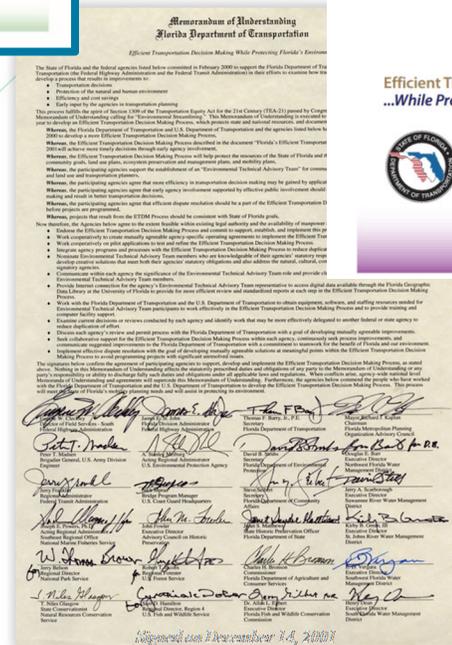
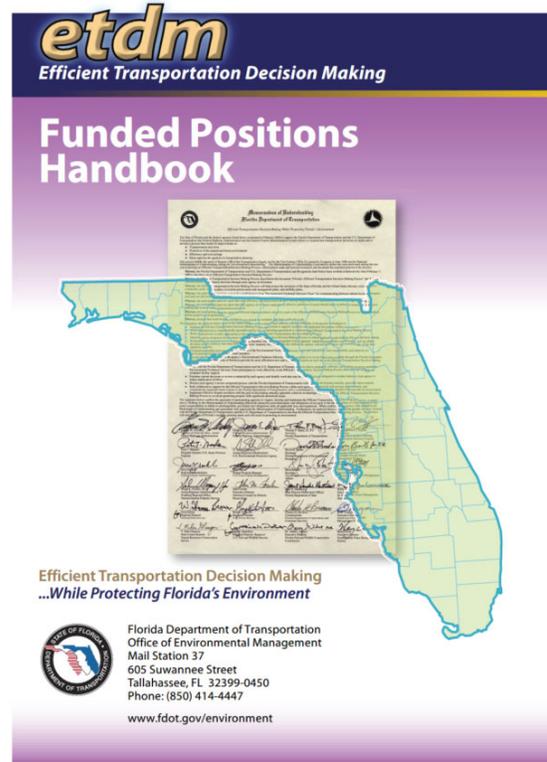
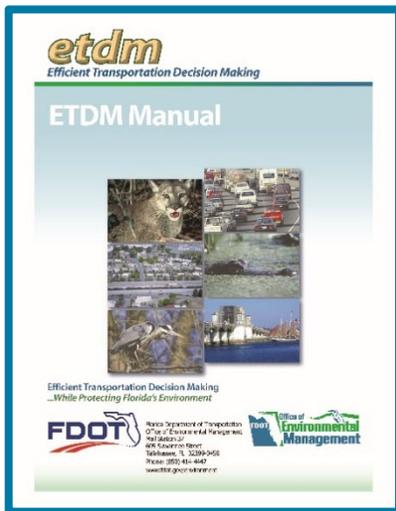


January 2020

# FDOT ETDM Agreement Administrative Handbook



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- Appendix B Agency Agreement File Checklist

# 1 INTRODUCTION

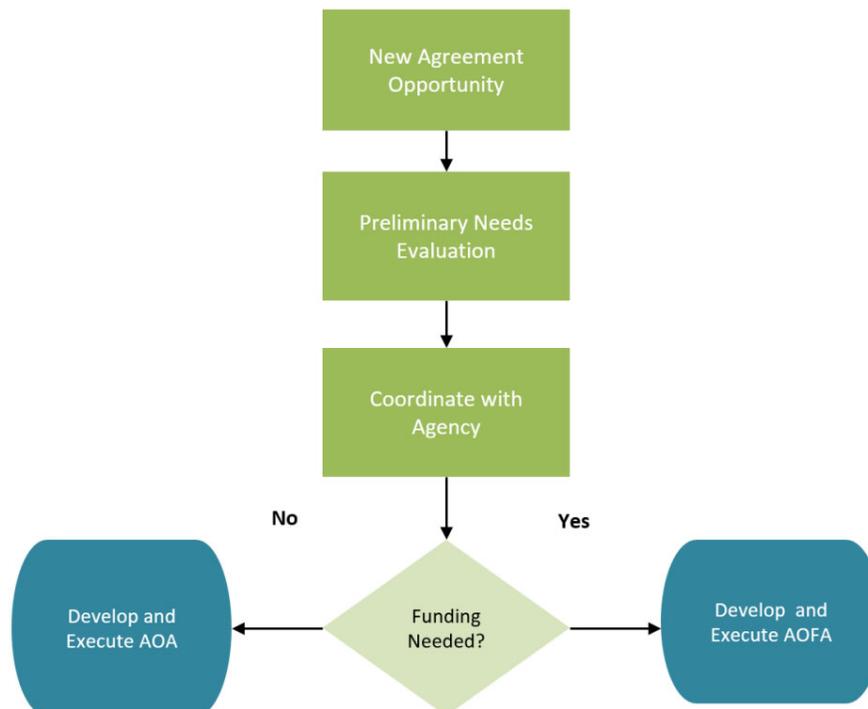
This handbook is a companion document designed to go along with the Efficient Transportation Decision Making (ETDM) Funded Position Reference Handbook. This handbook provides the administrative details necessary for Florida Department of Transportation (FDOT) positions to create, manage, and monitor ETDM agreements. The information contained within this handbook provides an overview of the ETDM agreement development process, describes the Office of Environmental Management (OEM) Invoice Administrator and Reviewer role requirements, and discusses agency invoicing and internal audit functions supporting the internal management of the executed Agency Operating and Funding Agreements (AOFA) and Funding Agreements (FA). The Environmental Screening Tool (EST), which is used to store, manage and track agreements, including submission of invoices by the funded agency, is also described in this handbook.

# 2 ETDM AGREEMENT DEVELOPMENT PROCESS

The OEM Quality Assurance and Performance Section manages the ETDM Agreement Development Process of the Master Agreements (MA), Agency Operating Agreements (AOA), and AOFAs. The AOFAs are combined agreements, which include elements from both the AOA and FA into a single document.

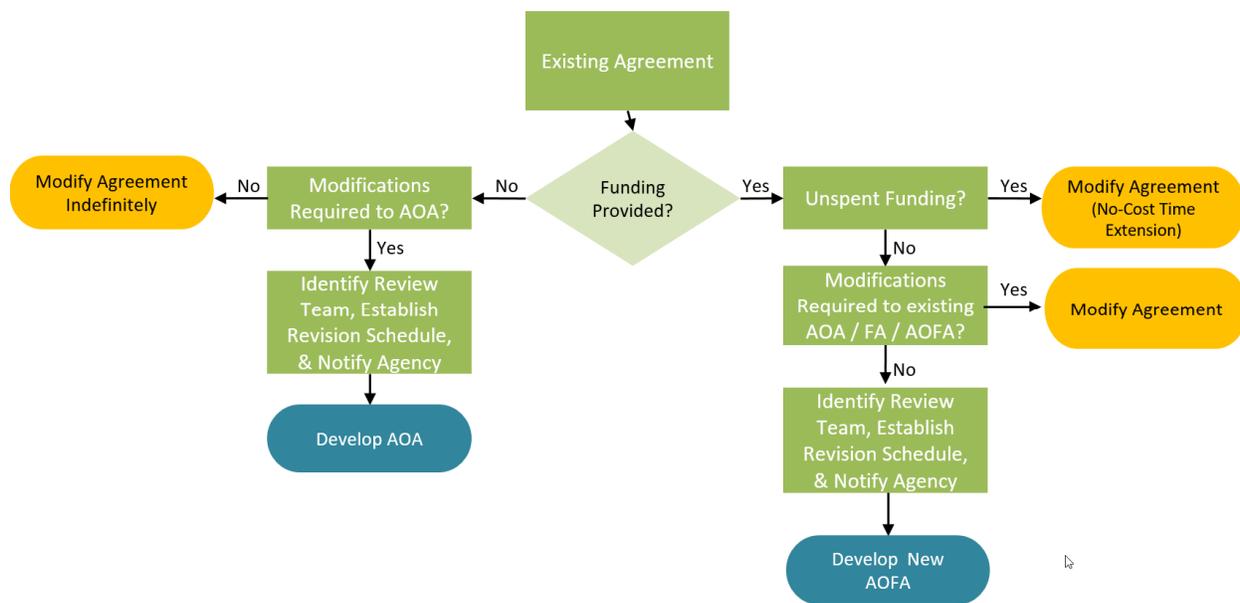
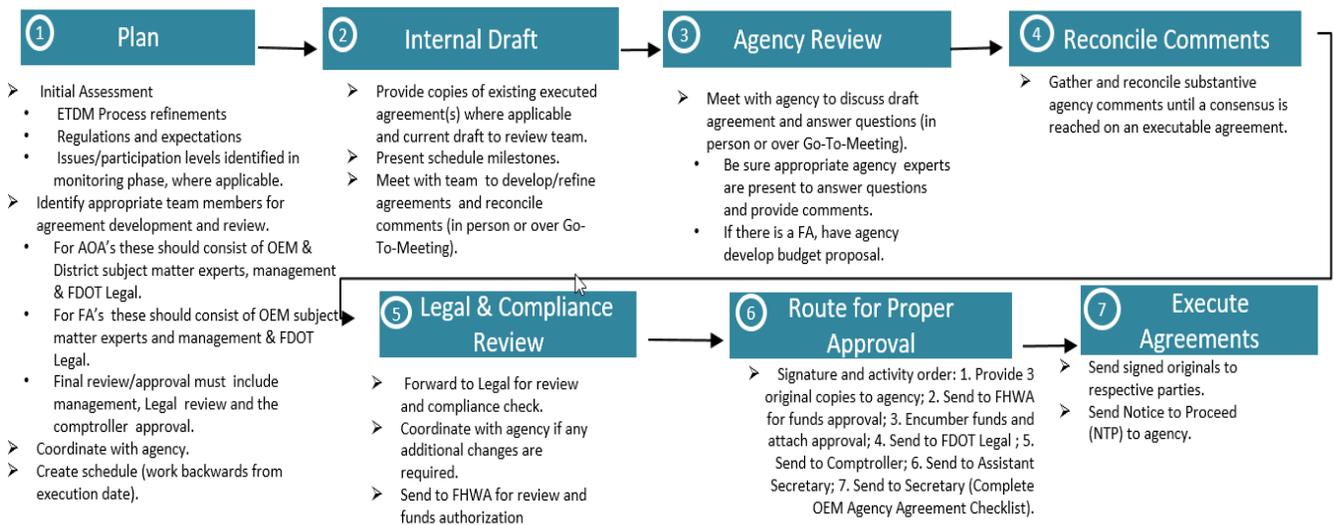
## 2.1 New ETDM Agreement Development Process

