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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 and signing the transmittal checklist.
- 2.2 Director of Project Delivery (DPD) – The DPD shall be responsible for reviewing and approving corridor management invoices submitted by consultants with this sole review and signature serving as recommendation by the NTTA that the services provided and charges invoiced are valid and should be paid by NTTA, reviewing and approving a PeopleSoft requisition for invoice payment, and reviewing and signing the invoice and transmittal checklist.
- 2.3 Project Delivery Contracts Manager – The Project Delivery Contracts Manager shall be responsible for reviewing invoices and pay estimates for contract compliance, signing a transmittal checklist, and submitting the invoice package to the DPD.
- 2.4 NTTA Manager – The NTTA Manager shall be responsible for reviewing and approving invoices and pay estimates submitted by the consultants and contractors with their signature serving as recommendation for payment by the NTTA.
- 2.5 Corridor Manager/Project Manager – The Corridor Manager or Project Manager shall be responsible for reviewing and signing monthly invoices from consultant firms and contractors, this review and signature serves as recommendation by the Corridor/Project Manager that the services provided and charges invoiced are valid and should be paid by NTTA.
- 2.6 Consultant – The consultant shall be responsible for submitting invoices in accordance with this procedure via the templates dictated within this procedure, providing sufficient detail so as to facilitate adequate review and recommendation by the Corridor/Project Manager for payment.
- 2.7 Project Delivery (PD) Invoice Management Staff – The PD Invoice Management staff shall be responsible for reviewing invoices for compliance with procedure and template requirements, checking the math and the contract parameters on invoices, and reporting invoices in the invoice tracking system.
- 2.8 PD Technical Specialist – The PD Technical Specialist shall be responsible for creating PeopleSoft requisitions for invoice payment.

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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

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 PD professional services invoice templates, *CA-02-F2*, *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 Construction Material Testing). Included in templates *CA-02-F2*, *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>

6.1.1.1 When generating the associated invoice template Progress Report, the consultant shall provide sufficient detail regarding the services provided and charges invoiced. This shall include providing the actual EPDS RFI, Submittal or Change Order numbers that services are related to. Invoices submitted for these activities without referencing the actual EPDS RFI, Submittal or Change Order number shall not be processed.

Note: The Summary of Services Provided box on the Progress Report template can and should be expanded to accommodate sufficient detail.

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 Corridor/Project Manager and the PD Invoice Management staff for a simultaneous initial review and math check. For management consultants, invoices shall be submitted directly to the PD Invoice Management staff for initial review.

6.1.3 The PD Invoice Management staff shall check mathematical computations on the invoice. It is the responsibility of the PD Invoice Management staff to validate current total contract amounts, including supplemental agreements, through the document controls system. The PD Invoice

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Management staff shall log the invoice data into the invoice tracking system. If the PD Invoice Management staff discovers an error or inconsistency with approved contract parameters, the CM/Project 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.

- 6.1.3.1 The invoice review by the Corridor/Project Manager shall include a detailed review of the services provided and charges invoiced for that period, in order to make a recommendation to NTTA that the charges are valid per contractual requirements and should indeed be paid by NTTA. This review shall include the actual review of RFIs, Submittals, or Change Orders against which charges are invoiced in order to either recommend the invoice for payment or to request the consultant make a revision to the invoice and resubmit.
- 6.1.4 After Corridor/Project Manager and PD Invoice Management staff approval, the consulting firm shall submit two hard copies of the invoice package with original signatures to the Corridor/Project Manager for their approval signature. The Corridor/Project Manager shall then forward the signed invoice package to the PD Invoice Management staff for review.
- Note: It is the sole responsibility of the Corridor/Project Manager to recommend the appropriateness of NTTA's subsequent payment of this invoice as evidenced by their signature.**
- 6.1.5 The PD Invoice Management staff shall prepare a PRT checklist (Payment Recommendation Transmittal) and attach to the invoice package. The PRT checklist provides a list of the items to be verified before the invoice can be paid. The PD Invoice Management staff shall forward the package on to the appropriate NTTA Manager in a green folder, which will accompany the invoice throughout the Project Delivery Department approval process. The NTTA Invoice Manager shall review the invoice package and their signature shall serve as recommendation by the NTTA that the services provided and charges invoiced are valid and should be paid by NTTA. The NTTA Manager shall return the signed invoice package to the PD Invoice Management staff to log into a invoice tracking system. The PD Invoice Management staff shall forward the invoice package to the Project Delivery Contracts Manager.
- 6.1.6 The Project Delivery Contracts Manager shall review the invoice, sign the checklist and forward the invoice package to the PD Invoice Management staff to log into an invoice tracking system. The PD Invoice Management staff shall forward the invoice package to the NTTA Technical Specialist.
- 6.1.7 The NTTA Technical Specialist shall create a PeopleSoft pay requisition for the invoice and forward the invoice package to the DPD for review and approval.
- 6.1.8 The DPD shall sign the invoice and the PRT checklist, and initial the pay requisition. In the event the DPD rejects the invoice, the DPD shall notify the PD Invoice Management staff and a request

