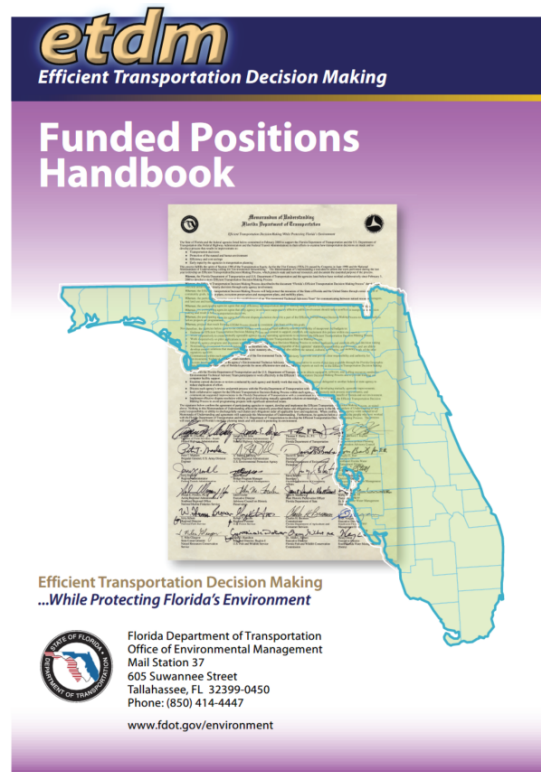
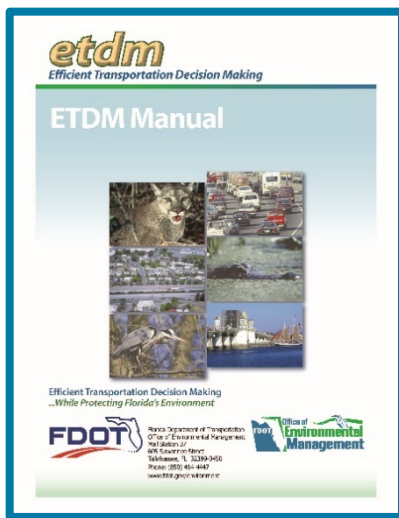


January 2022

FDOT ETDM Agreement Administrative Handbook



Memorandum of Understanding Florida Department of Transportation Efficient Transportation Decision Making While Protecting Florida's Environment

The State of Florida and the Federal agencies listed below committed in February 2007 to support the Florida Department of Transportation (the Federal Agency Administrator) and the Federal Agency Administrators to the extent they can to ensure the successful progress that results in transportation to:

- Protection of the natural and historic environment;
- Efficiency and cost-effectiveness;
- Safety; and
- State-of-the-art transportation planning.

This process fulfills the spirit of Section 1304 of the Transportation Equity Act for the 21st Century (TEA-21) passed by Congress in November of 2005 (Public Law 109-304). This Memorandum of Understanding is a voluntary agreement between the Florida Department of Transportation and the U.S. Department of Transportation to develop an Efficient Transportation Decision Making Process, which promotes safe and sound economic and societal benefits to Florida's transportation infrastructure.

Whereas, the Florida Department of Transportation and U.S. Department of Transportation and the agencies listed below in this MOU will advance more timely decisions through timely agency participation;

Whereas, the Efficient Transportation Decision Making Process described in the document "Florida's Efficient Transportation 2007" will advance more timely decisions through timely agency participation;

Whereas, the participating agencies agree that more efficient transportation decision-making may be gained by applying the Efficient Transportation Decision Making Process;

Whereas, the participating agencies agree that more efficient transportation decision-making should be gained by applying the Efficient Transportation Decision Making Process;

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Efficient Transportation Decision Making ...While Protecting Florida's Environment

Florida Department of Transportation
Office of Environmental Management
Mail Station 37
605 Suwannee Street
Tallahassee, FL 32399-0450
Phone: (850) 414-4447
www.fdot.gov/environment

[Signatures and names of participating agencies]

Approved on December 14, 2007

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Appendices

- Appendix A Agency Amendment Form
- Appendix B Agency Agreement File Checklist

1 INTRODUCTION

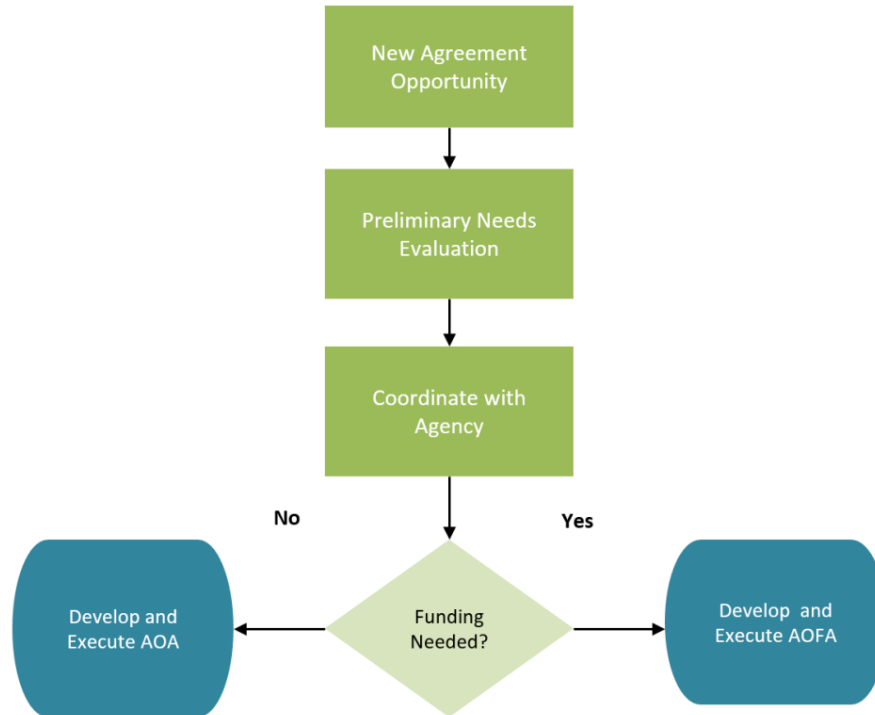
This handbook is a companion document designed to go along with the Efficient Transportation Decision Making (ETDM) Funded Position Reference Handbook but is specifically for the Florida Department of Transportation (FDOT) internal management and administration of the funded liaisons. This handbook provides the Department details necessary for FDOT liaison 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 (AOFAs) 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 (MAs), Agency Operating Agreements (AOAs), and AOFAs. The AOFAs are combined agreements, which include elements from both the AOA and previously separate Funding Agreement (FA) into a single document.