When new agreement opportunities are identified, the Department meets with the Signatory Resource Agency to assess the needs and determine whether an AOA or AOFA should be developed.



The OEM is responsible for setting the development schedule; identifying the review team; drafting the agreement; reconciling agreement comments; managing funds within the approved budget; and administration of the agreement. Earlier iterations of ETDM Agreements were tri-party agreements executed by FDOT, Federal Highway Administration (FHWA), and the resource agency participating in the ETDM process. However, since execution of the NEPA Assignment MOU, FHWA’s role has transitioned from a signatory on the agreement, to one that provides review of the agreement to ensure federal funding eligibility and provides funds authorization throughout the agreement development and management processes. Steps to develop a new ETDM Agreement are described below.

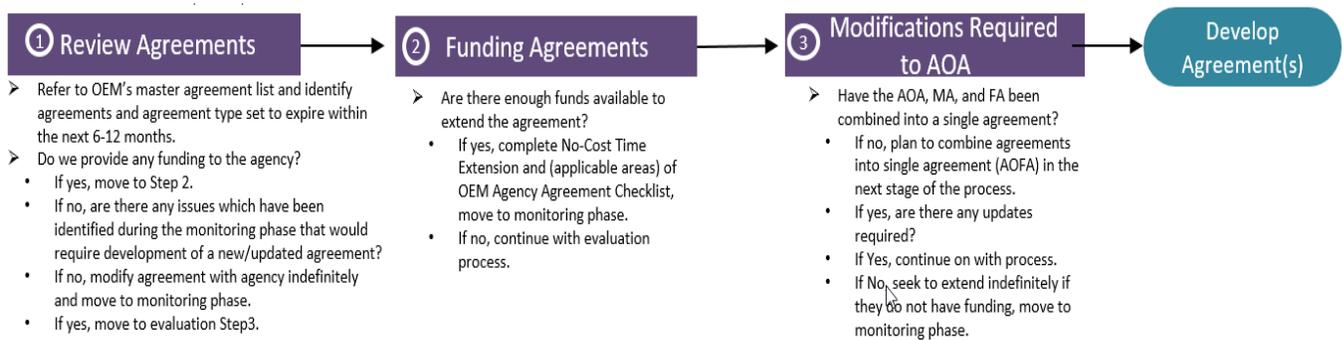
**NOTE:** Processing an agency agreement from planning to execution can take up to a year.



## 2.2 Existing Agreement Evaluation

The OEM Quality Assurance and Performance section manages the ETDM process MA, AOA, FA, and AOFA between FDOT and the Signatory Resource Agency. Each agency agreement has an independent duration, including start and end dates.

The OEM Quality Assurance and Performance section maintains a renewal schedule for all agency agreements. The first action when accessing agreements for renewal is determining whether there is an FA, AOFA, or a combination of the AOA and MA. Steps to evaluate the existing ETDM Agreements are described below.

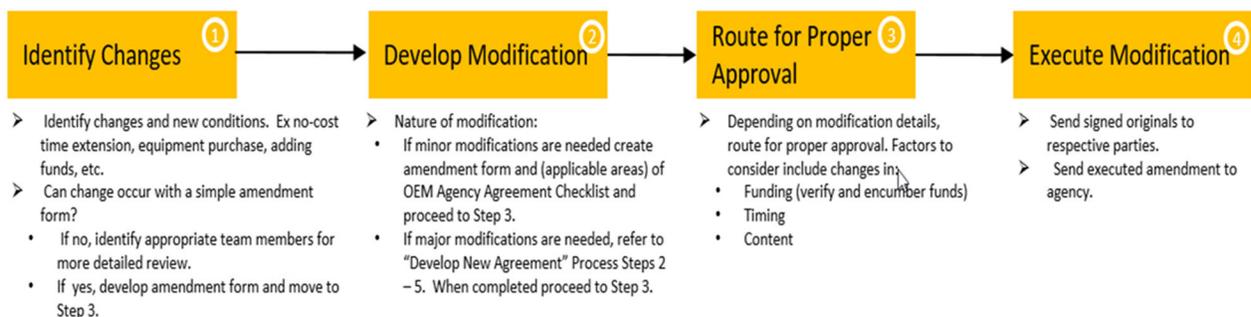


If new agreements are developed, follow the process described above.

## 2.3 Modifying Agreements

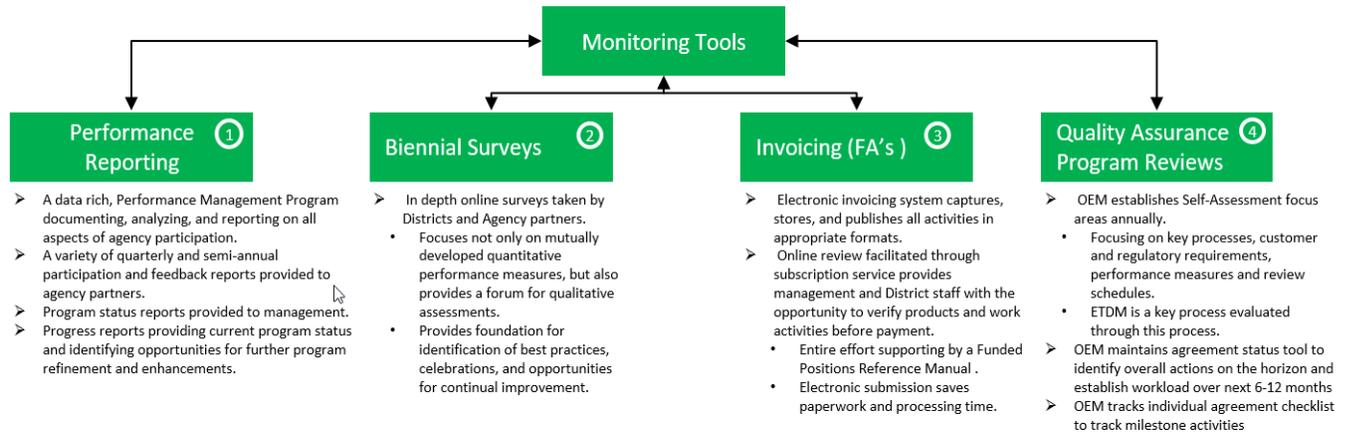
Occasionally, and for a variety of reasons, agreements may need to be modified prior to the expiration date to adjust to changing conditions. Common reasons for agreement modifications include: time extensions; funding adjustments; increases in advance payments; staffing or resource shifts. Changes to the existing executed agreement must occur in writing and executed by all parties through an Agency Amendment form (**Appendix A**). Depending on the nature of the modification and the conditions set forth in the executed agreement, the amendment may be executed by the identified project officers.

Cost increases and additional expanding scope of service activities must be reviewed and approved by FHWA before execution and must be signed consistent with the original execution of the approved agreement. No-cost time extensions and other modifications which do not increase the cost or expand the scope of the existing executed agreement may be processed by the project officers identified in the executed agreement. The steps to modify and amend an existing agreement are described below.



## 2.4 Monitoring Agreements

The agreements must be continually monitored. Mechanisms to accomplish this within the ETDM Process include: a Performance Management Program, Biennial Surveys, a transparent electronic invoicing system (within the EST), and Self-Assessment / Quality Assurance Reviews (QAR). Agreement monitoring and various tools are described below.



