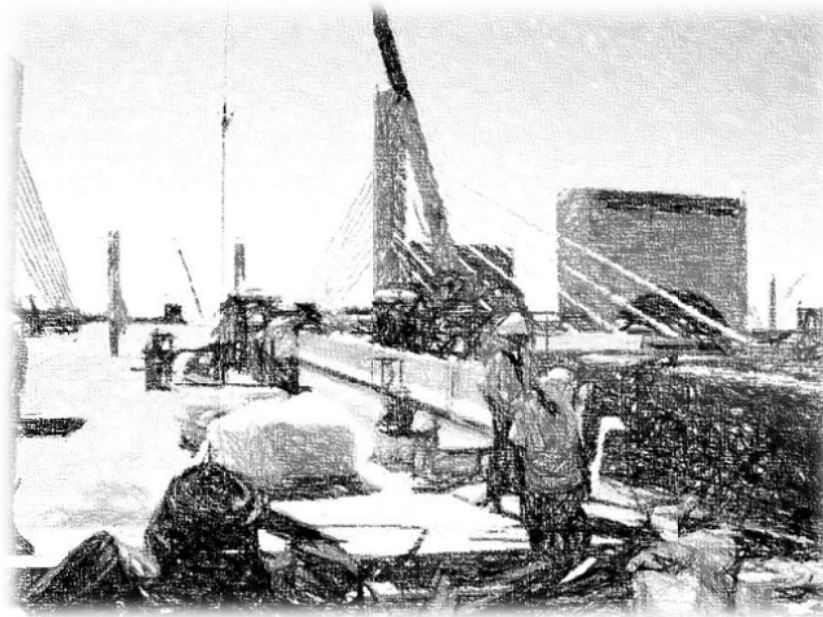


CONNECTICUT DEPARTMENT OF TRANSPORTATION

PAMPHLET FOR MONITORING CONSULTANT PERFORMANCE AND PAYMENT REQUESTS

FOR CONSTRUCTION ENGINEERING AND INSPECTION SERVICES



March 2014

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Introduction:

The guidelines set forth in this pamphlet cover key responsibilities for monitoring the performance and payment activities of Consultant Engineering firms (Consultants) hired by the Connecticut Department of Transportation (ConnDOT) to provide Construction Engineering and Inspection (CE&I) Services. The pamphlet establishes specific requirements to be followed by ConnDOT's Construction Division, District Offices, and the Division of Financial Management and Support (FM&S) and is for informational use by Consultants.

In addition to the information contained in this pamphlet, the ConnDOT website (<http://www.ct.gov/dot>) contains a variety of resources to aid both ConnDOT personnel and Consultants in carrying out these functions.

SECTION 1- Consultant Agreement Creation and Monitoring Procedures

This section outlines the responsibilities related to the procurement of consultant services and the monitoring of consultant expenditures on active construction projects. Specifically;

- Division of Construction's Consultant Procurement Responsibilities
- District Construction Office's Financial Administration and Monitoring Requirements
- FMS's Financial Administration and Support Responsibilities

I. Consultant Procurement Responsibilities

The District Construction Offices and the Office of Construction (OOC) work together with ConnDOT's Consultant Selection Office (CSO) and the Agreements/Negotiations Section (ANS) to procure the services of a Consultant to provide CE&I Services. There are two types of CE&I agreements. There is the normal CE&I agreement for staffing and administration of a specific construction project. The second is a Task-Based agreement in which services vary and specific tasks are assigned as the need and projects arise. These agreements are for three years and are for obtaining consultant staff for construction inspection activities for an entire project on short notice, to support state staff on a project, for technical administration support, or for defined activities across multiple similar types of projects.

Normal CE&I assignments

- A. Normal CE&I assignments begin when the Construction District Office determines that consultant services are needed to staff a specific project. The District completes the "Consultant Solicitation for Office of Construction" Form and submits it to OOC.
- B. The OOC reviews the request and through the CSO, a Consultant is procured and the CSO notifies OOC, the District, and the ANS.
- C. The Office of Construction then schedules the assignment meeting which is attended by personnel from the ANS, the District, the selected Consultant, FM&S, and other concerned parties. During the assignment meeting, the District Office and Consultant are instructed to develop independent fee proposals for the intended services, which are to be forwarded to the Chairman of the Negotiations Committee for review and discussion at a future negotiations meeting.
- D. The negotiation meeting is coordinated by the ANS and they are responsible for the negotiations with the Consultant.

