

PDEA - PDU
LUMP SUM INVOICE PROTOCOL
May 10, 2011

1. The Invoice submittal should include the following items:
 - One original invoice and one copy
 - Do Not Staple

Progress report is sent to NCDOT PDEA Project Planning Engineer (1 copy)

2. The cover letter and the invoice should be addressed as follows:

Ms. Brenda Avant
NCDOT – PDEA Branch
1548 Mail Service Center
Raleigh, North Carolina 27699-1548
3. Questions regarding the invoice format and approval of the invoice for payment should be addressed to Ms. Brenda Avant at telephone number (919) 707-6002 or email bpavant@dot.state.nc.us.
4. Questions regarding the payment of the invoice should be addressed to Ms. Brenda Avant.
5. Following is a line-by-line explanation of the information requested on the invoice.

- **Total Fee Amount** is either:
 - ❖ ***Lump Sum Task Order*** - the sum total of the amounts shown in the original contract and all supplemental contracts approved by the Board of Transportation and executed by the Department for the project. This amount is not the Task Order Amount, which is negotiated by the Project Planning

Engineer and Group Leader and approved by the Professional Services Management Unit (PSMU). The task order amounts do not appear on the invoice sheet.

- ❖ **Lump Sum Purchase Order** - the amount of the Purchase Order that has been issued against the contract. Each Purchase Order that has been issued (which is negotiated by the PDEA Project Manager and approved by the PSMU) will be invoiced separately.
- **The vendor number, the contract number and budget code** lines are for NCDOT internal use only and should be left blank by the consultant. The NCDOT will add this information to the invoice before submitting the invoice to Fiscal for payment.
- **Partial Bill** line indicates that the invoice is an intermediate request for payment for this contract. The consultant should check the partial bill line on all invoices submitted to PDEA unless it is the final invoice that will be submitted for the contract.
- **Final Bill** line indicates that the invoice is the final request for payment that will be submitted for this contract. When the final bill line is marked, Fiscal Branch will close the account for the contract and no further invoices will be paid.
- **For professional consultant services rendered thru** line should show the beginning and ending dates for the invoice period.
- The next lines on the invoice provide the NCDOT the information required for debiting the appropriate project account number. There are two methods for providing this information.

The first method is for contracts for a single federal/state (and TIP) project number. Generally, this method will be used for Interstate (I), rural (R) and urban (U) projects. However, PDEA will execute a contract for a single bridge replacement project

under special circumstances. Use the first method for these single bridge replacement contracts.

The second method is for contracts for multiple federal/state (and TIP) project numbers. Generally, this method will be used for bridge replacement groups. However, PDEA will execute a contract for multiple rural and urban projects under special circumstances. [For example, the contract for the NEPA study on US 64 between Columbia and Manns Harbor (TIP Project Nos. R-2544 and R-2545) is two separate federal/state (and TIP) projects and SB 1005 contracts.] Use the second method for these types of contract.

The first method:

- ✓ **TIP Project Number**
- ✓ **Federal/state project number**
- ✓ **County**
- ✓ **% Fee Complete** – This is the percentage of the total fee amount (the total fee amount includes the original contract amount and all supplemental contract amounts) that is complete through the end of the current invoice period. This amount will increase with each invoice, unless a supplemental agreement is executed during the invoice period and the total fee amount increases by the supplemental fee amount.
- ✓ **% Last Report** – This is the **% Fee Complete** shown for the previous invoice period.
- ✓ **% This Report** – This is the percentage of the **Total Fee**, which will be remitted for this invoice period. This is the difference between **the % Fee Complete** and the **% Last Report**.
- ✓ **Amount Due** – This is the **% This Report** multiplied by the **Total Fee**.
- ✓ **% DBE** – This is the percentage of the **% Total Fee** which will be remitted to a DBE firm(s) this invoice period.
- ✓ **Amount Due DBE** – The **Total Fee** amount multiplied by **% DBE**.

The second method (Any contract with more than one TIP Number):

The following information should be provided for each federal/state (and TIP) project number included in the contract.