## 3 MANAGING AND DOCUMENTING AGREEMENTS

Each agency agreement is assigned an FDOT Contract Manager. The FDOT Contract Manager may be supported by additional resources to assist in the daily management of the contract file and agreement administrative processes. Once an agreement is executed, a contract file is established, maintained, and periodically reviewed for accuracy and completeness.

### 3.1 FDOT Contract Manager

The FDOT Contract Manager is responsible for, but not limited to:

- Agreement procurement
- Monitoring agency performance and, when necessary, taking corrective actions
- Verification of services performed or deliverables received to support invoice payment
- All agency agreement documentation
- Complete and accurate contract files
- Periodic contract file review and updates

An FDOT Contract Manager may delegate some responsibilities to support staff to assist with file documentation and file maintenance. However, the FDOT Contract Manager is responsible for ensuring the agreement file is complete and accurate per FDOT's Disbursement Handbook and Department of

Financial Services (DFS) requirements. The FDOT Contract Manager conducts periodic reviews of the agreement file and signs the Agency Agreement File Checklist (**Appendix B**).

Delegated staff has, but is not limited to, the following responsibilities as found in the FDOT Disbursement Handbook:

- Compile comments and reviews from Invoice Administrator and Invoice Reviewers within five (5) working days
- Maintain electronic and hardcopy files
- Uploading all agency agreements and amendments in EST
- Budgets and encumbrances
- Point of contact for agency invoices

### **3.2 Project Officers or Designee**

Each agreement identifies Project Officers or Designee who are the official contacts for FDOT and the agency. The Project Officers' and Designee responsibilities include, but are not limited to:

- Receiving contract correspondence
- Coordinating ETDM activities within their agency
- Processing No Cost Amendments and travel authorization requests
- Request corrections, or additions to the AOFA which do not expand the statement of work or budget.
- Participate in initial issue resolution processes, as needed
- Monitoring and addressing agency performance issues identified on quarterly ETAT Feedback Reports and ETDM Survey results
- Assigning staff to FDOT District ETAT teams and other contract tasks (such as invoicing), as needed

### **3.3 Agreement Documentation Management**

The electronic working agreement file is stored on the OEM shared drive [\\codata\shares\CO\ISD\EMO\OEM\\_Contracts\AGENCY AGREEMENTS-PM](\\codata\shares\CO\ISD\EMO\OEM_Contracts\AGENCY AGREEMENTS-PM), which is available to OEM staff while on the FDOT network. Hardcopy files are also maintained by the OEM Project Coordinator. Required documentation (defined below) will be stored in the agreement file and will be maintained in the original format and/or in portable document format (PDF). Invoice and performance documentation will be downloaded from the EST system or other sources. Required documentation not in digital format will be scanned into a PDF document and placed into the electronic file. Agreement files, also considered contract files, will be held until 5 years after the agreement has reached closed status within the work program, and all parties are in agreement with remaining payments and obligations reconciled. A request to status 50 means the agreement has been closed entirely. Request

for status change is emailed to the Contract Payment Section of the Department at [CONTSTATUS@dot.state.fl.us](mailto:CONTSTATUS@dot.state.fl.us). Once the file reaches its retention, the hardcopy originals are purged while the electronic files can be kept if the records continue to hold administrative, fiscal, legal, or historical value to warrant their continued storage in an easily accessible area. The Contract Manager is responsible for ensuring that Records Management Topic No. 050-020-025-h is being followed.

### 3.4 Agreement File

Agreement files are located in electronic folders on the OEM office shared drive and/or hardcopy files in the OEM Project Coordinator's area. These folders should contain the complete file record. Hardcopy files are scanned and placed into the OEM electronic folders.

The OEM office will maintain files for each agency agreement on the shared drive. Active agreements are stored in individual folders located here: \\codata\shares\CO\ISD\EMO\OEM Contracts\AGENCY AGREEMENTS-PM. Closed agency agreements are electronically saved here: \\codata\shares\CO\ISD\EMO\OEM Contracts\AGENCY AGREEMENTS-PM\AGENCY CLOSED AGREEMENTS. Agency agreements are accessible to OEM management and staff. At a minimum and for contracts with a definite expiration date, these files contain separate folders for the following:

- Agreement
- Amendments
- Checklist
- Close-Out
- Coordination Meetings
- Correspondence
- Delegation
- Encumbrance
- Financial Summary Reports
- Payment Request
- Performance

Other folders that may be in the contract file include:

- Advance Request Approvals
- Equipment
- Training-Travel Request
- Work Plan
- Audit (only for Water Management Districts/Single Audit Act)

Files for agency agreements with an indefinite expiration date will, at a minimum, contain:

- Agreement
- Coordination Meetings
- Performance

### 3.5 File and Document Naming Convention

The naming convention will concatenate different elements to create a unique and informational file name. Agency agreement and amendment names would include the agency abbreviation, contract number, type of contract, beginning and ending date, and, if an amendment, the amendment number and the amended ending date. Other initials or numbers may be added to the naming convention to indicate a specific feature or classification, such as ADVPAY for Advanced Pay or RE for Reimbursement. Other documents in the contact file will, at a minimum, have name or type of document, date of document, contract to which affiliated, and specific identifier as needed.

An example of a contract name is *ACOE-ARU50-AOFA-RE\_2014-0410\_2017-0410*, where;

ACOE is name of agency,

ARU50 is contract number,

AOFA is Agency Operating and Funding Agreement,

RE is Reimbursement,

Followed, by agreement begin and end dates.

Abbreviations for Naming Convention:

PA = Personnel Approval

TA = Travel Approval

EA = Equipment Authorization

ADVPAY(+) = Increased Advance Pay

COMP(+) = Increased Compensation

RA = Relocation

SUB = Subconsultant Authorization

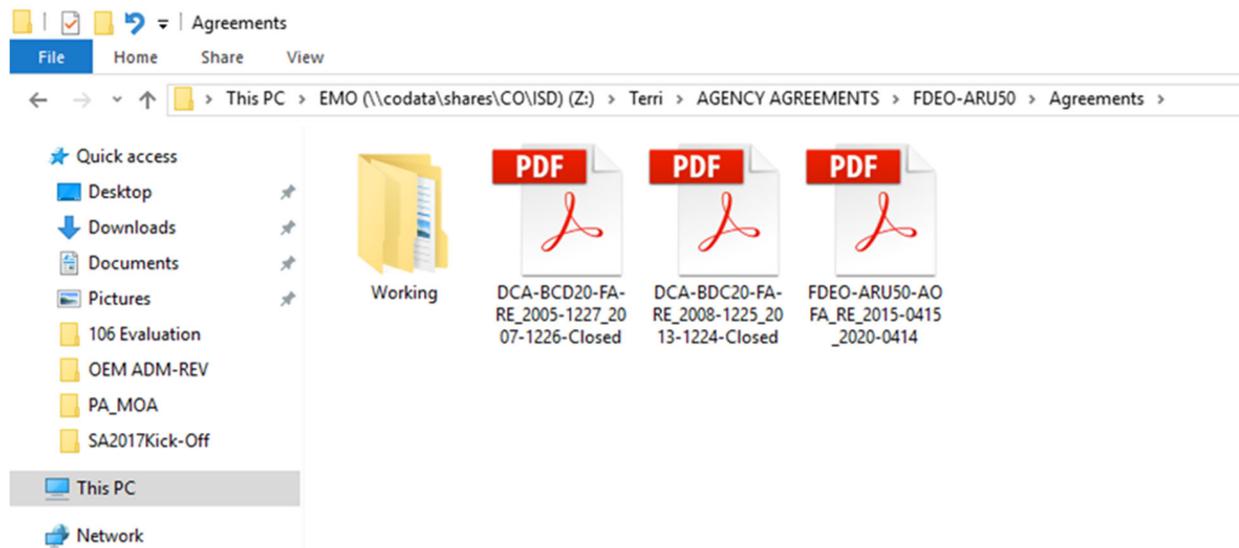
TE = Cost Time Extension

NC-TE = No-Cost Time Extension

Funding (-) = Funding Decreased

RE=Reimbursement

Below is an example of an agency folder with the naming convention for agreements:



### 3.6 Agreement File Checklist

The FDOT Contract Manager completes and uses an Agency Agreement File Checklist to document the contents for each Agency file, which will include but not be limited to:

- Activity Record & Correspondence (Correspondence Folder)
- Financial and Payment Records (Encumbrance Folder for Financial Records, and Financial Summary Reports Folder for Payments)
- Payment Activity Ledgers (Payment Request)
- Invoices and Supporting Documentation (Payment Request Folder)
- Contract Documents (Agreement Folder)
- Agency Electronic Feedback Report (EFR) (Performance Folder)

The Agency Agreement files are reviewed every twelve months, starting January 1, 2019, and a completed checklist is placed in the file. A checklist will be created by administrative support staff and reviewed and signed by the FDOT Contract Manager at review completion.