- E. Following negotiations, a fee letter reflecting the negotiated fees is prepared by the Negotiation Committee and sent to the Consultant for their concurrence. ANS then drafts the Agreement and provides it to the District Office for review and comment.
- F. If any increases or decreases to the original project modification are required after initial negotiations or after re-negotiations for extra work, the District Project Engineer must make a modification request to ConnDOT's Capital Projects Section. Funding must be in place prior to release of an Agreement or supplemental agreement for CE&I services.
- G. ANS then finalizes the Agreement based upon the information from the Negotiation Committee.
- H. The District Office becomes responsible for the overall administration of the Agreement.
- I. If, during the course of the project, the originally negotiated fee will be exceeded, re-negotiations must occur, a new fee proposal prepared, a memo requesting extra work or a supplemental agreement prepared and project funding modified.

Task-Based CE&I assignments

- A. Task-Based CE&I assignments differ from normal CE&I assignments by the fact that the Agreement is already in place and the Consultants are on-board through previous coordination and selection with OOC, CSO and ANS. However, the Agreements are unfunded, and contain a maximum limiting amount and a general description of the scope of services. Also, assignments must be made for a particular task and be funded before the Consultant can begin work.
- B. When the District has determined the need for Task-Based services for the situations described earlier, the District completes the "District CEI Task-Based Request" Form and submits it to OOC.
- C. OOC reviews the request and, taking into account the ongoing workload, staff availability and expertise of the available on-board Task-Based Consultants, OOC chooses one of them to perform the assignment.
- D. OOC notifies the District of the chosen Consultant and advises them to schedule the assignment meeting.
- E. The District sets up the assignment meeting with ANS and the Task-Based Consultant. During the assignment meeting, the District Office and Consultant are instructed to develop independent fee proposals for the intended services, which are to be forwarded to the Chairman of the Negotiations Committee for review and discussion at a future negotiations meeting.
- F. The negotiation meeting is coordinated by ANS and they are responsible for the negotiations and completion of the assignment for CE&I services.
- G. Following negotiations, a fee letter reflecting the negotiated fees is prepared by the Negotiations Committee and sent to the Task-Based Consultant, OOC, and the District.
- H. If any increases or decreases to the original project modification are required after negotiations are completed, the District Project Engineer must make a modification request to ConnDOT's Capital Projects Section.
- I. If funding is in place, the District then has the authority to order the Task-Based consultant to start and becomes responsible for the administration of the assignment and to report assignment expenditures to OOC.
- J. OOC is responsible track all assignments and expenditures to a particular Task-based Consultant to ensure that they do not exceed the Agreement's maximum Limiting Amount.

- K. If, during the course of the project, the originally negotiated fee will be exceeded, re-negotiations must occur, a new fee proposal prepared, a memo requesting extra work or a supplemental agreement prepared and project funding modified.

II. District Construction Office's Financial Administration and Monitoring Requirements

The Construction District responsible for administering the project assigns a PE to provide supervision of consultant activities. The following is a summary of the PE's responsibilities relating to financial administration of Consultant Agreements:

- A. Attend Consultant assignment meetings as required by the District Management.
- B. Prepare initial and supplemental fee proposals for CE&I services and provide copies to FM&S. Include the Fiscal Administrative Officer (FAO)/Accountant as an attendee at all negotiations meetings and participate in the negotiation of these services.
- C. Ensure that the project is modified, as soon as possible following the negotiation of the Agreement and any extra work, through ConnDOT's Capital Projects Section. The project modification should reflect initially negotiated fees, plus any increases associated with a supplemental agreement or extra work. Track the approval process to ensure timely response and inform FM&S of any issues.
- D. Obtain copy of the Consultant's company policies regarding the payment of overtime and shift differential and provide a copy to FM&S.
- E. Obtain copies of all contracts between the Prime Consultant and all Sub-Consultants hired to provide services under the Agreement, ensure their acceptability, and provide copies to FM&S.
- F. Provide written authorization for the Consultant to commence services and provide a copy of this authorization to FM&S.
 - 1. If early authorization to start is granted (prior to execution of the Agreement) a letter must be drafted for the Chief Engineer's signature.
 - 2. If the authorization to start is granted after the execution of the Agreement, the letter authorizing the Consultant to start work is drafted for the District Engineer's signature.
- G. Review qualifications and wage rates of Consultant personnel to be assigned to the project. Prepare letters approving qualified individuals for assignment and provide copies to FM&S.
- H. For larger projects the PE shall request the consultant to submit a staffing plan. The staffing plan should be designed to address the Contractor's planned schedule and the needs of the project. The plan should be reviewed for reasonableness by the PE and then utilized for financial and manpower needs. Updates to the staffing plan should be required whenever the needs of the project significantly change.
- I. Monitor Consultant manpower needs throughout the course of the assignment.
- J. All Consultants overtime should be pre-approved by the ConnDOT PE. The PE will also monitor and approve actual overtime through the invoice document. The invoice must include the form, "Request for Authorization of Paid overtime Employees" (Exhibit IX of Appendix A). Reimbursement for overtime will not be made unless this form is included and is signed by the ConnDOT PE.