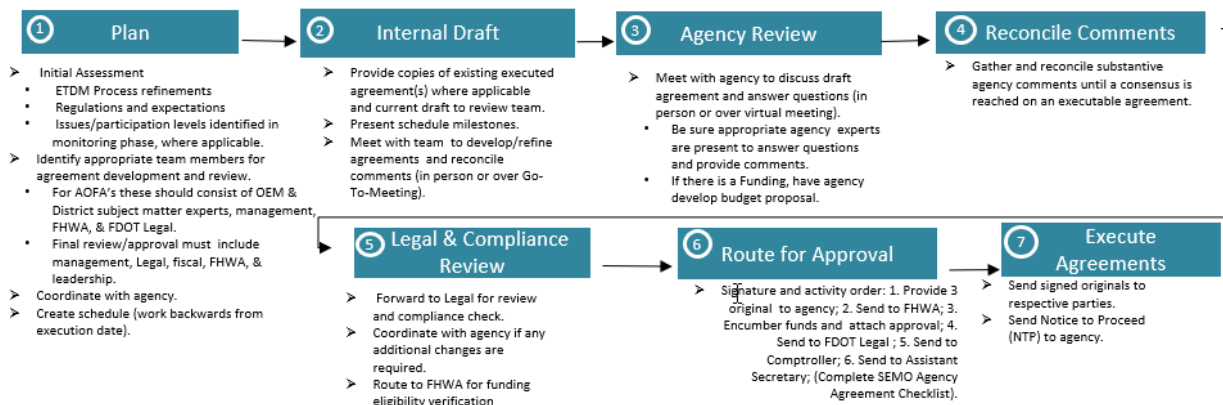
2.1 New ETDM Agreement Development Process

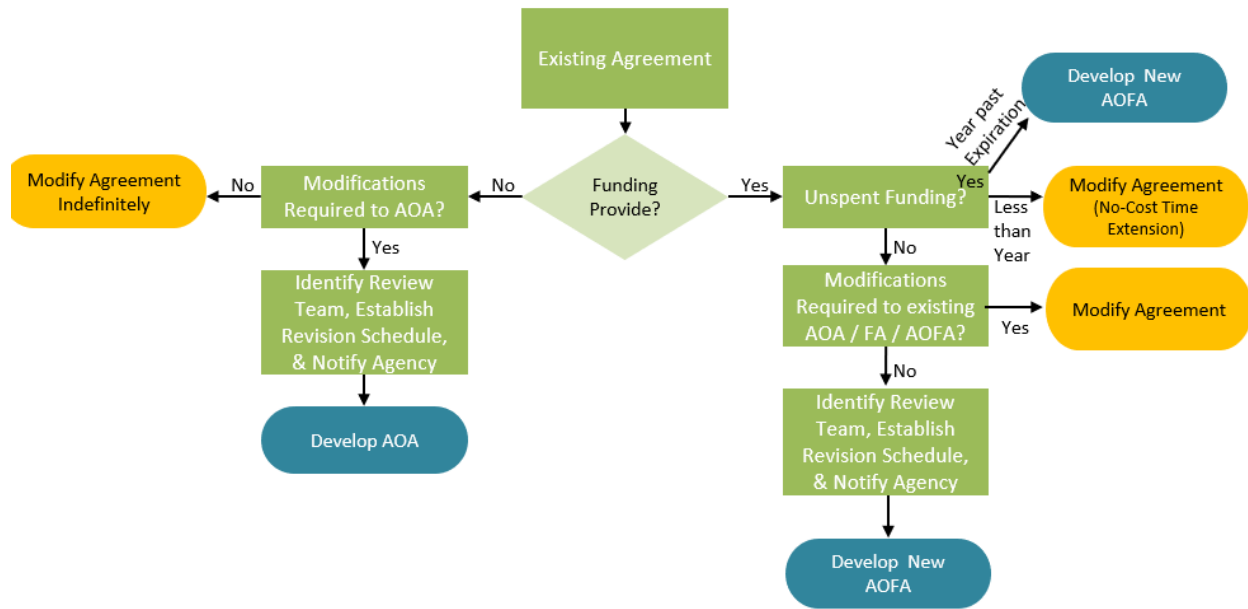
When new agreement opportunities are identified, the Department meets with the Signatory Resource Agency to assess the needs and determine whether an AOA or AOFA should be developed.



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 National Environmental Policy Act (NEPA) Assignment Memorandum of Understanding (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.

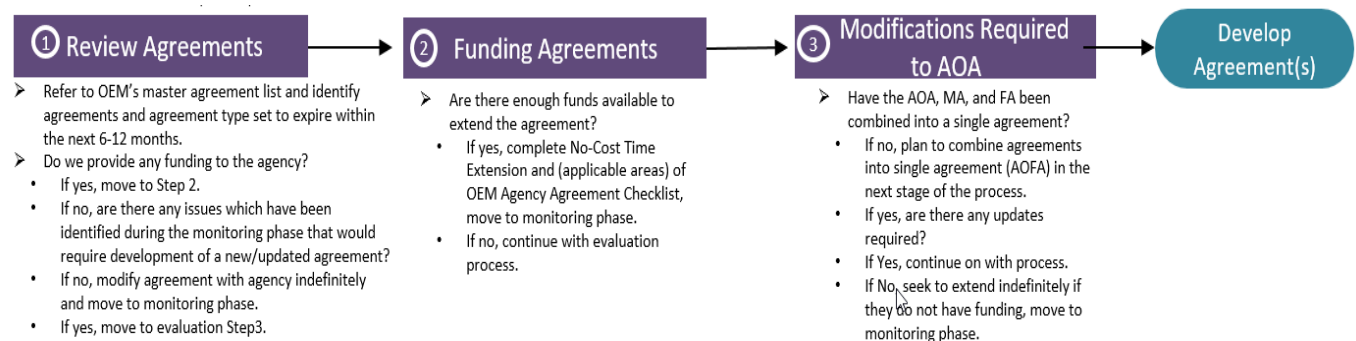




2.2 Existing ETDM Agreement Evaluation

The OEM Quality Assurance and Performance section manages the ETDM process agreement 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 AOFA, or a combination of the AOA and MA. Steps to evaluate the existing ETDM Agreements are described below.