## 4 AGREEMENT PERFORMANCE MONITORING

Agency agreements contain performance expectations for the signatories. Collectively, the parties to the ETDM Agreements are known as the Environmental Technical Advisory Team (ETAT).

ETAT agreements contain established protocols for performance standards which establish the expectations pertaining to the negotiated and executed agreement. While performance expectations are

unique to each executed agreement and each executed agreement should be reviewed for specifics, generally the core standards throughout the executed ETDM agency agreements are:

- ETAT agency review of Planning and Programming Screens within 45 calendar days of notification
- FDOT response to comments and inquiries within 30 calendar days
- FDOT response to requests for additional information within 30 calendar days
- Establishment of quality assurance protocols for digital information
- Collaborative development of task and/or annual work plan which establishes priorities, milestones, deliverables and schedule
- Completion of ETDM Issue Resolution Process within 120 calendar days, if applicable
- Review of environmental documents and technical reports within 30 calendar days, with the exception of the Draft Environmental Impact Statement (DEIS), which is 45 calendar days once approved for public availability, upon request.

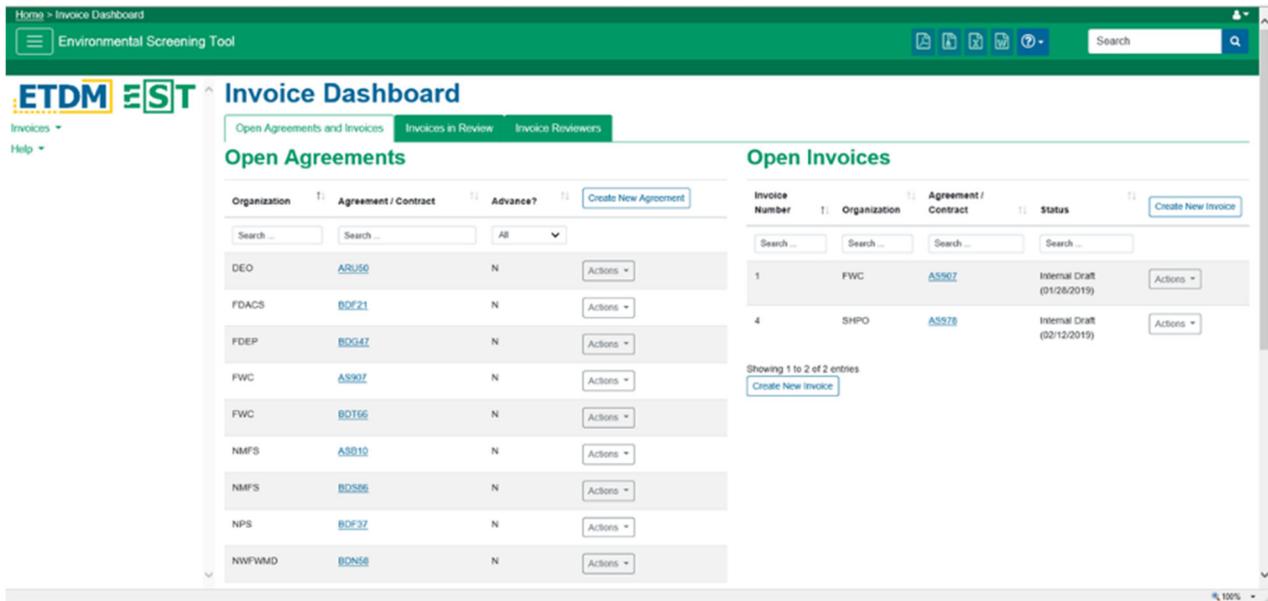
These standards may vary slightly among agencies but will cover the areas listed above. OEM monitors these standards and produces the quarterly ETAT Feedback Report (EFR) with performance results and trend analysis. Each agency is provided a copy of its quarterly EFR, and the EFR is placed in the agency contract file at the beginning of the subsequent quarter.

The Quality Assurance and Quality Control (QA/QC) Coordinator is responsible for reviewing the quarterly EFRs and sending the reports with the review to the ETAT agencies. The QA/QC Coordinator supplements the agreement files as reports are created and sent to the agencies.

## 5 HOW TO MANAGE AN ETDM AGREEMENT IN THE EST

The executed ETDM Agreements are agency-specific and serve as the governing document establishing the funding terms (advance payment or reimbursement) expected invoicing requirements, billing and reporting cycle, as well as the performance measures, other work expectations and allowable expenses.

The agreement information is entered and managed using the **Invoice Dashboard** on the EST at: <https://www.fla-etat.org/est/secure/>. After logging into the EST, under the **Invoicing** menu, select **Dashboard**. The **Dashboard** is where the FDOT ETDM Invoice Administrator manages agreements and works on invoices. The **Dashboard** includes three tabs: **Open Agreements and Invoices**, **Invoices in Review**, and **Invoice Reviewers**. The **Open Agreements and Invoices** tab lists active agreements and draft invoices currently in progress. Invoices being reviewed by FDOT are located under the **Invoices in the Review** tab. These invoices may have viewed, but not edited. The **Invoice Reviewers** tab is a quick reference for the Invoice Administrator to identify the people who review agency invoices for OEM and for the Districts. If the list in any of these tables is lengthy, items can be easily located by typing in the search bars under the column headers.



The screenshot displays the 'Invoice Dashboard' interface. At the top, there are navigation tabs for 'Open Agreements and Invoices', 'Invoices in Review', and 'Invoice Reviewers'. The 'Open Agreements' section features a table with the following data:

Organization	Agreement / Contract	Advance?	Actions
DEO	ARU56	N	Actions
FDACS	BDF21	N	Actions
FDEP	BDG47	N	Actions
FWC	AS907	N	Actions
FWC	BOT66	N	Actions
NMFS	AS810	N	Actions
NMFS	BOS86	N	Actions
NPS	BDF37	N	Actions
NWFWMD	BCN58	N	Actions

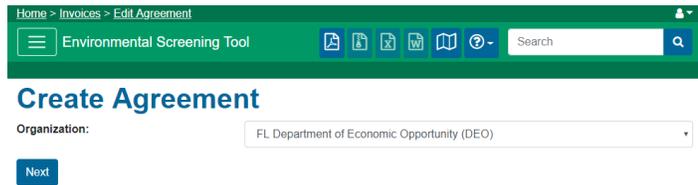
The 'Open Invoices' section features a table with the following data:

Invoice Number	Organization	Agreement / Contract	Status	Actions
1	FWC	AS907	Internal Draft (01/28/2019)	Actions
4	SHPO	AS578	Internal Draft (02/12/2019)	Actions

The remainder of this section includes instructions for managing the agreement and invoice records in the EST.

## 5.1 How to Add an Agreement to the Database

If the agreement is not already in the EST, the Invoice Administrator from the **Invoice Dashboard** selects **Create New Agreement** and selects the appropriate agency from the drop down list and clicks **Next** and the remaining fields appear on the page.



The Invoice Administrator then types in the Master Agreement or Contract Number in the form. Once the agreement or contract number has been entered, the Invoice Administrator selects the **Primary Invoice Submitter (EST User)** and person for the agreement or contract from the pull-down menus.

The Invoice Administrator then types the remaining information in the text boxes in the form. Note the Federal Project Prefix is always ETDM. The **Federal Project Number** is numeric only. If the agreement is an advance payment agreement, the Invoice Administrator checks the **Allow Advance Pay Requests** check box.

The Invoice Administrator then enters the contract limits for salary, training, travel, and other expenses, or checks the **Only use a Single Limit** check box and enters the single limit total in the Other box. The Invoice Administrator sets the contract limits based upon the terms of the AOFA.

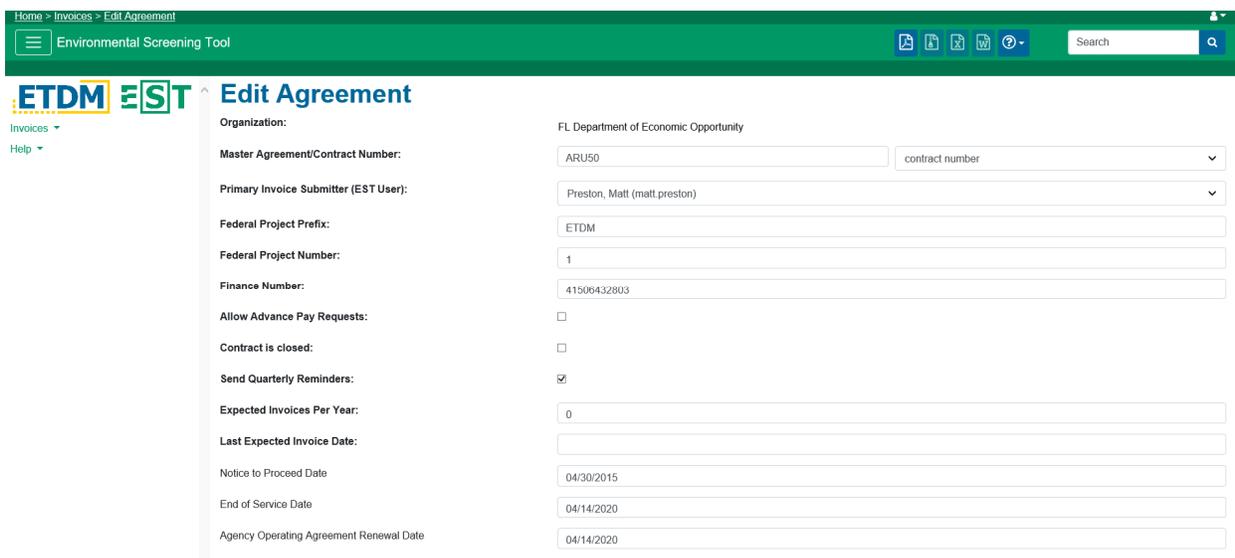
The Invoice Administrator then selects the dates for **Notice to Proceed, End of Service, Agency Operating Agreement Renewal, Funding Agreement Renewal, and Master Agreement Renewal**, as shown below. There are two methods that can be used to add these dates. The Invoice Administrator types the dates in using the **mm/dd/yyyy** format or clicks on the calendar icon to select the date from a calendar.