- ✓ **TIP Project Number**
- ✓ **Federal/state project number**
- ✓ **County**
- ✓ **% of Fee** – This is the percentage of the total fee amount (the total fee amount includes the original contract amount and all supplemental contract amounts) that will be expended for each federal/state (and TIP) project number included in the contract.
- ✓ **% Last Report** – This is the **% Fee Complete** shown for the previous invoice period for each federal/state (and TIP) project number included in the contract.
- ✓ **% Fee Complete** – This is the percentage of the total fee amount (the total fee amount includes the original contract amount and all supplemental contract amounts) that is complete through the end of the current invoice period for each federal/state (and TIP) project number included in the contract. This amount will increase with each invoice, unless a supplemental agreement is executed during the invoice period and the total fee amount increases by the supplemental fee amount.
- ✓ **% This Report** – This is the difference between **the % Fee Complete** shown for the current invoice period and the **% Last Report** for each federal/state (and TIP) project number included in the contract.
- ✓ **Amount Due** – This is the **% This Report** multiplied by the **Total Fee** for each federal/state (and TIP) project number included in the contract.
- ✓ **Amount Due DBE** – The **Total Fee** amount multiplied **% DBE** for each federal/state (and TIP) project number included in the contract.

The last line of information in this section will be a line showing the sum of **% of Fee**, **% Last Report**, **% Fee Complete**, **% This Report**, **Amount Due**, and **Amount Due DBE** for the current invoice period.

An example PDEA invoice is appended to this protocol. The example illustrates both methods. However, both methods should not appear on the same invoice.

Invoices submitted for bridge replacement groups should clearly indicate the group name at the top of the invoice, such as “PDEA Invoice – Bridge Group 20”.

- **Total Fee This Period** and **Total Fee To Date** – are the same amount as shown on the **Total Fee** line at the top of the invoice.
- **% Complete This Period** – is the same percentage as shown above in **% This Report** column.

% Complete To Date – is the same percentage as shown above in **% Fee Complete** column.

- **Total** is the **% Complete** multiplied by **Total Fee**. (**Total This Period** amount must be the same figure as shown above in **Amount Due** column.)
- **Less Prior Billings** – is the **Total This Period** (or **Amount Due**) from the previous invoice period.
- **Total Amount Due To Date** – is the **Total to Date** minus **Less Prior Billings**. (The **Total Amount Due** amount must be the same figure as the **Total This Period** and the **Amount Due** from above.
- **DBE To Date %** – is the percentage of the **Total Fee** paid to DBE firms from contract execution through the current invoice period.

- **DBE to Date \$ _____** – is the amount paid to DBE firms through the current invoice period.
- **NCDOT Approval** – includes “**% Complete Approved, By and Date**” lines for the PDEA project manager to approve the invoice for payment. These line should be left blank by consultant firm.

The **% Complete Approved** is the percentage of the contract approved for payment for this invoice period. The percentage will be the same percentage as **%This Report** if the total percentage requested is approved by the project manager. If the total percentage requested is not approved by the project manager, the percentage shown on this line may be less that the percentage shown on **% This Report** above. In some circumstances, the invoice may be returned to the consultant for revision.

- ***List DBE Firms and Amount Due Each** – This information can be listed at the bottom of the invoice form or shown separately on an attached sheet.

Following is a list of the most frequently asked questions concerning the Invoice Protocol and the answers to each.

- **Why is the total contract amount divided among the projects included in the contract and shown separately on the invoice?** The Fiscal Branch of NCDOT assigns one Contract Number to each original contract executed by PDEA. However, it establishes an individual account for each federal/state project number (and TIP project number) included in the contract. The individual account allows NCDOT to track the amount of money expended for preliminary engineering for each federal/state project number (and TIP project number).