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for the consulting firm to revise will be issued. The AED shall sign the pay requisition and the PRT checklist for all invoice payments over \$25,000. The DPD provides the invoice package to the NTTA Technical Specialist who makes a copy for the file and forwards the original signed copies to the NTTA Contracts Management Department. The NTTA Technical Specialist forwards the file copy to the PD Invoice Management staff who holds the file copy until a signed copy is received from the NTTA Accounting Department. Upon receipt of a copy signed by the NTTA Accounting Department, the PD Invoice Management staff scans and uploads a PDF version of the invoice in to EPDS. The PD Invoice Management staff returns the paper copy to the NTTA 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. 2.5 The Corridor/Project Manager shall provide one copy of a printed version of the construction pay estimate to the PD Invoice Management staff. The PD Invoice Management staff will attach a PRT checklist and verify appropriate approval signatures have been issued, log the pay estimate and forward it to the appropriate NTTA Manager for review. After NTTA Management approval, pay estimate shall be returned to the PD Invoice Management staff to log and forward to the Project Delivery Contracts Manager who shall review and sign the PRT checklist then return the pay estimate to the PD Invoice Management staff to log before forwarding onto the Director of Project Delivery for review and approval. After DPD approval, the DPD provides the pay estimate package to the NTTA Technical Specialist who makes a copy for the file and forwards the file copy to the PD Invoice Management staff. The PD Invoice Management staff scans and uploads a PDF version of the pay estimate in to EPDS. The PD Invoice Management staff returns the paper copy of the pay estimate to the NTTA Technical Specialist for filing.

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

- 6. 3. 1 The Corridor/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.

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- 6. 3. 2 The invoice shall be submitted by the vendor to the Corridor/Project Manager for review and approval.
- 6. 3. 3 The invoice review by the Corridor/Project Manager shall include a detailed review of the services provided and charges invoiced for that period, in order to make a recommendation to NTTA that the charges are valid per contractual requirements and should indeed be paid by NTTA. The Corridor/Project Manager shall then forward the signed invoice package to the PD Invoice Management staff for review.
 - 6.3.3.1 **Note: It is the sole responsibility of the Corridor/Project Manager to recommend the appropriateness of NTTA’s subsequent payment of this invoice as evidenced by their signature.**
- 6. 3. 4 The PD Invoice Management staff shall prepare a PRT checklist and attach to the invoice package. The PRT checklist provides a list of the items to be verified before the invoice can be paid. The PD Invoice Management staff shall forward the package on to the appropriate NTTA Manager in a green folder, which will accompany the invoice throughout the Project Delivery Department approval process. The NTTA Invoice Manager shall review the invoice package and their signature shall serve as recommendation by the NTTA that the services provided and charges invoiced are valid and should be paid by NTTA. The NTTA Manager shall return the signed invoice package to the PD Invoice Management staff to log into an invoice tracking system. The PD Invoice Management staff shall forward the invoice package to the Project Delivery Contracts Manager.
- 6. 3. 5 The Project Delivery Contracts Manager shall review the invoice, sign the checklist and forward the invoice package to the PD Invoice Management staff to log into an invoice tracking system. The PD Invoice Management staff shall forward the invoice package to the NTTA Technical Specialist.
- 6. 3. 6 The NTTA Technical Specialist shall create a PeopleSoft pay requisition for the invoice and forward the invoice package to the DPD for review and approval.
- 6. 3. 7 The DPD shall sign the invoice and the PRT checklist, and initial the pay requisition. The AED shall sign the pay requisition and the PRT checklist for all invoice payments over \$25,000. The DPD provides the invoice package to the NTTA Technical Specialist who makes a copy for the file and forwards the original signed copies to the NTTA Contracts Management Department. The NTTA Technical Specialist forwards the file copy to the PD Invoice Management staff who holds the file copy until a signed copy is received from the NTTA Accounting Department. Upon receipt of a copy signed by the NTTA Accounting Department, the PD Invoice Management staff scans and uploads a PDF version of the invoice in to EPDS.

