with this procedure via the templates dictated within this procedure.
- 2.7 Invoice Specialist – The PMO Invoice Specialist staff shall be responsible for checking the math and the contract parameters on invoices, and reporting invoices in the financial tracking system.
- 2.8 Technical Specialist – The PMO Technical Specialist shall be responsible for creating PeopleSoft requisitions for invoice payment.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all invoices for professional services, consulting services, construction and goods and services to be paid by the Project Delivery department.

4.0 REFERENCES:

N/A

5.0 DEFINITIONS & ACRONYMS

NTTA Projects	Issue Date: 06/05/2008	CA-02
Resource: Contract Administration	Revision <u>34</u> Issue Date: <u>09/29/2009</u> <u>TBD</u>	5 pages
Title: Invoicing & Payment		

6.0 PROCEDURES:

6.1 Invoicing and Payment for Professional and Consulting Services Contracts

- 6.1.1 Invoices shall be generated by the consultants providing the services. The PMO professional services invoice templates, CA-02-F2, ~~or~~ CA-02-F3 or CA-02-F5 shall be used for all invoices (with the exception of the following management contract invoices: Program Management, Production Management, Construction Management and Right of Way Acquisition). Included in templates CA-02-F2, and CA-02-F3, and CA-02-F5 are the invoice, and invoice progress report, all of which shall be completed in full in order for each invoice to be accepted. In addition, consultants shall be required to submit with each monthly invoice a completed Form 4907, Monthly Progress Report, available at <http://www.ntta.org>
- 6.1.2 During the life of the contract, the consulting firm shall submit one invoice per month (even if there has been no work completed during the month, the consultant shall submit a \$0 value invoice), or as otherwise specified by the terms of the contract. For corridor consultants, invoices shall be initially submitted electronically to the CM or Project Manager for review. For management consultants, invoices shall be submitted to the appropriate Deputy Program Manager for initial review. The CM/Project Manager, or Deputy Program Manager shall forward the invoice to the Invoice Specialist staff for a simultaneous initial review and math check.
- 6.1.3 The Invoice Specialist staff shall check mathematical computations on the invoice, and shall prepare a PRT checklist, CA-02-F1. The PRT checklist provides a list of the items to be verified before the invoice can be paid. It is the responsibility of the Invoice Specialist staff to validate current total contract amounts, including supplemental agreements, through the document controls system. The Invoice Specialist staff shall log the invoice data into the invoice tracking log. If the Invoice Specialist staff discovers an error or inconsistency with approved contract parameters, the CM/Project Manager or Deputy Program Manager shall be notified and the corridor consultant shall be requested to correct and resubmit the invoice. The second and third steps shall be repeated until the invoice is acceptable.
- 6.1.4 After CM/Project Manager or Deputy Program Manager and Invoice Specialist staff approval, the consulting firm shall submit two hard copies of the invoice package with original signatures to the CM/Project Manager or Deputy Program Manager for their approval signature. The CM/Project Manager or Deputy Program Manager shall then forward the signed invoice package to the Invoice Specialist staff.
- 6.1.5 The Invoice Specialist staff shall attach the PRT checklist, sign it and forward the package on to the Assistant Program Manager for review in a green folder, which will accompany the invoice throughout the PMO Department approval process. The Assistant Program Manager shall sign the checklist after review and forward the invoice package to the Technical Specialist.

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6.1.6 The Technical Specialist shall create a PeopleSoft pay requisition for the invoice and forward the invoice package to the DPD for review and approval.

6.1.7 The DPD shall sign the invoice and the checklist, and initial the pay requisition. The AED shall sign the pay requisition for all invoice payments over \$25,000. The DPD provides the invoice package to the Technical Specialist who makes a copy for the file and forwards the original signed copies to the Contract Management Department. The Technical Specialist forwards the file copy to the Invoice Specialist who holds the file copy until a signed copy is received from the Accounting Department. Upon receipt of a copy signed by the Accounting Department, the Invoice Specialist scans and uploads a PDF version of the invoice in to EPDS. The Invoice Specialist returns the paper copy to the Technical Specialist for filing.