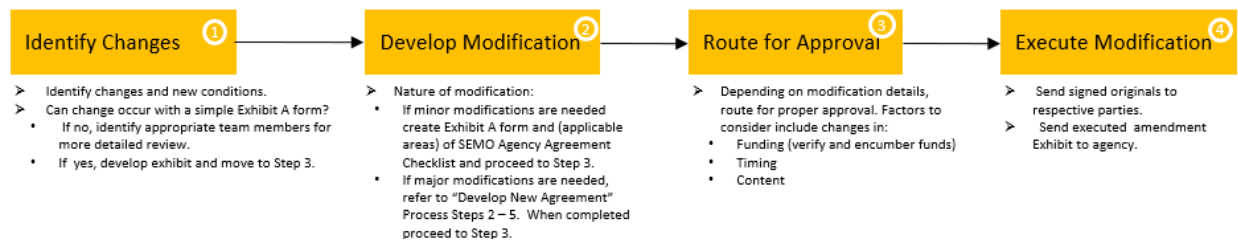
If new agreements are developed, follow the process described above.

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, and staffing or resource shifts. Changes to the existing executed agreement must occur in writing and must be 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 in the AOFA.

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 FHWA Eligibility of Federal Funds Approval Process

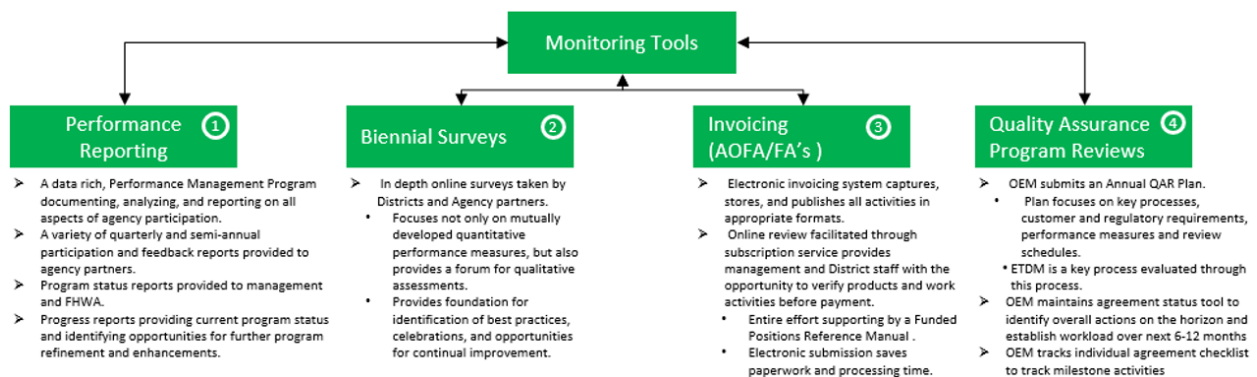
The OEM and Quality Assurance and Performance (QAP) section is responsible for receiving prior approval from FHWA to ensure ETDM activities within an ETDM contract or amendment which alters finances or scope of services remains eligible for federal funds reimbursement prior to the execution of an AOFA or qualifying amendment of an existing agreement. No-cost time extensions that do not request additional funding or alter the scope of service activities do not qualify as needing an additional FHWA funding eligibility verification. For new or amendments which require new or additional funds or alter scope of service activities, the steps to follow are listed below:

- OEM ETDM Coordinator submits email request to the FHWA ETDM Coordinator and transmits a copy of the DRAFT AOFA or qualifying amendment to be reviewed for consistency with federal funding eligibility.
- FHWA ETDM Coordinator reviews request. Should FHWA require additional clarification on the request, OEM will resolve any outstanding questions. FHWA transmits email confirmation of eligibility of funding for draft AOFA or draft amendment.
- With FHWA’s confirmation of funding eligibility, the OEM ETDM Coordinator and/or OEM Invoice Administrator coordinates with signatory agency to request agency signature approval on the AOFA or amendment.
- Once the Agency returns the signed copy of the AOFA or amendment, the OEM ETDM Coordinator and/or OEM Invoice Administrator sends a copy of the partially executed AOFA or amendment, the initial FHWA federal eligibility reimbursement confirmation email, and draft language for official approval for the funding request by FHWA in their Fiscal Management Information System (FMIS). This draft language is sent to FHWA through email before the official FMIS request is transmitted for formal federal funds authorization approval.
- OEM ETDM Coordinator and/or OEM Invoice Administrator along with the FDOT Work Program Administrator will coordinate the FHWA FMIS request for approval.

- OEM Invoice Administrator prepares encumbrance for FDOT funding approval.
- OEM Invoice Administrator coordinates the routing process including the financial approvals as a DocuSign package routed within FDOT for formal agreement approval and execution.
- OEM Invoice Administrator provides a copy of the executed AOFA or amendment to the agency ETAT and FHWA ETDM Coordinator, for their records.

2.5 Monitoring Agreements

The agreements must be continually monitored to ensure compliance with the agreement provisions and verify the Department is receiving expedited project reviews and technical support. 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 described below.