- K. Monitor the Consultant's quarterly submission of the "Sub consultant Payment Log" (Exhibit III of Appendix A) to ensure that Disadvantaged Business Enterprise (DBE)/Small Business Enterprise (SBE) goals are met, and address any shortfalls prior to the conclusion of the Consultant's assignment. The quarterly submission of the form should be included with that month's invoice.
- L. Monitor Consultant's activity and performance. Prepare performance appraisal evaluations in accordance with ConnDOT procedures. Advise Consultants of deficiencies in performance of assignment as they occur so that the semi-annual evaluations will not be the first notification of deficiencies, if any exist.
- M. Determine whether costs billed on an invoice are representative of work performed. The PE's signature on the Invoice Summary and Processing (ISP) Form and other included forms confirms general agreement with the charges incurred.
- N. Monitor Consultant expenditures, particularly items that have maximum limiting amounts. Make sure payments do not exceed maximum limiting amounts.
- O. Determine when extra work or a supplemental agreement is required and work with personnel from FM&S to prepare the appropriate correspondence to begin the approval process. See Section 5 of this pamphlet for guidance related to requests for approval to enter into supplemental agreements and extra work. Track approval process to ensure timely response.
- P. Notify Capital Projects Section of additional funding requirements resulting from a supplemental agreement or extra work and initiate project modifications as required.
- Q. Make sure payment for extra work is not made until the work has been approved and negotiations are completed or a supplemental agreement has been executed and funding is in place.
- R. Prepare correspondence to Consultant as required.
- S. Prepare written confirmation to the Consultant that their assignment has been concluded, and request a semi-final invoice for all costs incurred through the assignment conclusion. Provide a copy of the conclusion letter to FM&S, as well as copies of the CON-500.

III. Financial Management Services' Administration and Support Procedures

An FAO/Accountant will be assigned fiscal responsibility for each of ConnDOT's Consultant Agreements. It will be the responsibility of the FAO/Accountant to actively monitor all financial and financially-related administrative requirements outlined in the Agreement, including, but not limited to:

- A. Attend all assignment, negotiation and re-negotiation meetings.
- B. Work with PEs to request appropriate funding through the Department's Capital Projects Section. Track project modification requests submitted by PEs.
- C. Work with Consultant financial personnel to establish proper invoicing procedures.
- D. Once funding is approved and in place, code contracts in Core and create purchase orders to encumber funding.

- E. Establish a recordkeeping system acceptable to ConnDOT to monitor and track consultant expenditures. Examples of "Spreadsheets" to track consultant expenditures can be found in Exhibits XII and XII(a) of Appendix A.
- F. Review monthly invoices submitted by Consultants to determine the accuracy of charges, ensuring consultant costs billed are allowable in accordance with the Federal cost principles and consistent with the contract terms as well as the acceptability and progress of the consultant's work.
 - 1. Payroll Costs – Confirm hours billed against timesheets. Confirm hourly rates against approvals and check costs for mathematical accuracy.
 - 2. Indirect Costs – Confirm latest audited indirect cost rate and apply to payroll costs. Compute any indirect cost adjustments resulting from increases/decreases in audited indirect cost rates.
 - 3. Premium Overtime Costs – Calculate straight and premium overtime costs based on the Fair Labor Standards Act and consultant company policies.
 - 4. Shift Differential – If negotiated as part of the Consultant's Agreement, shift differential hours are reimbursed in accordance with P-4 (Engineering and Scientific) Union guidelines. Current reimbursement is at 85 cents/hour.
 - 5. Direct Costs – Check agreement language and negotiations notes to determine if direct costs billed are allowable. Ensure that all direct cost charges are supported by appropriate backup and/or receipts.
 - 6. Fixed Fee – Calculate in accordance with Agreement language.
- G. Track Consultant expenditures against maximum limiting amounts established in the Agreement and notify PEs when costs reach 70% of these amounts to determine if a supplemental agreement or extra work request is required.
- H. Work with PEs to prepare formal requests for supplemental agreements and extra work. Provide copies of financial spreadsheets and other information to support these requests. Monitor requests for supplemental agreements and extra work from initiation through completion to ensure timeliness.
- I. Ensure that adequate funding is requested by the PE to fund any extra work or supplemental agreements, and monitor all project modifications initiated for such purposes.
- J. Implement annual adjustments to consultant indirect cost rates and assess their impact on consultant costs. Notify PEs if increases in indirect costs will require extra work or a supplemental agreement and initiate these requests.
- K. Monitor project funding throughout the life of the Agreement and reduce purchase orders to reflect any over-encumbrance of funds.
- L. Monitor the quarterly submission of Sub-Consultant Payment Reports by Consultants. Notify PEs of any potential DBE shortfalls.
- M. Upon completion of the project (CON 501) and following written notification of the conclusion of the Consultant's Assignment by the ConnDOT PE, work with the PFM unit to prepare timely audit requests and subsequent audit actions so that the contract can be closed in Core-CT.