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The PD Invoice Management staff returns the paper copy to the NTTA Technical Specialist for filing.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

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

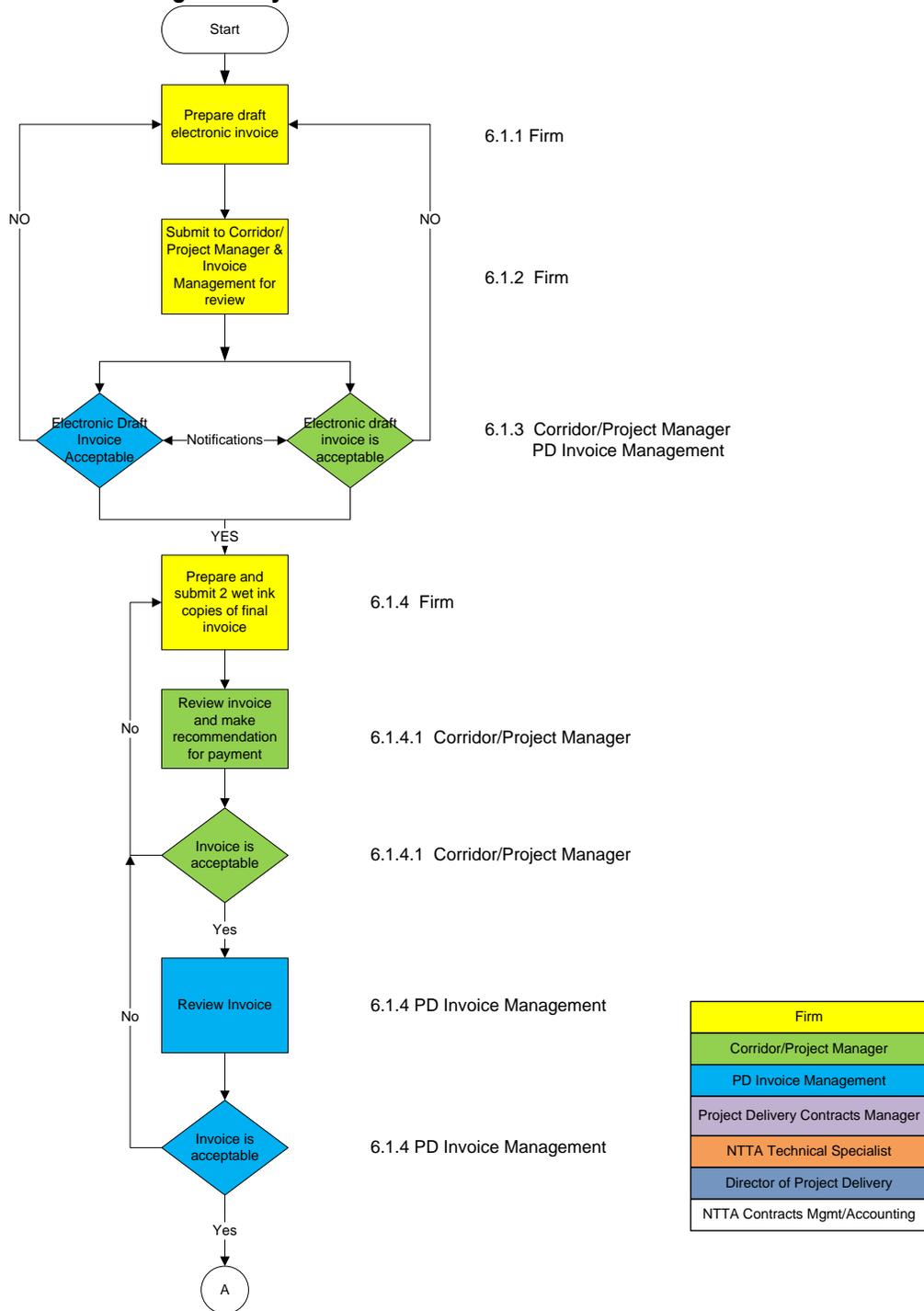
9.0 COMPONENT DOCUMENTS:

- 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](#)