For example, a contract executed for a bridge replacement group includes several federal/state (and TIP) projects, each with an

individual project number. The Fiscal Branch establishes a separate account for each of the federal/state project numbers (and TIP project numbers) in the group. However, only one contract number is assigned for the PDEA contract. Therefore, the invoice needs to show the amount expended for each federal/state project number (and TIP project number) during the invoice period. These amounts will be deducted from the account for each federal/state (and TIP) project number.

- **Should the amounts being billed on different approved task orders be listed “one-by-one” on the invoice?** No. The total fee amount or “contract amount” should be shown on the invoice, which includes the sum total of the executed contract amounts shown in the original and all supplemental contracts. The contract amount shown in the original contract is used by Fiscal Branch to establish an account for the project. The contract amount shown in supplemental agreements is used to increase the amount in the account established by the original agreement. Copies of the original and supplemental contracts are provided to Fiscal Branch (one copy to External Audit and one copy to Commercial Accounts). A copy of each approved Task Order is provided to External Audit only, not to Commercial Accounts. Therefore, Commercial Accounts does not know when Task Orders are approved. Information regarding Task Orders is irrelevant to the payment of the invoice.
- **When a project agreement is changed from Lump Sum to Task Order, does the Total Fee amount start over?** No. It is important that only one original agreement is executed for each federal/state (and TIP) project. All subsequent agreements are supplemental agreements to the original agreement and should be clearly marked as such. A change in the type of agreement (such as changing from a lump sum contract to a task order contract) does not require the lump sum contract be terminated, the project account closed, a new original agreement be executed, and a new project account established.

The above protocol was developed to aid the PDEA Branch – Consultant Project Planning Engineers in the administration of the

Contract. This protocol should be followed for all invoices submitted to the PDEA Branch for processing. Failure to comply with this protocol or to submit an invoice which does not use the appropriate format will result in the invoice being returned to the consultant for revision.

Name of Firm
 12345 Someone's Address
 Raleigh, North Carolina Zip code

North Carolina Department of Transportation

Remit to: Ms. Brenda Avant
 NCDOT Project Development & Environmental Analysis Branch
 1548 Mail Service Center
 Raleigh, N.C. 27699-1548

PDEA-PDU INVOICE

FIRM: _____

DATE: _____

TOTAL FEE:* _____ \$0.00

For NCDOT Internal Use Only

INVOICE NO.: _____

VENDOR NO. : _____

_____ Partial Bill _____ Final Bill

CONTRACT NO.: _____

Sign: _____
 Name of Project Manager

BUDGET CODE: _____

**Total Fee Includes All Supplements to Original Contract Amount*

For professional consultant services rendered thru: 00/00/00

<u>T.I.P. No.</u>	<u>Project No.</u>	<u>County</u>	<u>% Fee Complete</u>	<u>% Last Report</u>	<u>% This Report</u>	<u>Amount Due</u>	<u>% DBE**</u>	<u>Amount Due DBE</u>
R/U-0000	8.1111111	Wake	0.00%	0.00%	0.00%	\$0.00	0.00%	\$0.00

OR

<u>T.I.P. No.</u>	<u>Project No.</u>	<u>County</u>	<u>% of Fee</u>	<u>% Last Report</u>	<u>% Fee Complete</u>	<u>% This Report</u>	<u>Amount Due</u>	<u>Amount Due DBE</u>
B-0000	8.1111111	Wake	0.00%	0.00%	0.00%	0.00%	0.00	\$0.00
B-0000	8.1111111	Wake	0.00%	0.00%	0.00%	0.00%	0.00	\$0.00
			0.00%	0.00%	0.00%	0.00%	\$0.00	\$0.00

**DBE Name **DBE AMT

	<u>THIS PERIOD</u>	<u>TO DATE</u>
Total Fee	\$ -	\$ -
% Complete	0.00%	0.00%
Total	\$ -	\$ -
Less Prior Billings		\$ -
TOTAL AMOUNT DUE		\$ -

DBE TO DATE: _____ %
DBE TO DATE: Name _____ Amount _____

NCDOT APPROVAL
 _____ % COMPLETE APPROVED

By _____ Date _____

****List DBE Firms and Amount due each**