6.2 Invoicing and Payment for Construction Services Contracts – All invoicing and payment of construction services contracts shall follow the workflow outlined in the NTTA's capital program management software, Capitalsoft. The major steps are as follows:

- 6.2.1 Create a pay estimate
- 6.2.2 Approve a pay estimate
- 6.2.3 Manage a pay estimate
- 6.2.4 Reject a pay estimate

6.3 Invoicing and Payment for Goods & Services Procurement Contracts – Invoicing and payment for goods and services procurement contracts shall follow the workflow as follows:

- 6.3.1 The CM/Project Manager shall work with the vendor to assist them in preparing the CA-04-F4 invoice template, which shall then be submitted with all goods and services invoices. Invoice template CA-02-F4 includes only the invoice summary, which shall be completed in full in order for each invoice to be accepted.
- 6.3.2 The invoice shall be submitted by the vendor to the CM/Project Manager for review and approval.
- 6.3.3 The invoice shall be forwarded to the PMO Invoice Specialist staff for final review.
- 6.3.4 The Invoice Specialist staff shall log the invoice data into the invoice tracking log, prepare a PRT, and forward the invoice to the Assistant Program Manager for review.
- 6.3.5 The Assistant Program Manager shall sign the checklist after review and forward the invoice package onto the Technical Specialist.
- 6.3.6 The Technical Specialist shall create a PeopleSoft pay requisition for the invoice and forward the invoice package to the DPD for review and approval.

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- 6.3.7 The DPD shall sign the invoice and the checklist, and initial the pay requisition. The AED shall sign the pay requisition for all invoice payments over \$25,000. The DPD provides the invoice package to the Technical Specialist who makes a copy for the file and forwards the original signed copies to the Contract Management Department. The Technical Specialist forwards the file copy to the Invoice Specialist who holds the file copy until a signed copy is received from the Accounting Department. Upon receipt of a copy signed by the Accounting Department, the Invoice Specialist scans and uploads a PDF version of the invoice in to EPDS. The Invoice Specialist returns the paper copy to the Technical Specialist for filing.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

- [NTTA Business Opportunity Program and Policy](#)

9.0 COMPONENT DOCUMENTS:

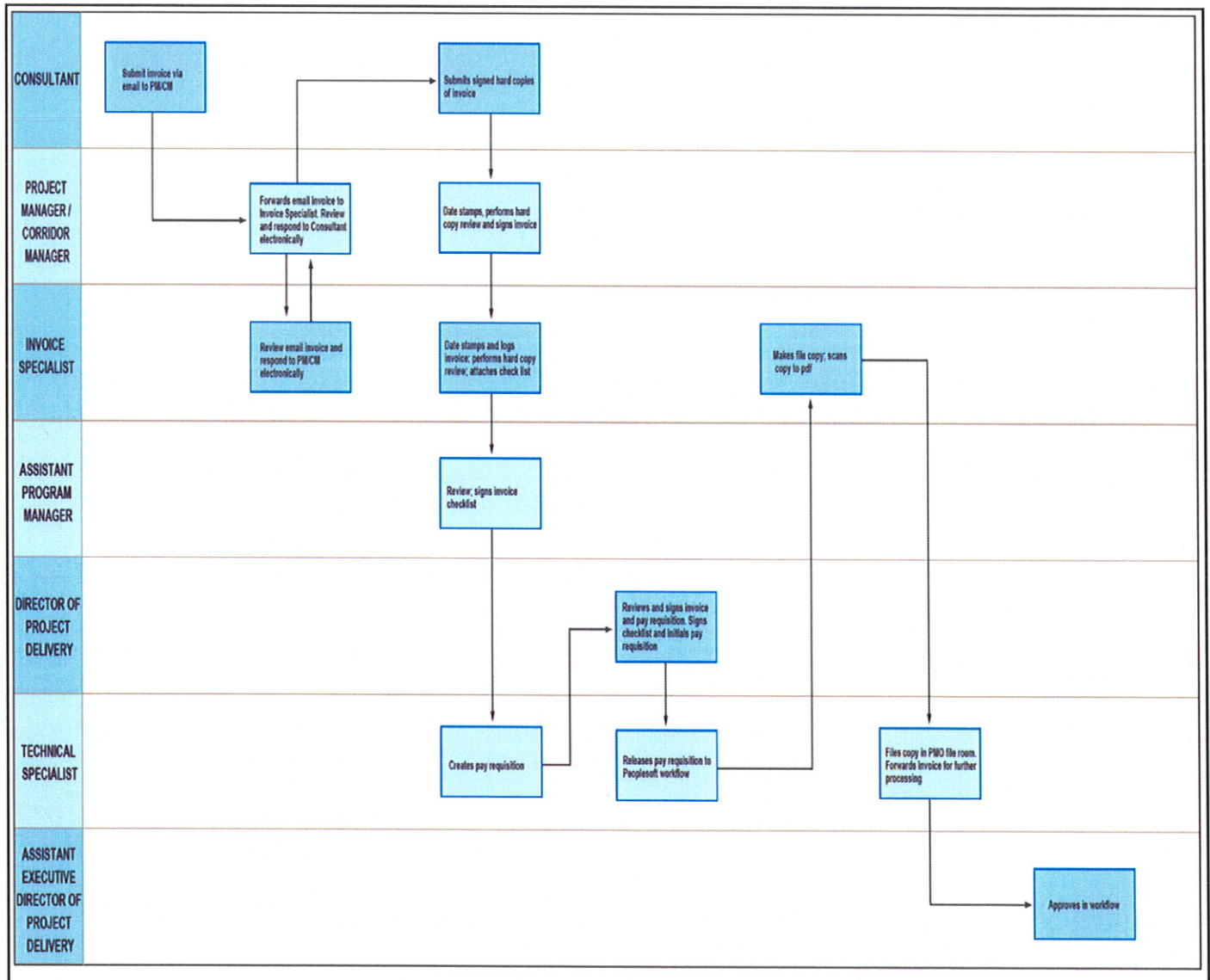
- [CA-02-F1](#) Payment Recommendation Transmittal (PRT)
- [CA-02-F2](#) Lump Sum Invoice Template: Invoice, and Progress Report
- [CA-02-F3](#) Cost Plus Contract Invoice Template: Invoice, and Progress Report
- [CA-02-F4](#) Utility Relocation/Goods and Services Invoice Template
- [CA-02-F5 Cost Plus Fixed Fee Contract Invoice Template: Invoice, and Progress Report](#)
- [Monthly Progress Report Form 4907](#)