March 2019						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

After entering the dates, the Invoice Administrator uploads the scanned agreement document and saves the agreement information by clicking the **Save Agreement** button at the bottom of the form. The information will be added to the EST, and will automatically populate some of the required fields for the invoice information. To revise any of the information prior to clicking **Save**, the Invoice Administrator can type over the existing information or select different dates.

## 5.2 How to Make Changes to an Agreement Record

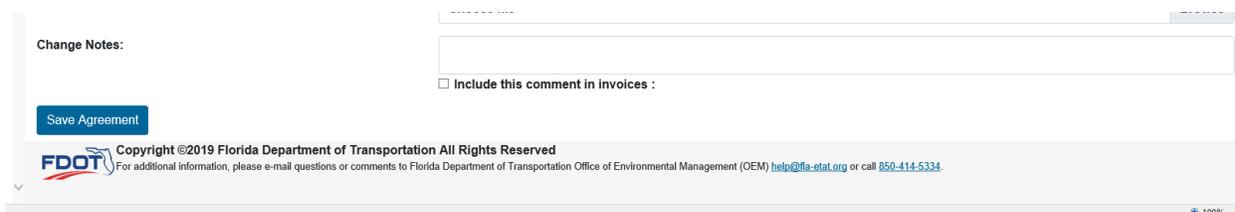
From the **Invoice Dashboard** the Invoice Administrator selects the **Edit Agreement** option from the **Actions** dropdown menu to make any changes to an agreement record. After selecting the Agreement from the **Open Agreements** listing, the Invoice Administrator makes changes by typing in the text boxes, and changes the dates by typing in the new dates (in **mm/dd/yyyy** format) or by clicking on the calendar  icon and selecting the new date from a calendar.



Organization:	FL Department of Economic Opportunity
Master Agreement/Contract Number:	ARJ50 contract number
Primary Invoice Submitter (EST User):	Preston, Matt (matt.preston)
Federal Project Prefix:	ETDM
Federal Project Number:	1
Finance Number:	41506432803
Allow Advance Pay Requests:	<input type="checkbox"/>
Contract is closed:	<input type="checkbox"/>
Send Quarterly Reminders:	<input checked="" type="checkbox"/>
Expected Invoices Per Year:	0
Last Expected Invoice Date:	
Notice to Proceed Date:	04/30/2015
End of Service Date:	04/14/2020
Agency Operating Agreement Renewal Date:	04/14/2020

The Invoice Administrator enters a description of the change in the **Change Notes** textbox, then clicks **Save Agreement**.

**Note:** There is a box that can be checked if the comment entered needs to be shown on the invoice. The box needs to be checked before saving.



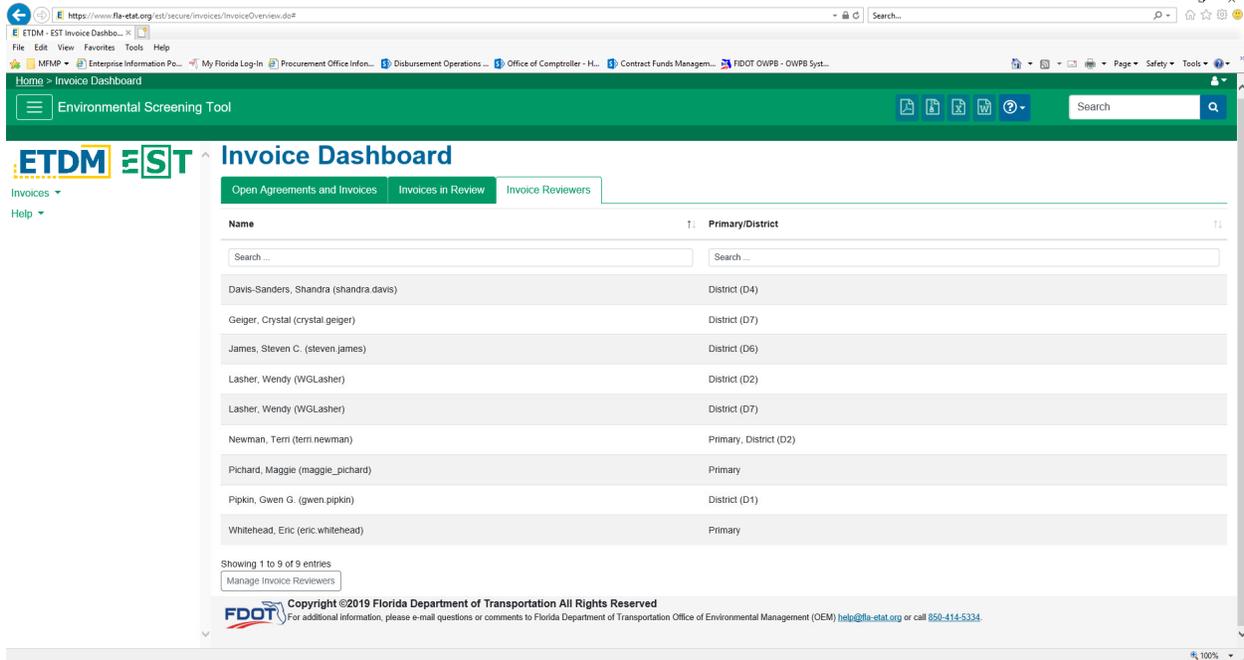
Change Notes:

Include this comment in invoices :

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For additional information, please e-mail questions or comments to Florida Department of Transportation Office of Environmental Management (OEM) [help@la-etat.org](mailto:help@la-etat.org) or call 850-414-5334.

### 5.3 How to View a List of District Invoice Reviewers

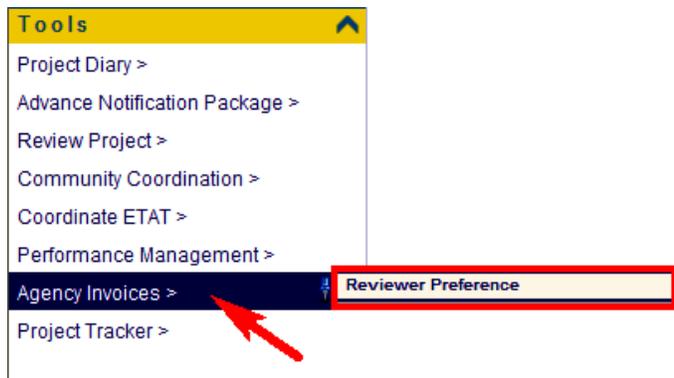
From the **Invoice Dashboard** select the **Invoice Reviewers** tab. A display lists of FDOT **District Invoice Reviewers** selected by Districts for Invoice Review.



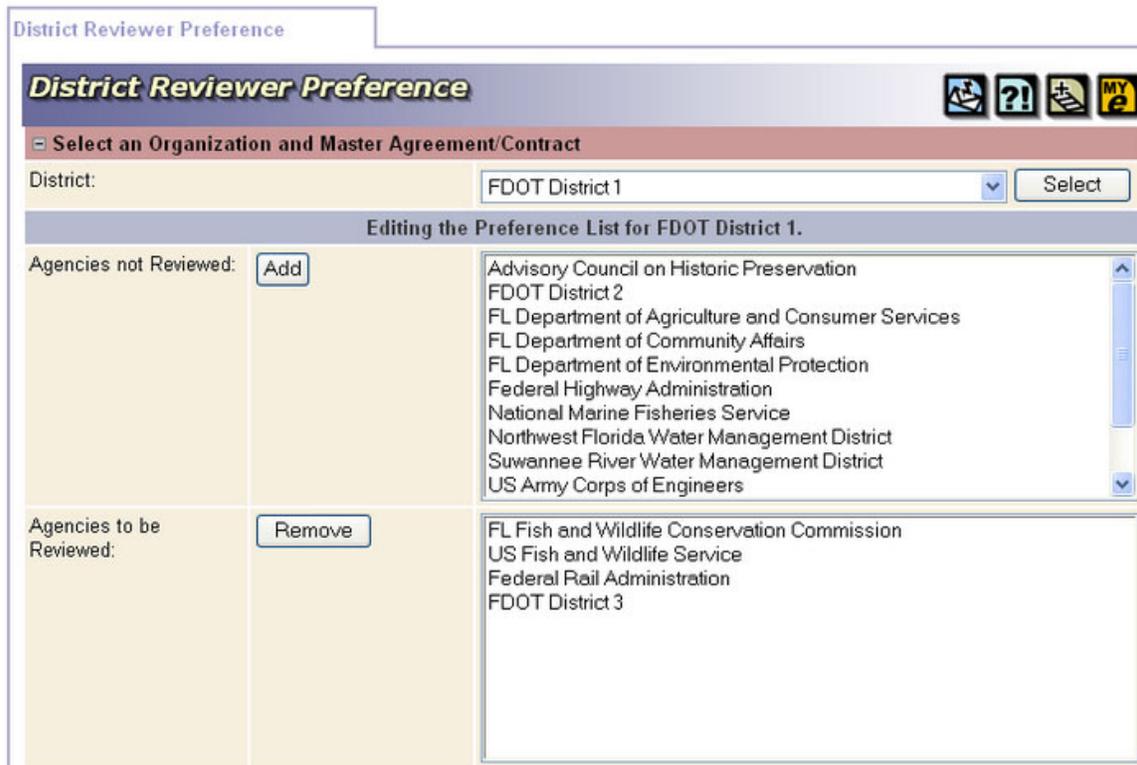
### 5.4 How to Set Up District Invoice Review Preferences