- N. Notify Consultants of the results of the final audit.
- O. Reconcile consultant costs against the final audit and prepare final payments or initiation of requests to collect outstanding amounts due to ConnDOT based on audit.
- P. Reduce and cancel purchase orders following final payment and/or collection of monies due ConnDOT.
- Q. Following closeout, complete a "Closeout Certification Form" (Exhibit XV of Appendix A) and submit to Project Fiscal Management.

SECTION 2 - Preparation of Consultant Invoices

This section outlines the requirements for submittal of invoices by both the Prime Consultant and Sub- Consultants. Samples of the forms/summaries referenced below are attached as part of Appendix A. These forms, with the exception of the ISP form, may be reformatted, however, all information contained on the sample forms must appear on the reformatted forms. In the interest of uniformity and time savings the invoices should be submitted with the forms ordered as shown below:

1. **Invoice Summary and Processing Form (See Exhibit I of Appendix A):** The ISP form shall be the top form in the invoice package. Two sets of the complete invoice package are to be submitted to ConnDOT, an original and one complete copy. Section 1 of the ISP form must be fully completed and contain appropriate signatures.
2. **Invoice Summary (See Exhibit II of Appendix A):** Following the ISP form is the "Invoice Summary." This summary must include a column listing negotiated maximum limiting amounts for payroll, indirect costs, fixed fee, premium overtime, shift differential and direct non-salary costs. In addition, it must contain columns listing previous amounts billed, amounts billed this invoice, amounts billed to date, and balances remaining.
3. **Individual Project Summary (See Exhibit II(a) of Appendix A):** In the event that there are multiple projects within the Agreement, individual project invoice summaries listing previous amounts billed, amounts billed this invoice and amounts billed to date must also be included for each individual project.
4. **Quarterly "Sub-Consultant Payment Log" (See Exhibit III of Appendix A):** This form should be submitted in the invoice package on a quarterly basis as follows: (1)As of January 15, for the preceding months of October, November and December, (2) April 15, for the preceding months of January, February and March, (3) July 15, for the preceding months of April, May and June and (4) October 15, for the preceding months of July, August and September. Completion of this form is required for all Sub-Consultants, not just DBE firms.
5. **Payroll Summary (See Exhibit IV of Appendix A):** This form should contain the individual sections for regular payroll costs, premium overtime costs, and shift differential costs. Each section should list the employee's name, title, hours worked, approved hourly rate, costs billed this invoice and costs billed to date. For contracts with multiple projects, individual payroll summaries will be required for each project. The bottom of the payroll summary must contain a signature lines certifying the following statement:

- I, (Consultant), do hereby certify that during the period covered by this payroll, all personnel shown were gainfully employed in service for the State, and their classification, rate of pay, hours worked and amount earned is a true and accurate report.

In addition, on Sub-Consultant payroll summaries, the Prime Consultant will include an additional statement certifying that they have reviewed and approved the hours being billed by their Sub- Consultant.