3 MANAGING AND DOCUMENTING ETDM AGREEMENTS

Each agency agreement is assigned an FDOT Contract Manager. The FDOT Contract Manager may be supported by additional staff 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 agreement documentation
- Complete and accurate contract files
- Periodic ETDM Agreement 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 OEM Invoice Administrator staff has, but is not limited to, the following responsibilities as found in the FDOT Disbursement Handbook:

- Compiles and reviews comments from District Invoice Reviewers within five (5) working days
- Maintains electronic files
- Uploads agreements and amendments into FACTS, EST Invoice Module, and EST Library
- Tracks ETDM Agreement budgets and encumbrances
- Acts as 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 ETDM Agreement correspondence
- Coordinating ETDM activities within their agency
- Processing ETDM No Cost Amendments and Travel Authorization requests
- Requesting corrections, or additions to the AOFA which do not expand the statement of work or budget
- Participating 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 agreement tasks (such as invoicing), as needed

3.3 Agreement Operational Advance Payments

An ETDM agreement may identify an alternative advance pay option allowed for under the Local Agency Program and FDOT Procedure 350-020-301, Financial Provisions for all Department Funded Agreements. This alternative payment option requires prior approval from DFS.

The required approval is initially obtained when the ETDM agreement is executed and on a per year basis after for each year of the agreement. The OEM Invoice Administrator must send the request to the doogas@dot.state.fl.us email and include the following:

- Request for Advance Payment to Government Agency Form 350-00-10.

- Documentation supporting the calculation of the expected cash needs and justification to support the advance.
- The sections of the ETDM agreement that address the advance, its accounting, and return of the unspent funds.
- Funds Approval and General Appropriation Act (GAA) line-item number.

If the FDOT Contract Manager decides to prepare a No-Cost Time extension for the existing agreement using the funding already existing in the current agreement, the OEM Invoice Administrator must send an email to dooqas@dot.state.fl.us and include the following:

- Request for Advance Payment to Government Agency Form 350-00-10.
- Executed ETDM No-Cost Amendment.
- Documentation supporting the calculation of the expected cash needs and justification to support the advance.
- The sections of the ETDM agreement that address the advance, its accounting, and return of the unspent funds.
- Funds Approval and General Appropriation Act (GAA) line-item number.

Once the FDOT Deputy Comptroller receives DFS approval and transmits a copy to the OEM Invoice Administrator by email.

3.4 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>, which is available to OEM staff while on the FDOT network. Required documentation (defined below) will be stored in the ETDM Agreement electronic file and 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 agree with remaining payments and obligations reconciled. Within the Work Program, a request to change the agreement to status 50 means the agreement has been closed entirely. The request for status change is emailed to the Contract Payment Section of the Department at 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.

3.5 Agreement File

Electronic ETDM Agreement files are located on the OEM office shared drive. These files should contain the complete agreement record. Hardcopy documents are scanned and placed into the OEM electronic folders.

The OEM Contract Manager and OEM Invoice Administrator will maintain files for each ETDM Agency Agreement on the shared drive. Active agreements are stored in individual folders by agency name and located here: <\\codata\shares\CO\ISD\EMO\OEM Contracts\OEM AGENCY AGREEMENTS-PM>. Closed agreements are electronically saved here: <\\codata\shares\CO\ISD\EMO\OEM Contracts\OEM-CLOSED CONTRACTS>. All active and closed ETDM agreements are accessible to OEM management and staff. ETDM Agreements with a definite expiration date, at a minimum, will contain the following electronic folders:

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

Other electronic folders that may be in the ETDM Agreement file include:

- Department of Financial Services (DFS) Advance Pay Approvals
- Equipment documentation
- Training-Travel Request
- Work Plan
- Audit (only for Water Management Districts/Single Audit Act)

ETDM Agreements with an indefinite expiration date, at a minimum, will contain the following electronic folders:

- Agreement
- Coordination Meetings

- Performance

3.6 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 agreement file will, at a minimum, have name or type of document, date of document, contract to which affiliated, and specific identifier as needed.

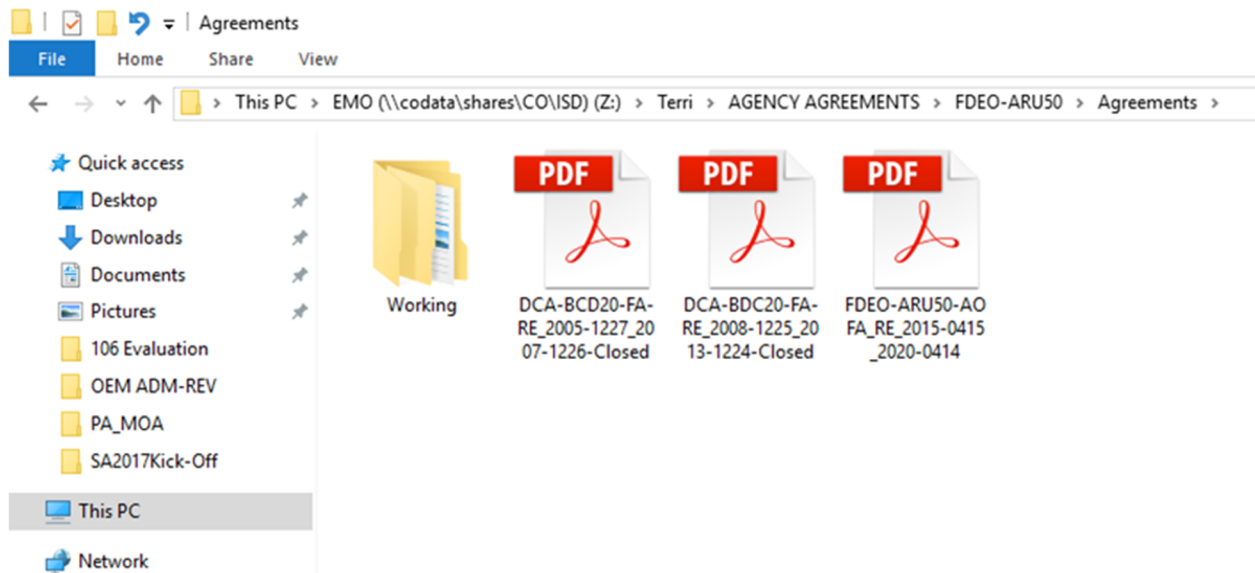
An example of a contract name is *ACOE-ARU50-AOFA-RE_2014-0410_2017-0410*, where:

- ACOE is acronym of the agency name,
- 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:



3.7 Agreement File Checklist

The FDOT Contract Manager completes and uses an Agency Agreement File Checklist to document the contents for each ETDM Agency Agreement 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)

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

4 ETDM AGREEMENT PERFORMANCE MONITORING

ETDM 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 agreement, the executed agreement should be reviewed for specifics. Generally, the core standards throughout the 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 exception of the Draft Environmental Impact Statement (DEIS), which is 45 calendar days once approved for public availability, upon request

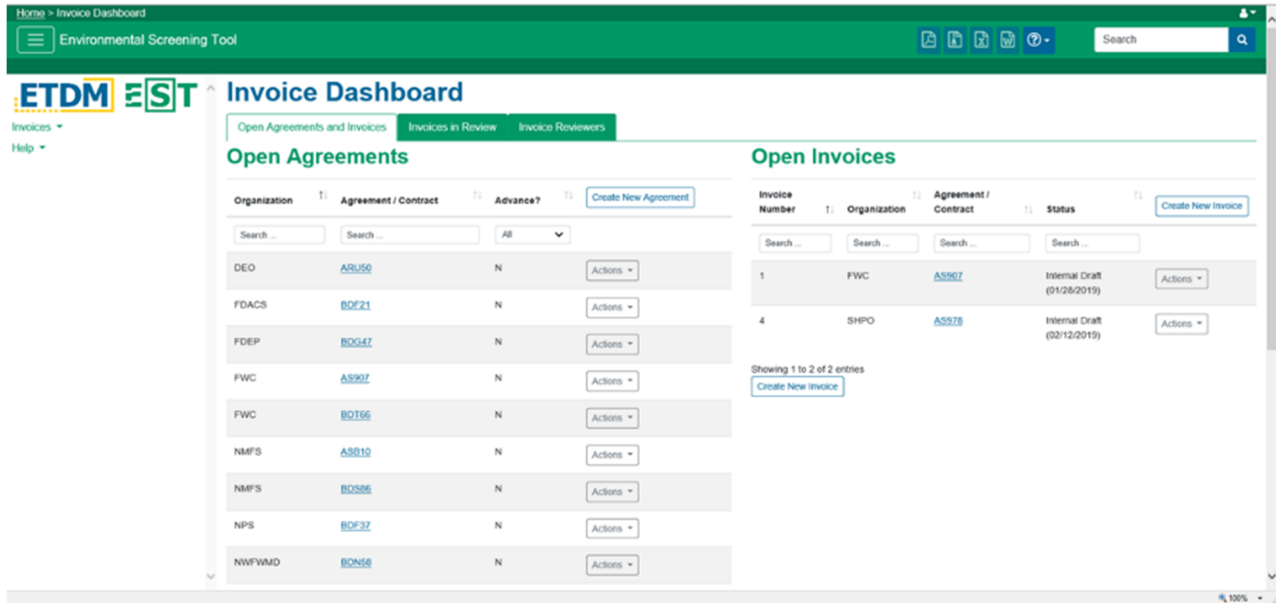
These standards may vary slightly among agencies but will cover the areas listed above. OEM monitors these standards and produces the quarterly ETAT Feedback Report (EFR) with performance results and trend analysis. Each agency is provided a copy of its quarterly EFR, and the EFR is placed in the agency 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 uploads a copy of the quarterly EFRs into the performance folder of the electronic agency agreement file 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 pay or reimburse) expected invoicing requirements, billing, and reporting cycle, as well as the performance measures, other work expectations, and allowable expenses.

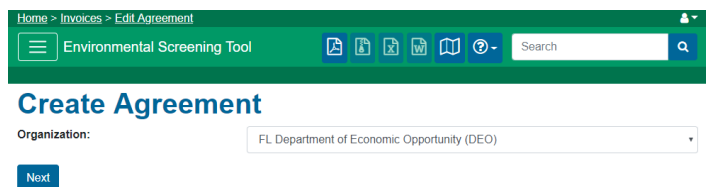
The agreement information is entered and managed using the **Invoice Dashboard** on the EST at: <https://www.fla-etat.org/est/secure/>. After logging into the EST, under the **Invoicing** menu, select **Dashboard**. The **Dashboard** is where the OEM Invoice Administrator manages agreements and works 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 the OEM Invoice Administrator are located under the **Invoices in the Review** tab. These invoices may be viewed, but not edited. The **Invoice Reviewers** tab is a quick reference for the OEM 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 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 ETDM Agreement is not already in the EST, the OEM 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.



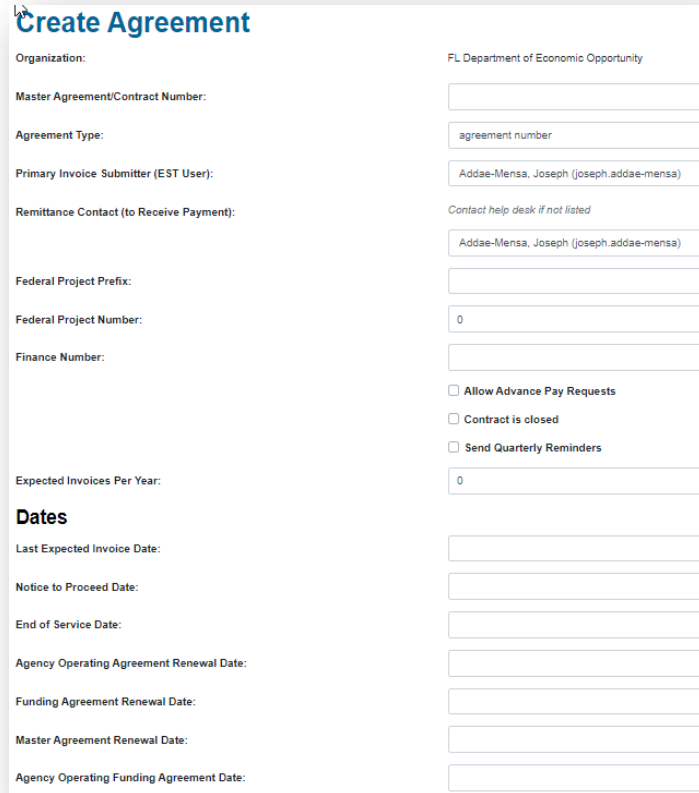
The OEM Invoice Administrator then types in the Master Agreement or Contract Number in the form. Once the contract or agreement number has been entered, the OEM Invoice Administrator selects the **Primary Invoice Submitter (EST User)** and **Remittance Contact (to Receive Payment User)** for the contract or agreement from the drop-down menus. The OEM 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 pay agreement, the OEM Invoice Administrator checks the **Allow Advance Pay Requests** check box.