The District ETDM Coordinator uses the **District Reviewer Preference** tool to identify agencies for which the District wishes to review invoices. The tool presents the District ETDM Coordinator with a list of agencies that are members of that District’s ETAT, and allows the District ETDM Coordinator to select agencies for which the District wishes to review invoices.

On the EST at [www.fla-etat.org/est](http://www.fla-etat.org/est), in the **Tools** menu, point to **Agency Invoices**, and then click **Reviewer Preference**. (Note, this tool has not been converted to the new site at this time.)

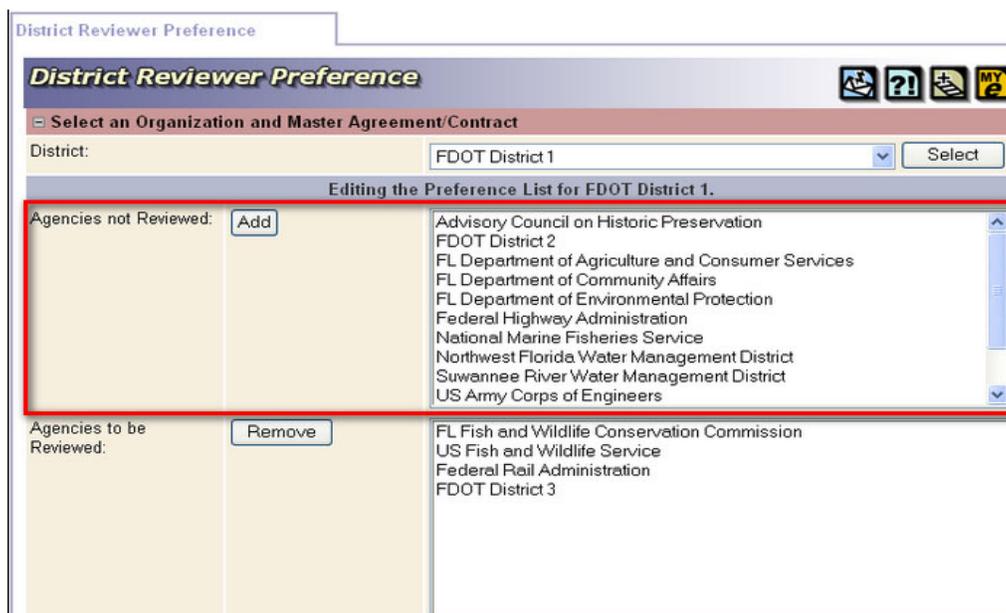


The form opens and displays the FDOT District associated with the District ETDM Coordinator (FDOT District 1 in the example), and displays a list of ETAT agencies associated with the FDOT District whose invoices have not been previously selected for review (**Agencies not Reviewed**) and a list of previously selected ETAT agencies (**Agencies to be Reviewed**), if any.



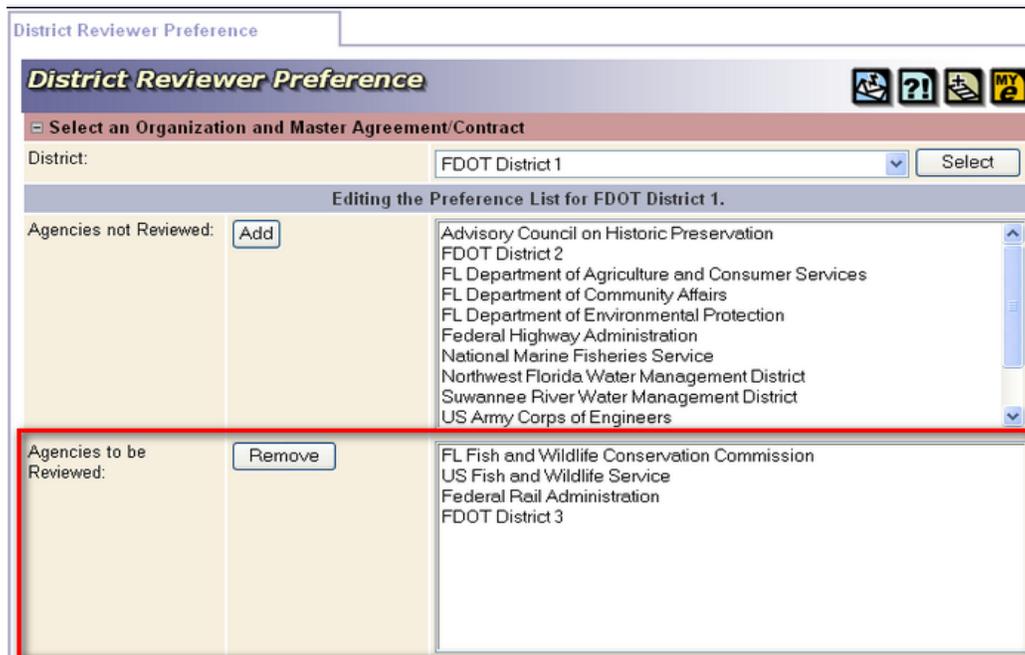
The screenshot shows the 'District Reviewer Preference' form. At the top, there is a title bar with the text 'District Reviewer Preference' and several icons. Below this is a section titled 'Select an Organization and Master Agreement/Contract' with a dropdown menu for 'District' set to 'FDOT District 1' and a 'Select' button. The main area is titled 'Editing the Preference List for FDOT District 1.' It is divided into two sections: 'Agencies not Reviewed:' with an 'Add' button and a list of agencies including 'Advisory Council on Historic Preservation', 'FDOT District 2', 'FL Department of Agriculture and Consumer Services', 'FL Department of Community Affairs', 'FL Department of Environmental Protection', 'Federal Highway Administration', 'National Marine Fisheries Service', 'Northwest Florida Water Management District', 'Suwannee River Water Management District', and 'US Army Corps of Engineers'; and 'Agencies to be Reviewed:' with a 'Remove' button and a list of agencies including 'FL Fish and Wildlife Conservation Commission', 'US Fish and Wildlife Service', 'Federal Rail Administration', and 'FDOT District 3'.

To add an agency to the **District Reviewer Preference** list, the District ETDM Coordinator highlights the agency name, and then clicks **Add**.



This screenshot is identical to the one above, but a red rectangular box highlights the 'Agencies not Reviewed' list and its 'Add' button, indicating the action to be taken.

The agency name will be displayed in the **Agencies to be Reviewed** field, as shown in the next illustration.



To remove an agency from the Preference List, the District ETDM Coordinator clicks on the name of the agency in the **Agencies to be Reviewed** field, and then clicks **Remove**.

## 5.5 How to Record Invoice Comments

Once a draft invoice is submitted using the EST, the Invoice Administrator and Invoice Reviewers receive an email informing them that the draft invoice is ready for review. District Invoice Reviewers receive emails only for invoices associated with agencies identified by the District ETDM Coordinator (using the **District Reviewer Preference** tool). The notification email contains the agency name, agreement number, invoice number, and submittal date. The Invoice Administrator and Invoice Reviewers log on to the EST at [www.fla-etat.org/est/secure](http://www.fla-etat.org/est/secure) and review the submitted invoice for completeness and correctness.

On the **Invoice Dashboard** go to the **Invoices in Review** tab. Click on the **Actions** drop down menu next to the invoice being reviewed. Select **Review Invoice**.