- 6. Fixed Fee Summary (See Exhibit V of Appendix A):** This form is required to document the calculation and distribution, on a monthly basis, of the negotiated fixed fee.
- 7. Summary of Direct Costs (See Exhibit VI of Appendix A):** This form should be included in all invoices in which reimbursement for direct costs is requested. On contracts with multiple projects, this form will be required for each project for which direct costs are billed.
- 8. Direct Cost Detail (Exhibit VII of Appendix A):** This form should show a detailed breakdown of direct costs for various direct cost categories such as transportation (mileage), reproduction, communications, subsistence, etc. It should be included in all invoices in which reimbursement for direct costs is requested. Only allowable direct cost charges, which have been negotiated, should be billed. Legible receipts and appropriate backup materials must be attached to substantiate all direct cost charges. Any questionable charges will be deducted.
- 9. Timesheets (Exhibit VIII of Appendix A):** Company timesheets are required to show all projects the employee worked on during the period represented. The timesheet shall be further divided into the number of hours worked per project by day. The timesheet must detail of the number of regular hours, overtime hours, and the number of hours in which a differential modifier was applied (shift, weekend, etc.).
- 10. Request for Authorization of Paid Overtime (Exhibit IX of Appendix A):** This form shall accompany individual timesheets containing premium or straight overtime charges. No reimbursement for overtime will be accepted unless this form is included and is signed by the ConnDOT PE. On contracts with multiple projects, this form must detail the project on which the overtime was worked.
- 11. Mileage Report (Exhibit X of Appendix A):** This form should be submitted for each employee charging project mileage and should list beginning and ending odometer readings and purpose of travel.
- 12. Consultant's Semi-Final Invoice (Exhibit XI of Appendix A):** This invoice should follow the format outlined in this manual for billings. This invoice is required before a final audit is requested and will invoice for all outstanding costs, including retainage. The invoice package shall be preceded by submission, to the satisfaction of ConnDOT, of all required final or closeout documentation required by the Consultant Agreement. The semi-final invoice will be held pending a final determination of "Good Faith" efforts, amounts completed of the DBE/SBE program, verification of sub-contractor payments, other required final documentation and final audit results.

SECTION 3 - REVIEW OF CONSULTANT INVOICES

I. General

- A. Upon receipt, invoices submitted by Consultants will be logged in at ConnDOT by FM&S, given a key number and immediately given to the FAO/Accountant responsible for the project(s).
- B. Files should be maintained by both the PEs and FAOs/Accountants and should include a copy of the Agreement, any supplemental agreements or extra work letters, a copy of the negotiation notes and copies of all salary approval letters.
- C. The FAO/Accountant will conduct a thorough review of the invoice before sending it to the PE for review and signature (see Section 1, Item III, F, under FM&S responsibilities).

II. Review Procedures

- A. After being logged in and given a key number, the invoice will be given to the FAO/Accountant responsible for that project. The FAO/Accountant should conduct their review of the invoice within 5 working days of its receipt.
- B. The invoice will then be sent to the PE for his/her review and comment along with a review sheet detailing any issues or corrections found during the FAO/Accountant review. The FAO/Accountant will log the date the invoice is sent to the PE under the appropriate key number in Viewport.
- C. The PE will review the invoice and verify the following:
 - 1. Hours worked including overtime and approval of overtime.
 - 2. Direct cost charges.

In general, an invoice should be reviewed by the PE or Supervising Engineer (SE) and returned to FM&S within 5 working days of its receipt.

- D. If the PE finds major errors on the invoice, he/she should confer with the FAO/Accountant and together determine whether the invoice should be returned to the Consultant for correction or if the correction should be made by the FAO/Accountant. If the latter is decided, the FAO/Accountant will make the correction and notify the Consultant of the adjustment upon payment.
- E. If it is decided that the invoice cannot be paid or is being returned to the Consultant for correction, the PE will notify the FAO/Accountant who will put a comment in Viewport as to why the invoice cannot be paid.
- F. If there are no issues, the PE/SE will sign the ISP form under the 4th block entitled "Certification of Commodities Received and Services Rendered," and return the invoice to the FAO/Accountant for payment. The PE will return the invoice to the attention of Financial Management & Support, Room 1329NW, and FM&S will record the date that the invoice was returned by the PE in Viewport.
- G. Once an invoice has been logged in as returned by the PE, it will be given to the FAO/Accountant for payment or other action.

SECTION 4 – EXTRA WORK AND SUPPLEMENTAL AGREEMENTS

It is the mutual responsibility of the Consultant, the District PE and the FAO/Accountant to monitor expenditures to determine if negotiated fees are sufficient to cover actual expenditures. Generally, when expenditures approach 75% of their negotiated value, costs must be evaluated to determine if extra work or a supplemental agreement are required. All extra work and supplemental agreements must be negotiated. Prior to negotiation, authorization must be obtained from the appropriate authority. For all cases, except the addition of construction contracts or added tasks other than CE&I, the District Engineer has the authority to authorize extra work and supplemental agreements.