The OEM 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 Salary box. The OEM Invoice Administrator sets the contract limits based upon the terms of the AOFA.

The OEM Invoice Administrator then selects the dates for **Notice to Proceed, End of Service, Agency Operating Agreement Renewal, Funding Agreement Renewal, and Master Agreement Renewal** if applicable, or enters the **Agency Operating Funding Agreement Date** only as shown below.


There are two methods that can be used to add these dates. The OEM 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.

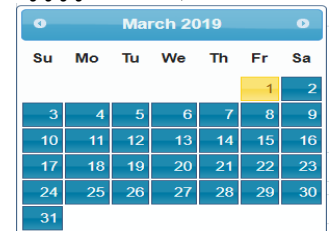
After entering the dates, the OEM Invoice Administrator uploads the scanned ETDM Agreement or amendment document and saves the agreement information by clicking the **Save Agreement** button at the bottom of the form. The information will be added to the EST and will automatically populate some of the required fields for the invoice information.



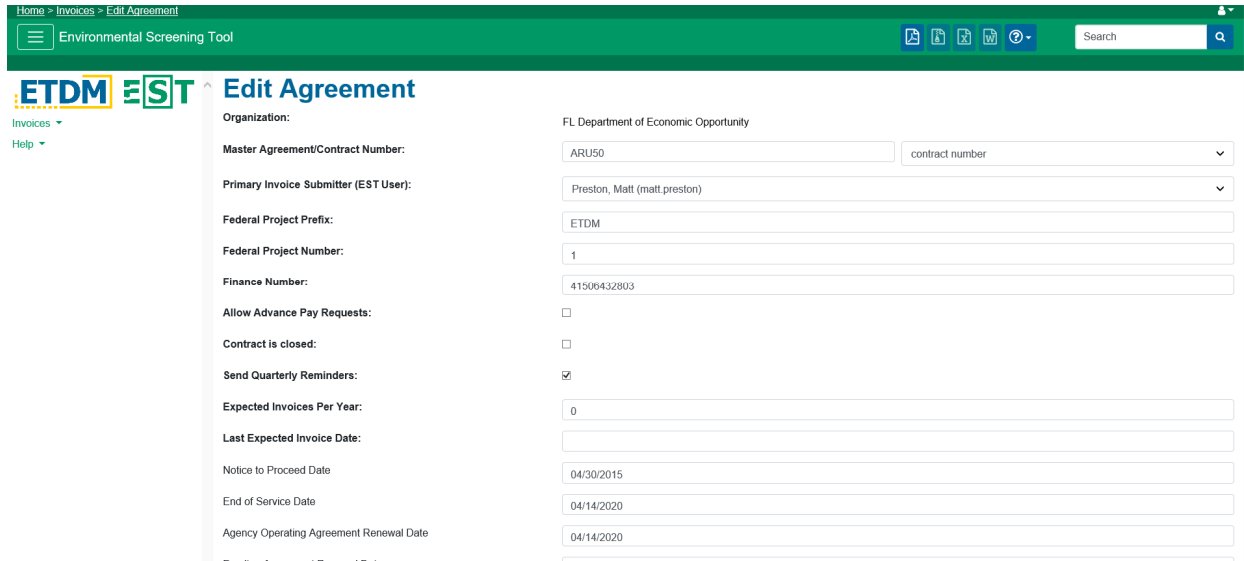
To revise any of the information prior to clicking **Save**, the OEM Invoice Administrator can type over the existing information or select different dates.

5.2 How to Make Changes to an Agreement Record

From the **Invoice Dashboard** the OEM 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 OEM 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.