## Invoice Dashboard

Invoice Number	Organization	Agreement / Contract	Status	
1	NFWWMD	<a href="#">BDN58</a>	Initial Review (08/20/2018)	Actions
1	SRWMD	<a href="#">A-4595</a>	Initial Review	Invoice #1 View Invoice Activity Log Summary Report @ Review Invoice
2	SFWMD	<a href="#">BDH68</a>	Initial Review	
3	FWC	<a href="#">AS907</a>	Initial Review	
7	SRWMD	<a href="#">BDF72</a>	Initial Review (08/31/2018)	Actions

After the **Review Invoice** form opens, the Invoice Reviewer enters comments concerning the invoice in the **Comments** textbox, and then clicks **Save Comment** when finished. Comments are then displayed in the **Invoice Comments** column.

To edit a previously submitted comment, the Invoice Reviewer selects from the invoice comment and clicks the **edit** button in blue and makes the update in the **Comment** textbox and clicks **Save Comment**.

## Review Invoice

Your comment has been updated

**Organization**  
Northwest Florida Water Management District

**Agreement**  
BDN58 41506432807

**Invoice**  
Invoice 1, 06/06/2011 to 08/20/2018

**Comments:**

**Save Comment**

### Invoice Comments

Harger, Mary on 01/07/2019 02:39 PM

test

Clemons, Stephanie A. on 03/01/2019 02:34 PM **edit**

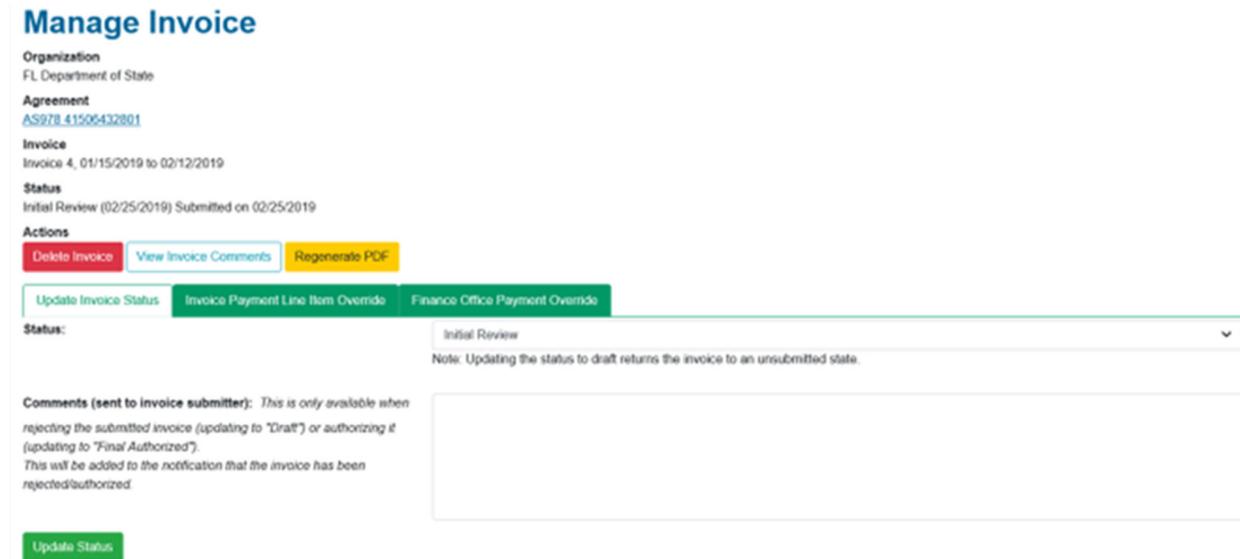
another test

If other reviewers have submitted comments concerning the invoice, the comments will be displayed in the **Invoice Comments** text box field.

## 5.6 How to Update the Status of an Invoice

The **Manage Invoice** tool is used by the Invoice Administrator to authorize final invoices, and indicate when they have been processed

From the **Invoice Dashboard** under **Open Invoices**, use the drop-down **Actions** menu next to the invoice to select **Manage Invoice**. The current status of the invoice will be displayed in the **Status** field.



The Invoice Administrator can update an invoice status and add comments in the **Update Invoice Status** tab.

To change the invoice status, the Invoice Administrator does the following:

- To send requested changes or an approval to the Invoice Submitter, type comments in the **Comments (sent to invoice submitter)** field.

**Important:** Before entering your comments, you should make sure you are including comments from other reviewers. Click the **View Invoice Comments** button to open the **Invoice Comment Log** in a separate browser tab.

Once you have accessed the **Invoice Comment Log**, print out the log to keep a hard copy record of the list of comments. This enables you to keep a record of previous reviewer comments that may be deleted and replaced by new comments.

Then return to the **Update Invoice Status** window, and type your comments in the **Comments (sent to invoice submitter)** field.

- In the **Status** field, click the drop-down arrow and select one of the following:
  - If changes need to be made to the current draft, click **Draft**.
  - If no changes need to be made to the current draft, and you have determined it's ready to be processed, click **Final Authorized**.
  - If the invoice has been sent to FDOT's Fiscal Office, click **In Process**.
  - If the invoice has been paid, click **Paid**.

- If the total invoice amount is zero, and the final invoice received, click **Zero Invoice Complete**.

**Note:** You must add comments before changing the status back to **Draft** or to **Final Authorized**.

**Note:** The **Final Submitted** option in the **Status** field indicates an agency has submitted a final invoice. You cannot make any changes to an invoice status with this selection.

- Click Update Status.

Upon submittal of the **Final Authorized** invoice, the database automatically updates the invoice status to **Final Submitted**.

**Note:** If changes need to be made to the draft invoice, the invoice will maintain its unsubmitted status.

**Tip!** To regenerate a **PDF** of the invoice, click **Regenerate PDF** found under the **Actions** header.

## 5.7 Override Invoice Payments

Occasionally, an invoice is submitted by an agency, which must be reduced as required by the FDOT Fiscal Office. When this happens, the Invoice Administrator will override invoice payments. Prior to making any changes, the Invoice Administrator will contact the Invoice Submitter and explain the necessary adjustment. Once the contact has been made, the Invoice Administrator makes the change in the **Manage Invoice** tool, under the **Invoice Payment Line Item Override** tabs.

The **Override Invoice payment** screen shows the agency name, agreement number and invoice number. The Invoice Administrator uses the drop-down box to select the agency and uses the **Select** button to retrieve the current agreement. The Invoice Administrator uses the **Invoices** drop-down box to select the proper invoice and clicks the **Load** button to retrieve it. Once the proper invoice is loaded, the Invoice Administrator can make changes to the category that needs to be reduced. The Invoice Administrator can attach a document and add comments to explain the change that was made, then click the **Update Line-item Overrides** button.

Category	Override Amount	Calculated Amount	Used Amount
Salary	<input type="text" value="500.00"/>	\$500.00	\$500.00
Expense: Travel	<input type="text" value="0.00"/>	\$0.00	\$0.00
Expense: Training	<input type="text" value="0.00"/>	\$0.00	\$0.00
Expense: Other	<input type="text" value="0.00"/>	\$0.00	\$0.00

Attachment:  No file chosen

Comments:

## 5.8 Invoice Reconciliation

The Federal Project Cost Section is responsible for reviewing, producing and submitting a weekly Federal Bill to the Federal Highway Administration (FHWA). As part of this process, the Federal Projects Federal Biller and Invoice Administrator together reconcile agency billings and funding using the Agency Spending Excel Spreadsheet and Invoice Financial Summary Report. If payment overrides need to be recorded in the EST, the Invoice Administrator updates the information in the **Finance Office Payment Override** tab in the **Manage Invoice** tool. Enter the information in the appropriate fields, and click **Update**.

Update Invoice Status	Update Invoice Dates	Invoice Payment Line Item Override	Finance Office Payment Override
Finance Number:	<input type="text" value="41506432803"/>		
Amount Paid:	<input type="text" value="0.00"/>		
Amount Spent:	<input type="text" value="0.00"/>		
<input type="button" value="Save New Finance Office Payment Override"/>			
Finance Number	Amount Paid	Amount Spent	
<input type="text" value="41506432803"/>	<input type="text" value="500.00"/>	<input type="text" value="500.00"/>	<input type="checkbox"/> delete <input type="button" value="Update"/>

At completion and/or closing, the federal project must be balanced and closed by the Invoice Administrator and/or the FDOT Contract Manager. This process involves these reports as well as several areas within FDOT.