The procedure for both the addition of extra work and/or a supplemental agreement requires a memorandum from the Assistant District Engineer to the District Engineer requesting the District Engineer's approval. The approved request is forwarded to the Negotiation's Chairman. The District must assure that the fee proposal prepared by the PE (ConnDOT estimate of the cost of the additional work) and copies of financial spreadsheets provided by the FAO/Accountant (detailing costs billed to date) are attached to this memorandum. The District is also responsible for notifying the Consultant to forward a fee proposal for the subject work to the Negotiation's Chairman.

For each instance of extra work or a supplemental agreement the overall project budget should be reviewed by the appropriate party to determine if a project modification is required.

Further requirements related to extra work and supplemental agreements are provided below.

I. EXTRA WORK

Extra work is generally defined as work outside of the originally negotiated scope of services. In general, costs in excess of the negotiated maximum limiting amounts for payroll, burden, fringe and overhead, premium overtime, shift differential and direct costs may be eligible for reimbursement under the Agreement's extra work provisions.

Each Agreement typically contains an allowance of ten percent of the negotiated Agreement value for extra work. For example, an Agreement with a negotiated value of \$100,000.00 would contain an allowance for extra work of \$10,000.00. If total estimated costs exceed the negotiated Agreement value of \$100,000.00, but are less than the negotiated Agreement value plus the ten percent allowance for extra work, or \$110,000.00, an extra work request is required.

Below are examples of conditions that may warrant the use of extra work funds.

- A. An extension of construction contract time
- B. Changes or refinements in work assignments, operations or staffing levels
- C. Increases in premium overtime or shift differential costs
- D. Investigation of claims
- E. Escalated burden, fringe and overhead costs based on audit results
- F. Design changes

The basis of payment for each type of extra work situation is defined in Article (43) of the Consultant Agreement.

Exhibit XIII of Appendix A provides an example of the memorandum, fee proposal and financial spreadsheets that are required for an extra work request.

II. SUPPLEMENTAL AGREEMENTS

Supplemental agreements are required when costs exceed the negotiated Agreement maximum plus the ten percent allotment for extra work. For example, an Agreement with a negotiated value of \$100,000.00 and an extra work allowance of \$10,000.00 would require a supplemental agreement if the total estimated costs were to exceed \$110,000.00.

In accordance with Section 13b-17 of the Connecticut General Statutes, as amended, the Commissioner of Transportation has delegated authority to the four District Engineers to enter into supplemental agreements that are required as a result of:

- A. An extension of construction contract time.
- B. Shift differential and/or premium time requirements.
- C. Inspection requirements due to construction limitation of operations.
- D. Revision to labor classifications necessitated by the contract site conditions.
- E. Construction order revisions to the original construction contract.
- F. Escalated burden, fringe and overhead costs based on audit results.

Requests for supplemental agreements that revise the scope of the Consultant's Assignment (i.e., add additional construction contracts or add tasks other than CE&I) must be submitted through the Deputy Commissioner for the Commissioner's approval.

Exhibit XIV of Appendix A provides an example of the memorandum, fee proposal and financial spreadsheets that are required as part of a supplemental agreement request.

APPENDIX A
EXHIBITS (FORMS AND SPREADSHEETS)

EXHIBIT I – INVOICE SUMMARY AND PROCESSING FORM (ISP)

EXHIBIT II – INVOICE SUMMARY

EXHIBIT II(a) – INDIVIDUAL PROJECT SUMMARY

EXHIBIT III – QUARTERLY SUBCONSULTANT PAYMENT LOG

EXHIBIT IV – PAYROLL SUMMARY

EXHIBIT V – FIXED FEE SUMMARY

EXHIBIT VI – SUMMARY OF DIRECT COSTS

EXHIBIT VII – DIRECT COST DETAIL

EXHIBIT VIII – TIMESHEETS

EXHIBIT IX – REQUEST FOR AUTHORIZATION OF PAID OVERTIME

EXHIBIT X – MILEAGE REPORT

EXHIBIT XI – CONSULTANT’S SEMI-FINAL INVOICE

EXHIBIT XII – CONSULTANT SPREADSHEETS

EXHIBIT XIII – REQUEST FOR EXTRA WORK

EXHIBIT XIV – REQUEST FOR SUPPLEMENTAL AGREEMENT

EXHIBIT XV – CLOSEOUT CERTIFICATION FORM

Connecticut Department of Transportation Invoice Summary and Processing (ISP) Form

Please submit at least one signed original and one copy of this form with each invoice to:

Department of Transportation, Division of Financial Management & Support - Room 1329
2800 Berlin Tpk., PO Box 317546, Newington, Connecticut 06131-7546

Rev 01/22/2013

Section 1 - To be completed by Vendor. (Please see the Instruction Guide worksheet tab for assistance in completing this form.)