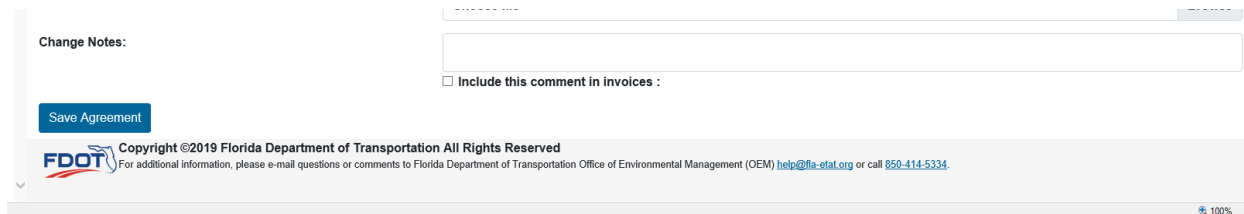


March 2019						
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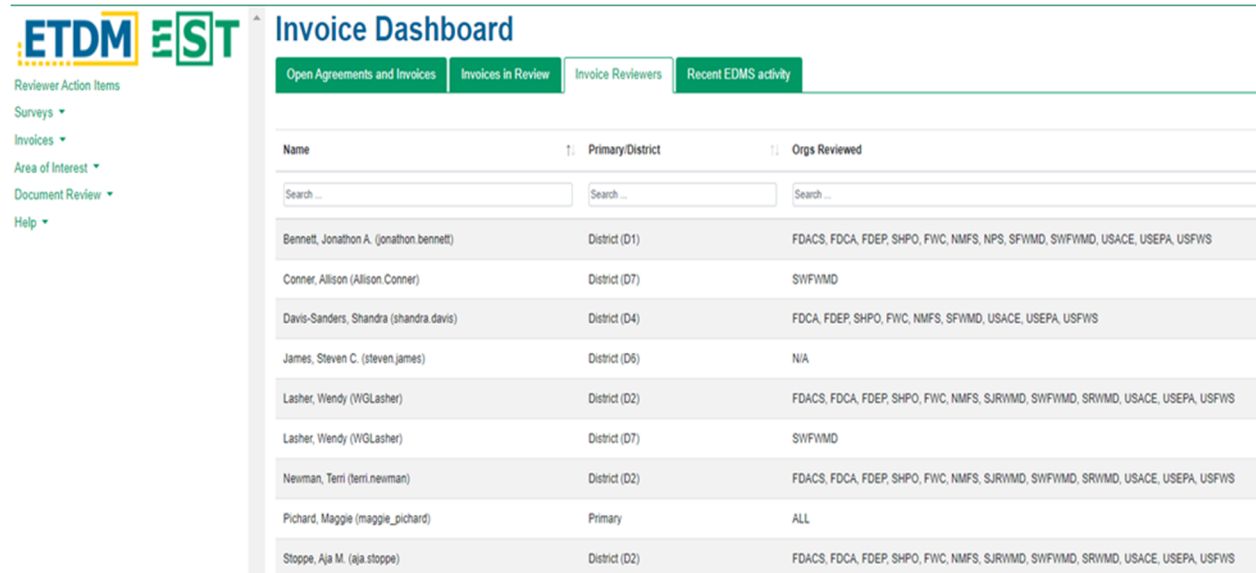
The OEM Invoice Administrator enters a description of the change in the **Change Notes** textbox, then clicks **Save Agreement**.

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.



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** by Name, Primary/District, and agency review preferences are shown.



Name	Primary/District	Orgs Reviewed
Bennett, Jonathon A. (jonathon.bennett)	District (D1)	FDACS, FDCA, FDEP, SHPO, FWC, NMFS, NPS, SFWMD, SWFWMD, USACE, USEPA, USFWS
Conner, Allison (Allison Conner)	District (D7)	SWFWMD
Davis-Sanders, Shandra (shandra.davis)	District (D4)	FDCA, FDEP, SHPO, FWC, NMFS, SFWMD, USACE, USEPA, USFWS
James, Steven C. (steven.james)	District (D6)	N/A
Lasher, Wendy (WGLasher)	District (D2)	FDACS, FDCA, FDEP, SHPO, FWC, NMFS, SJRWMD, SWFWMD, SRWMD, USACE, USEPA, USFWS
Lasher, Wendy (WGLasher)	District (D7)	SWFWMD
Newman, Terri (terri.newman)	District (D2)	FDACS, FDCA, FDEP, SHPO, FWC, NMFS, SJRWMD, SWFWMD, SRWMD, USACE, USEPA, USFWS
Pichard, Maggie (maggie.pichard)	Primary	ALL
Stoppe, Aja M. (aja.stoppe)	District (D2)	FDACS, FDCA, FDEP, SHPO, FWC, NMFS, SJRWMD, SWFWMD, SRWMD, USACE, USEPA, USFWS

If the District ETDM Coordinator identify agencies for which the district wishes to add or remove will need to notify the Help Desk with the District Reviewer Preference updates.

5.4 How to Record Invoice Comments

Once a draft invoice is submitted using the EST Invoice Module, the OEM Invoice Administrator and District 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 OEM Invoice Administrator and District Invoice Reviewers log on to the EST at 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	BDN58	Initial Review (08/20/2018)	Actions
1	SRWMD	A-4595	Initial Review	Invoice #1 View Invoice Activity Log Summary Report ⓘ Review Invoice
2	SFWMD	BDH68	Initial Review	
3	FWC	AS907	Initial Review	
7	SRWMD	RDF72	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.

5.5 How to Update the Status of an Invoice

The **Manage Invoice** tool is used by the OEM Invoice Administrator to authorize final invoices, and/or indicate when the invoice is processed for payment.

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

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

The OEM Invoice Administrator compiles all Invoice Reviewer comments and updates the invoice status.

- To send requested changes or approval to the Agency Invoice Submitter, the OEM Invoice Administrator updates the status and includes an appropriate comment in the **Comments box field**. This comment is sent by email to the Agency Invoice Submitter.

Important:

Before selecting **Update Status**, ensure all appropriate reviewer comments have been entered and included.

Click the **View Invoice Comments** tab to open a complete Review **Invoice Comment Log** list in a separate browser tab.

Once you have accessed the **Invoice Comment Log**, save a PDF of all compiled comments to the electronic agency payment request folder on the OEM shared directory.

Then return to the **Update Invoice Status** window and type your comments in the **Comments** field.

- In the **Status** field, click the drop-down arrow and select one of the following:
 - If changes are required to the current draft, select **Return With Comments**.
 - If no changes are required to the current draft, and determination has been made the invoice is ready to be processed, select **Approved To Submit**.
 - If final invoice has been sent to FDOT's Disbursement Office, select **In Process**.
 - If the invoice has been paid, select **Paid**.
 - If an advance pay agency and the final invoice amount is zero, select **Zero Invoice Completed**.

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. No changes can be made to an invoice in this selection.

- Click **Update Status**.

Manage Invoice

Organization
FL Department of State

Agreement
AS978.41506432801

Invoice
Invoice 4, 01/15/2019 to 02/12/2019

Status
Initial Review (02/25/2019) Submitted on 02/25/2019

Actions

Delete Invoice View Invoice Comments Regenerate PDF

Update Invoice Status Invoice Payment Line Item Override Finance Office Payment Override

Status: Initial Review

Note: Updating the status to draft returns the invoice to an unsubmitted state.

Comments (sent to invoice submitter): This is only available when rejecting the submitted invoice (updating to "Draft") or authorizing it (updating to "Final Authorized"). This will be added to the notification that the invoice has been rejected/authorized.

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.