Below are examples of the Agency Spending and Financial Summary Report:

## Agency Spending Excel Spreadsheet:

Agency	Invoice Number	Dates	Amount Paid	Amount Spent	Remaining Amount
<b>USFWS-MA 6986 - 41506412813</b>					
Closed September 30, 2005	Invoice 1		\$ 59,523.00	\$ -	\$ 476,190.00
\$26,015.13 Refunded	Invoice 2	04/01/04-06/31/04	\$ 59,523.00	\$ 52,023.00	\$ 357,144.00
Still working on locating additional fund refund	Invoice 3	07/01/04-09/30/04	\$ 59,523.00	\$ 52,547.29	\$ 297,621.00
	Invoice 4	10/01/04-12/31/04	\$ 59,526.00	\$ 55,527.83	\$ 238,095.00
	Invoice 5	01/01/05-03/31/05	\$ 59,523.00	\$ 4,584.53	\$ 178,572.00
<b>Total</b>			<b>\$ 297,618.00</b>	<b>\$ 218,624.78</b>	
	Invoice 6	04/01/05-06/30/05	\$ 77,692.01	\$ 59,526.00	\$ 100,879.99
	Invoice 7	07/01/05-09/30/05	\$ 77,694.26	\$ 76,337.77	\$ 23,185.73
	Invoice 8		\$ -	\$ 44,150.37	
<b>Total</b>			<b>\$ 155,386.27</b>	<b>\$ 180,014.34</b>	
<b>USFWS-BDF 39 - 41506422813 - Closed November 30, 2008</b>					
Paid on IR1a-297861	Invoice 1	10/01/05-12/31/05	\$ 86,859.75	\$ -	\$ 1,094,232.00
Paid on IRETDMM004-348124	Invoice 2	01/01/06-03/31/06	\$ 86,859.75	\$ 81,023.49	\$ 920,512.50
	Invoice 3	04/01/06-06/30/06	\$ 86,859.75	\$ 79,359.75	\$ 833,652.75
Paid on IR22813-4-440592	Invoice 4	07/01/06-09/30/06	\$ 86,859.75	\$ 81,166.88	\$ 746,793.00
	Invoice 5	10/01/06-12/31/06	\$ 90,741.50	\$ 83,987.23	\$ 656,051.50
	Invoice 6	01/01/07-03/31/07	\$ 90,741.50	\$ 84,945.68	\$ 565,310.00
	Invoice 7	04/01/07-06/30/07	\$ 90,741.50	\$ 84,110.50	\$ 474,568.50
	Invoice 8	07/01/07-09/30/07	\$ 90,741.50	\$ 86,657.89	\$ 383,827.00
	Invoice 9	10/01/07-12/31/07	\$ 95,956.54	\$ 85,441.20	\$ 287,870.46
	Invoice 10	01/01/08-03/31/08	\$ 95,956.54	\$ 89,516.80	\$ 191,913.92
	Invoice 11	04/01/08-06/30/08	\$ 95,956.54	\$ 88,951.09	\$ 95,957.38
	Invoice 12	07/01/08-09/30/08	\$ 13,163.00	\$ 89,922.90	\$ 82,794.38
	Invoice 13	10/01/08-11/30/08	\$ 13,134.02	\$ 89,488.23	\$ 69,660.36
<b>Total</b>			<b>\$ 1,024,571.64</b>	<b>\$ 1,024,571.64</b>	
<b>USFWS-BDM22 - 41506412813 (AP)</b>					
	Invoice 1	12/01/09-03/31/09	\$ 99,061.00	\$ -	\$ 2,660,131.00
	Invoice 2	04/01/09-06/30/09	\$ 99,061.00	\$ 92,178.94	\$ 2,561,070.00
	Invoice 3	07/01/09-09/30/09	\$ 99,061.00	\$ 94,030.68	\$ 2,362,948.00
	Invoice 4	10/01/09-12/31/09	\$ 99,061.00	\$ 97,241.63	\$ 2,263,887.00
<b>Total</b>			<b>\$ 386,654.55</b>		

## Financial Summary Report:

This report is used by the Finance Office and is located on the left menu, under Invoices.

### Invoice Financial Summary Report

Search  Show/hide

Show 10 entries Column Visibility Copy Excel CSV

Agency	Agreement	Federal Project Number	Invoice Number	Dates	Financial Number	Amount Paid	Amount Spent	Remaining Amount	Processed Date	Invoice Status	Fiscal Year
US Fish and Wildlife Service	<a href="#">BDZ17</a>	ETDM004	<a href="#">Invoice 13</a>	05/01/2018 - 07/31/2018	415064-3-28-19	\$191,894.45	\$114,995.58	\$1,343,261.15	05/16/2018	Paid	FY2018-2019
US Fish and Wildlife Service	<a href="#">BDZ17</a>	ETDM004	<a href="#">Invoice 14</a>	08/01/2018 - 10/31/2018	415064-3-28-19	\$191,894.45	\$138,474.45	\$1,151,366.70	08/16/2018	Paid	FY2018-2019
US Fish and Wildlife Service	<a href="#">BDZ17</a>	ETDM004	<a href="#">Invoice 15</a>	11/01/2018 - 01/31/2019	415064-3-28-19	\$0.00	\$153,521.28	\$1,151,366.70	11/21/2018	Paid	FY2018-2019

Showing 1 to 3 of 3 entries Previous 1 Next



# Appendix B

## Agency Agreement File Checklist



### Agency Contract File Checklist

CRITERIA	PROTOCOL	Y	N	N/A	COMMENTS
<b>Activity Record &amp; Correspondence</b>					
Contract Review Checklist	Contract review checklist verifies that the contract is current, accurate, and complete.				Date:
Correspondence	Evidence of correspondence regarding contract issues which may include emails, letters, telephone contact log, file notes, etc.				Date:
Documentation of written assignment of contract management duties	Senior Management must assign, in writing, the contract management responsibilities to a trained contract manager. <i>Ch. 287.057 (14), F.S.</i>				Date:
Documentation of assignment of delegate	Contract manager may delegate in writing responsibilities to Project Coordinator/Invoice Administrator. If delegation is done, responsibilities will be documented in the Funded Positions Handbook, Appendix F.				Date:
Documentation of contract termination/cancellation, including contract closeout activities	Documents pertaining to termination or cancellation of a contract.				Date:
<b>Financial/Payment Records</b>					
Budget Authorization	E.g. Appropriations Act proviso, budget agendas, Chart 8				Date:
Copy of Provider's Approved Budget, Attachment B	Submitted as part of contract negotiations				Date:
Recipient/Subrecipient vs. Vendor Determination (Pursuant to Federal Subrecipient vs. Contractor Determination Guidance, dated 12/2014, all agency agreements are exempt from Florida Single Audit Act Requirements)	Florida Single Audit Act and/or Federal Recipient/Sub-recipient vs. Vendor Determination Checklists must be completed, signed, and dated <i>if applicable to the project. Ch. 215.97, F.S.</i>				Date:
Post Award Notices and Transmittal Letter	The Contract Manager must furnish within ninety days of contract execution and funding changes.				Date:
<b>Payment Activity Ledgers</b>					
Payment History	Schedule of contract payments and total amount disbursed; Payment tracking system, ledger, spreadsheet with running payment balance (aka invoice tracking sheet), etc.				Date:
Documentation of periodic reconciliation of contract payments	Quarterly reconciling of the contract payment records with the state's official accounting records; reconciliation of actual expenses versus invoiced expenses.				Date:
<b>Copies of Invoices and Supporting Documentation</b>					
Invoices with proof of date stamp (EST Invoice File Final)	Copies of invoices with proof of date stamps. <i>Section 215.422 (1), F.S.</i>				Date:
Documentation performed by Contract Manager - inspection and approval of contract deliverables	The Department has five working days to inspect and approve the goods and services upon submission of any invoice unless the contract specifies otherwise. <i>Section 215.422 (1) F.S.</i>				Date:
Provider's justification of need for advances	Documentation supporting the decision to provide advanced funding. A) detail documentation justifying cash need such as certified settlements or analysis; B) Documentation that any interest earned by the provider on an advance is returned to the Department or applied against the obligation of the contract.				Date:
<b>Contract Documents</b>					
Original signed contract (and amendments)	Contract File must contain the original signed and dated contract, amendments, renewals, and provisions.				Date:
Contract Review Form - Routing of Contract or Amendments	Signed by Legal, Budget, and Contract Administration <i>287.057 (18), F.S.</i>				Date:
Certification Regarding Debarment and Suspension Form	Form signed and dated for all contracts containing \$25,000 or more in Federal funds.				Date:
Written delegation of authority including a sample signature	If the Contract Manager identified in the executed contract is unable to provide written certification of contractual services, a delegation of authority must be provided in writing.				Date:
Memorandum of Negotiation (Agency Agreements)	Documentation signed and dated by both parties. <i>(not required for grants)</i>				Date:
Contract will include name and contact information for contract managers	Contract manager name and contact information will be documented in the contract for both funding agency and ETAT agency in the Contacts Section and in the Deliverables Section.				Date:
Vendor Identification Number (VENDOR ID) verified by contract manager through FACTS					Date:
Property Inventory from provider as maintained by OEM Technology Resource Coordinator					Date:
<b>Monitoring/Performance Management Oversight Activities</b>					
Documentation of coordination meeting	Copy of Contract Review Matrix or equivalent documentation of the planning process.				Date:
Monitoring and corrective action documentation	Copy of monitoring report, if performed, and documentation of corrective action, when applicable.				Date:
Verification of vendor license to do business in the State of Florida	Verify agency vendor number and payment address associated to vendor Sunbiz.org (recommended by screen capture)				Date:
Contract Management documentation of Contract default or breach	In the event of a contract default or breach, the contract file must include documentation such as guidance from legal, relevant correspondence, etc.				Date:
<b>Reports</b>					
Performance Reports	The Contract File must include performance/outcome data. This is provided in the Quarterly ETAT Feedback Reports.				Date:
<b>Contract Manager Signature:</b>					
<b>Printed Name:</b>					
<b>Date Signed:</b>					