10.0 REVISION HISTORY:


Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	06/05/2008		Original Issue
1	Mike Hutchison	07/10/2008		Changed AED to DPD throughout and removed reference to Chief Acct
2	Mike Hutchison	09/10/2008		Update procedure changes and add new cost plus and utility relocation/goods and services contract invoice template
3	Micki Ellis	09/29/2009	10026	Removed reference to SBE Monthly Progress reports as part of InvoiceTemplates and added reference to BDD forms on ntta.org
4	Darla Parsons	TBD		Added new cost plus fixed fee contract invoice template

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11.0 FLOWCHART: Invoicing and Payment Flowchart (zoom to enlarge)



Original Release

CA-02-F5 Cost Plus Fixed Fee		INVOICE							
 NORTH TEXAS TOLLWAY AUTHORITY		Consultant:		Invoice Period: date to date		Invoice Date: date			
		Company Name		Contract No. : number		Invoice No. number			
		Company Address		Facility:		Orig. Amnt. \$ -			
		Company Address		County:		Supp. Agr. \$0.00			
		Section:							
Accounting Code #		Contract Amount		Budget Expended To Date		Notice to Proceed		Contract Expiration	
code number		\$0.00		#VALUE!		date		Date date	
Item No.	Item Description		Budget	% Complete		Amount			
				This Period	To Date	This Period	To Date		
1	Direct Labor (see attached Labor/Overhead summary)	CP	\$0.00	#DIV/0!	#DIV/0!	\$0.00	\$0.00		
2	Overhead (see attached Labor/Overhead summary)	CP	\$0.00	#VALUE!	#VALUE!	#VALUE!	#VALUE!		
3	Fixed Fee (see attached Labor/Overhead summary)	CP	\$0.00	#VALUE!	#VALUE!	#VALUE!	#VALUE!		
4	Direct Expenses (see attached Expense Summary)	CP	\$0.00	#DIV/0!	#DIV/0!	\$0.00	\$0.00		
			\$0.00	#VALUE!	#VALUE!	#VALUE!	#VALUE!		
Certified Correct:									
By:									
(Name) (Title) Date									
Checked By:									
(Name) (Title) Date									
Recommended: PMO / CIP MANAGEMENT									
By:									
(Name) (Title) Date									
Approved for Payment: NORTH TEXAS TOLLWAY AUTHORITY									
By:									
(Name) (Title) Date									
Checked By:									
(Name) (Title) Date									
			Total Amount #VALUE! #VALUE!						
			Less Special Deductions \$0.00 \$0.00						
			Less Liquidated Damages \$0.00 \$0.00						
			Net Amount #VALUE! #VALUE!						
			Less Previous Payable \$0.00						
			Total Contract Amount Remaining: #VALUE!						
			To Issue Final Invoice Within Next 30 Days No						
			Final Invoice No						
			Total Amount Due This Invoice #VALUE!						
			Supplemental Agreements:						
			Number Date Executed Amount						
			SA #1						
			SA #2						
			SA #3						
			SA #4						
			SA #5						
			\$0.00						
			Comments:						