Contract CORE ID: [Redacted]

For A/P Use Only

Vendor Name & Remit Address:

(Please contact the Department for all remittance address changes.)

Payee: [Redacted]

Address: [Redacted]

Address: [Redacted]

City: [Redacted]

State: [Redacted] Zip Code: [Redacted]

Brief Contract Description: [Redacted]

Vendor Contacts:

Engineering: [Redacted] [Redacted] [Redacted]
Print Name Phone Email

Financial: [Redacted] [Redacted] [Redacted]
Print Name Phone Email

(Up to 30 characters will appear on the reimbursement check.)

Vendor Invoice No./Info: [Redacted] Billed Amount: [Redacted]

(The Vendor Invoice Number must be unique for each invoice. Whatever is entered into the Invoice Number and Brief Description fields will appear on the check stub to facilitate payment.)

Billing Period: From: [Redacted] To: [Redacted] -(Billing Period must be filled in.)

Brief Invoice Description: [Redacted]
(Up to 70 characters will appear on the reimbursement check.)

I certify that the above claim for reimbursement is just and correct and that all work has been performed as indicated.

[Redacted] [Redacted] [Redacted]
Title Signature Date

Section 2 - For DOT Office Use Only

Send To: [Redacted]

Certification of Commodities Received or Services Rendered:

Project Engineer: [Redacted] [Redacted] [Redacted]
Print Name Initial/Signature Date

Project Manager: [Redacted] [Redacted] [Redacted]
Print Name Signature Date

Engineering Comment: [Redacted]

Financial Review Completed:

Financial Reviewer: [Redacted] [Redacted] [Redacted] [Redacted]
Print Name Signature Date Phone

PO No. : [Redacted] Project ID: [Redacted]

(For Multiple PO's, please leave PO No. field blank, and attach separate listing of PO numbers.)

Receipt ID: [Redacted] Retainages ReceiptID: [Redacted]

(Leave Receipt ID blank and attach list for multiple Receivers.)

Amount Paid: [Redacted] Retainages Held: [Redacted]

Invoice Date: [Redacted] Key No.: [Redacted]

(Date to DOT)

EXHIBIT II – INVOICE SUMMARY

Combined Project Nos. _____
 Invoice No. _____
 Period Ending _____

(FOR COMBINED PROJECTS – IF MORE THAN ONE PROJECT)

<u>Prime Consultant</u>	<u>Previously Billed</u>	<u>This Invoice</u>	<u>Billed To Date</u>	<u>Maximum Limits</u>	<u>Approved Extra Work</u>	<u>Balance Remaining</u>
Field Payroll	_____	_____	_____	_____	_____	_____
Field BF&O @ _____ %	_____	_____	_____	_____	_____	_____
Premium Overtime	_____	_____	_____	_____	_____	_____
Shift Differential	_____	_____	_____	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____	_____	_____	_____
Fixed Fee	_____	_____	_____	_____	_____	_____
Total Gross Prime	_____	_____	_____	_____	_____	_____
Retainage	_____	_____	_____	_____	_____	_____
Total Net Prime	_____	_____	_____	_____	_____	_____
Total Net Sub(s)	_____	_____	_____	_____	_____	_____
Total Net Prime & Sub(s)	_____	_____	_____	_____	_____	_____

<u>Sub-Consultant</u>	<u>Previously Billed</u>	<u>This Invoice</u>	<u>Billed To Date</u>	<u>Maximum Limits</u>	<u>Approved Extra Work</u>	<u>Balance Remaining</u>
Field Payroll	_____	_____	_____	_____	_____	_____
Field BF&O @ _____ %	_____	_____	_____	_____	_____	_____
Premium Overtime	_____	_____	_____	_____	_____	_____
Shift Differential	_____	_____	_____	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____	_____	_____	_____
Fixed Fee	_____	_____	_____	_____	_____	_____
Total Gross Sub	_____	_____	_____	_____	_____	_____
Retainage	_____	_____	_____	_____	_____	_____
Total Net Sub	_____	_____	_____	_____	_____	_____