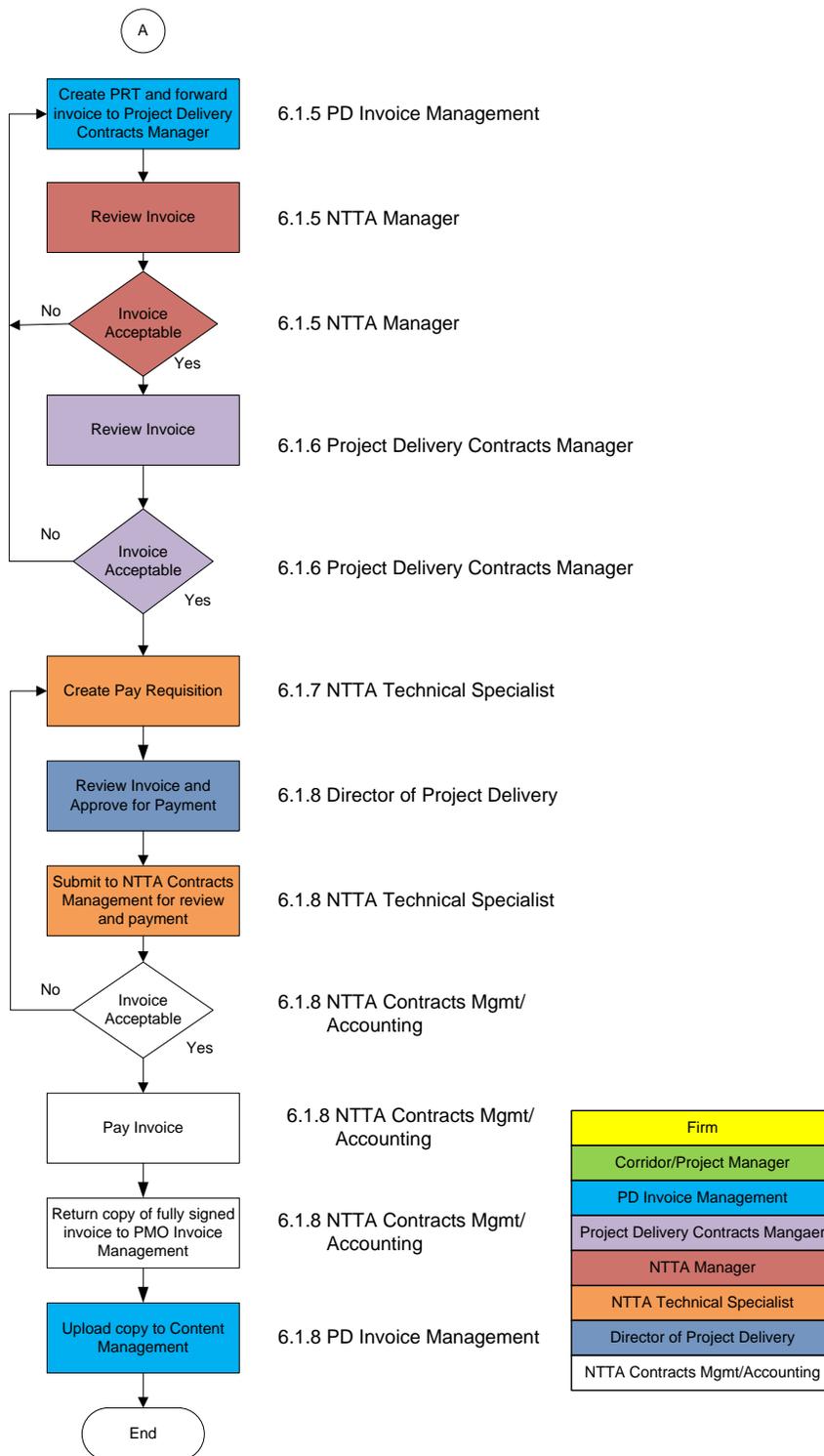
Note: Use of the modified CA-02-F3 and CA-02-F5 documents is dependent on the structure of the current contract Fee Schedule and may not be applicable in all cases. Conversion will be determined on a case by case basis.

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10.0 FLOWCHART: Invoicing and Payment Flowchart



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11.0 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 Invoice Templates and added reference to BDD forms on nttta.org
4	Darla Parsons	02/23/2010	10109	Added new cost plus fixed fee contract invoice template
5	Micki Ellis	04/19/2010	10131	Added requirement for more detail in invoice progress reports and requirement to include RFI and Submittal EPDS numbers. Reiterated significance of Corridor Manager signature
6	Darla Parsons Vicki Bridges	04/28/2011	10297	Updated procedure changes and modified invoice templates CA-02-F2, CA-02-F3, CA-02-F4 and CA-02-F5 invoice summary and expense summary pages. Updated flowchart.