5.6 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 OEM Invoice Administrator will override invoice payments. Prior to making any changes, the OEM Invoice Administrator will contact the Agency Invoice Submitter and explain the necessary adjustment. Once the contact has been made, the OEM 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 OEM Invoice Administrator uses the drop-down box to select the agency and uses the **Select** button to retrieve the current agreement. The OEM 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 OEM Invoice Administrator can make changes to the category that needs to be reduced. The OEM Invoice Administrator can attach a document and add comments to explain the change that was made, then click the **Update Line-item Override** button.

Update Invoice Status | Update Invoice Dates | Invoice Payment Line Item Override | Finance Office Payment Override

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:

5.7 Invoice Reconciliation

The Federal Project Cost Section is responsible for reviewing, producing, and submitting a weekly Federal Bill to FHWA. As part of this process, the FDOT Federal Projects Biller and OEM Invoice Administrator together reconcile agency billings and funding using the Agency Spending Excel Spreadsheet and EST Invoice Financial Summary Report. If payment overrides need to be recorded in the EST, the OEM Invoice Administrator or FDOT Federal Projects Biller updates the information in the **Finance Office Payment Override** tab in the **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:

Amount Paid:

Amount Spent:

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 OEM 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
USFWS-MA 6986 - 41506412813					
Closed September 30, 2005	Invoice 1		\$ 59,523.00	\$ -	\$ 476,190.00
\$76,015.13 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 2	04/01/04-06/31/04	\$ 59,523.00	\$ 52,547.29	\$ 297,621.00
	Invoice 3	07/01/04-09/30/04	\$ -	\$ 53,942.13	
	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
Total			\$ 297,618.00	\$ 218,624.78	FY04/05 \$ 240,126.70
	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		\$ -	\$ 44,150.57	
Total			\$ 155,386.27	\$ 180,014.34	
USFWS-BDF 39 - 41506422813 - Closed November 30, 2008					
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	\$ 1,007,372.25
	Invoice 3	04/01/06-06/30/06	\$ 86,859.75	\$ 79,359.75	\$ 920,512.50
	Invoice 4	07/01/06-09/30/06	\$ 86,859.75	\$ 81,166.88	\$ 833,652.75
	Invoice 5	10/01/06-12/31/06	\$ 90,741.50	\$ 83,987.23	\$ 746,793.00
	Invoice 6	01/01/07-03/31/07	\$ 90,741.50	\$ 84,945.68	\$ 656,051.50
	Invoice 7	04/01/07-06/30/07	\$ 90,741.50	\$ 84,110.50	\$ 565,310.00
	Invoice 8	07/01/07-09/30/07	\$ 90,741.50	\$ 86,657.89	\$ 474,568.50
	Invoice 9	10/01/07-12/31/07	\$ 95,956.54	\$ 85,441.20	\$ 383,827.00
	Invoice 10	01/01/08-03/31/08	\$ 95,956.54	\$ 89,516.80	\$ 287,870.46
	Invoice 11	04/01/08-06/30/08	\$ 95,956.54	\$ 88,951.09	\$ 191,913.92
	Invoice 12	07/01/08-09/30/08	\$ 13,163.00	\$ 89,922.90	\$ 95,957.38
	Invoice 13	10/01/08-11/30/08	\$ 13,134.02	\$ 89,488.23	\$ 82,794.38
Total			\$ 1,024,571.64	\$ 1,024,571.64	FY08/09 \$ 275,697.85
USFWS-BDM22 - 41506412813 (AP)					
	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	\$ 2,462,009.00
	Invoice 4	10/01/09-12/31/09	\$ 99,061.00	\$ 97,241.63	\$ 2,362,948.00
					FY09/10 \$ 386,654.53

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 Showhide

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	BDZ17	ETDM004	Invoice 13	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	BDZ17	ETDM004	Invoice 14	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	BDZ17	ETDM004	Invoice 15	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



Agency Amendment Form

FDOT Project/Program Manager: Peter McGilvray		Date of Request:
Address: Florida Department of Transportation, 605 Suwannee St., M.S. 37, Tallahassee, FL 32399-0450		
Agency:	Start Date:	End Date:
Agreement Type:	Contract Number:	Amendment Number:
Vendor Number:	Financial Number:	
Purpose of Amendment (check all applicable terms): <input type="checkbox"/> Request for No-Cost Time Extension through: _____ <input type="checkbox"/> Total amount for Advance Pay is increased/decreased by: _____ <input type="checkbox"/> Total amount for Compensation is increased/decreased by: _____ <input type="checkbox"/> Request for Personnel Approval <input type="checkbox"/> Request for Sub-Consultant <input type="checkbox"/> Request for Overtime <input type="checkbox"/> Request for Travel <input type="checkbox"/> Request for Equipment Authorization <input type="checkbox"/> Request to Modify Agreement Provisions <input type="checkbox"/> Other (explain below)		
Approval of above selections requested. Provide justification/explanation of the requested action:		
"I certify that the above requested action is necessary for the operation of this project and is in compliance with the terms of the executed agreement."		
ETAT Authorized Agency Signature:		
(signature)	(title)	(date)

Compensation Element Description	Method of Compensation	Previous Amount	This Amendment Amount	Subtotal	Check if Estimate
This Amendment Total				Agency Agreement Total	
\$				<u>\$ NO Changes</u>	

Other Comments/Notes:

"I certify to that to the best of my knowledge and belief, the above requested action is not in violation of the terms of the agreement and is necessary for the continued operation of this agreement."

Department Action: APPROVED DISAPPROVE

FDOT Authorized Signature:

(signature) (title) (date)

FHWA Authorized Signature (required only if amendment changes agreement scope or increases funding):

NOT REQUIRED

(signature) (title) (date)

Attachments:

Appendix B

Agency Agreement File Checklist



Agency Contract File Checklist

CRITERIA	PROTOCOL	Y	N	N/A	COMMENTS
Activity Record & Correspondence					
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:
Financial/Payment Records					
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:
Payment Activity Ledgers					
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:
Copies of Invoices and Supporting Documentation					
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:
Contract Documents					
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:
Monitoring/Performance Management Oversight Activities					
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:
Reports					
Performance Reports	The Contract File must include performance/outcome data. This is provided in the Quarterly ETAT Feedback Reports.				Date:
Contract Manager Signature:					
Printed Name:					
Date Signed:					