CA-02-F5 Rev.0

 NORTH TEXAS TOLLWAY AUTHORITY		LABOR AND OVERHEAD SUMMARY					
		Contract: number		Invoice Period: date to date		Invoice Date: date	
		Consultant: Name		Facility:		Invoice Number: number	
		Company Address		County:			
		Company Address		Section:			
Company Address		NTP: date					
Name	Classification	Labor Charged (Hrs)		Actual Rate		Direct Labor	
		Regular	Overtime	Regular	Overtime		
Company Name On-Site Services Raw Labor							
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Subtotal Total Raw Labor		0.00	0.00			\$0.00	
						Overhead @ %	#VALUE!
						Fee: %	#VALUE!
Company Name Off-Site Services Raw Labor							
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Subtotal Total Raw Labor		0.00	0.00			\$0.00	
						Overhead @ %	#VALUE!
						Fee: %	#VALUE!
Sub-Consultant Company Name Raw Labor							
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Subtotal Total Raw Labor		0.00	0.00			\$0.00	
						Overhead @ %	#VALUE!
						Fee: %	#VALUE!
Sub-Consultant Company Name Raw Labor							
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Subtotal Total Raw Labor		0.00	0.00			\$0.00	
						Overhead @ %	#VALUE!
						Fee: %	#VALUE!
Sub-Consultant Company Name Raw Labor							
Name	Title	0.00	0.00	\$0.00	\$0.00	\$0.00	
Subtotal Total Raw Labor		0.00	0.00			\$0.00	
						Overhead @ %	#VALUE!
						Fee: %	#VALUE!
						Raw Labor Total:	\$0.00
						Overhead	#VALUE!
						Fee	#VALUE!
						Total	#VALUE!
Consultant:							
Name		Title			Date		

 NORTH TEXAS TOLLWAY AUTHORITY		EXPENSE SUMMARY					
		Contract: number		Invoice Period: date to date		Invoice Date: date	
		Consultant: Name		Facility:		Invoice Number: number	
		Company Address		County:			
		Company Address		Section:			
		NTP: date					

Item No.	Item Description	Quantity	Unit	Unit Cost (\$)	Total (\$)
1			Each	\$0.00	\$ -
2			Each	\$0.00	\$ -
3			Mile	\$0.00	\$ -
4				\$0.00	\$ -
5				\$0.00	\$ -
6				\$0.00	\$ -
7				\$0.00	\$ -
8				\$0.00	\$ -
9				\$0.00	\$ -
10				\$0.00	\$ -
11				\$0.00	\$ -
12				\$0.00	\$ -
13				\$0.00	\$ -
14				\$0.00	\$ -
15				\$0.00	\$ -
16				\$0.00	\$ -
17				\$0.00	\$ -
18				\$0.00	\$ -
19				\$0.00	\$ -
20				\$0.00	\$ -
21				\$0.00	\$ -
22				\$0.00	\$ -
23				\$0.00	\$ -
24				\$0.00	\$ -
25				\$0.00	\$ -
26				\$0.00	\$ -
27				\$0.00	\$ -
28				\$0.00	\$ -
29				\$0.00	\$ -
30				\$0.00	\$ -
31				\$0.00	\$ -
32				\$0.00	\$ -
33				\$0.00	\$ -
34				\$0.00	\$ -
35				\$0.00	\$ -
36				\$0.00	\$ -
37				\$0.00	\$ -
38				\$0.00	\$ -
39				\$0.00	\$ -
40				\$0.00	\$ -
Total Direct Expenses this Period				\$	-

Consultant: I hereby certify the above listed direct expenses incurred are in accordance with the contract. I further certify that all receipts and invoices for direct expenses will be kept on file and made available to the NTTA up to one year following the date of final invoice for this contract.

Name _____
Title _____
Date _____



NORTH TEXAS TOLLWAY AUTHORITY

PROGRESS REPORT SUMMARY

Contract No: number	Invoice Period: date to date	Invoice Date:
Consultant: Name	Highway:	Invoice No.
Consultant Address	County:	NTP:
Consultant Address	Sections:	

Task No.	Task Description	Summary of Services Provided this Period	Estimated Task Complete (%)
1			0.0%
2			0.0%
3			0.0%
4			0.0%
5			0.0%
6			0.0%
7			0.0%
8			0.0%
9			0.0%
10			0.0%
11			0.0%
12			0.0%
13			0.0%
14			0.0%
15			0.0%
16			0.0%
17			0.0%
18			0.0%
19			0.0%
20			0.0%
21			0.0%
22			0.0%
23			0.0%
24			0.0%
25			0.0%
26			0.0%
27			0.0%
28			0.0%
29			0.0%
30			0.0%
31			0.0%
32			0.0%
33			0.0%
34			0.0%
35			0.0%
36			0.0%
37			0.0%
38			0.0%
39			0.0%
40			0.0%

Consultant:

Total Work Performed To Date

#DIV/0!

Name

Title

Date