<u>Sub-Consultant</u>	<u>Previously Billed</u>	<u>This Invoice</u>	<u>Billed To Date</u>	<u>Maximum Limits</u>	<u>Approved Extra Work</u>	<u>Balance Remaining</u>
Field Payroll	_____	_____	_____	_____	_____	_____
Field BF&O @ _____ %	_____	_____	_____	_____	_____	_____
Premium Overtime	_____	_____	_____	_____	_____	_____
Shift Differential	_____	_____	_____	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____	_____	_____	_____
Fixed Fee	_____	_____	_____	_____	_____	_____
Total Gross Sub	_____	_____	_____	_____	_____	_____
Retainage	_____	_____	_____	_____	_____	_____
Total Net Sub	_____	_____	_____	_____	_____	_____

EXHIBIT II(a) – INDIVIDUAL PROJECTY SUMMARY

State Project Nos. _____

Invoice No. _____

Period Ending _____

Project No. _____	Previously <u>Billed</u>	Billed <u>This Invoice</u>	Billed <u>To Date</u>
Field Payroll	_____	_____	_____
Field BF&O @ _____%	_____	_____	_____
Premium Overtime	_____	_____	_____
Shift Differential	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____
Fixed Fee	_____	_____	_____
Total Gross	_____	_____	_____
Retainage	_____	_____	_____
Total Net	_____	_____	_____
Net Sub-Consultant Costs	_____	_____	_____
Total Net Costs Prime & Sub	_____	_____	_____

Project No. _____	Previously <u>Billed</u>	Billed <u>This Invoice</u>	Billed <u>To Date</u>
Field Payroll	_____	_____	_____
Field BF&O @ _____%	_____	_____	_____
Premium Overtime	_____	_____	_____
Shift Differential	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____
Fixed Fee	_____	_____	_____
Total Gross	_____	_____	_____
Retainage	_____	_____	_____
Total Net	_____	_____	_____
Net Sub-Consultant Costs	_____	_____	_____
Total Net Costs Prime & Sub	_____	_____	_____

Project No. _____	Previously <u>Billed</u>	Billed <u>This Invoice</u>	Billed <u>To Date</u>
Field Payroll	_____	_____	_____
Field BF&O @ _____%	_____	_____	_____
Premium Overtime	_____	_____	_____
Shift Differential	_____	_____	_____
Direct Non-Salary Costs	_____	_____	_____
Fixed Fee	_____	_____	_____
Total Gross	_____	_____	_____
Retainage	_____	_____	_____
Total Net	_____	_____	_____
Net Sub-Consultant Costs	_____	_____	_____
Total Net Costs Prime & Sub	_____	_____	_____

EXHIBIT III - QUARTERLY SUB-CONSULTANT PAYMENT LOG

Connecticut Department of Transportation Subconsultant Payment Log Year: _____ Sep-02											
Prime Consultant: FEIN: _____ Contact Person: _____ Telephone: _____ Subconsultant: FEIN: _____						ConnDOT Project No. _____ Federal Aid Project No. _____ ConnDOT Administrating Unit: _____ ConnDOT Project Engineer: _____ DBE <input type="checkbox"/> SBE <input checked="" type="checkbox"/>					
Line No.	Subconsultant's Invoice to Prime			Prime's Invoice to State			Payment Information				(11) Remarks
	(1) Subconsultant Invoice No.	(2) Date Submitted to Prime	(3) Invoice Amount	(4) Included on Prime's Invoice No.	(5) Invoice Date	(6) Subconsultant Amount Submitted	(7) Date Prime Received Payment From State	(8) Date Prime Paid Subconsultant	(9) Amount of Payment to Subconsultant	(10) Check No.	
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											
<u>Date Submitted to ConnDOT:</u>		<u>Prime Consultant Signature and Date:</u>				<u>Date of Subconsultant Receipt:</u>			<u>Subconsultant Signature and Date:</u>		
January _____		_____				_____			_____		
April _____		_____				_____			_____		
July _____		_____				_____			_____		
October _____		_____				_____			_____		

Connecticut Department of Transportation
Instructions for Subconsultant Payment Log

Prime consultant to complete one Subconsultant Payment Log for each subconsultant assigned to the project per calendar year. The log will be submitted quarterly (January, April, July and October) to the ConnDOT Project Engineer. Each subsequent quarter, the form will be updated and submitted as indicated. Prior to submission to ConnDOT, the log will be signed by the prime consultant and forwarded to the subconsultant for review. The subconsultant will sign and date the form indicating the date they received the form from the prime and then return the form to the prime. The log must be received by the administrating ConnDOT unit (i.e.: Consultant Design, Construction, etc.) by the 15th of the respective month. The log should include both the prime and subconsultant's portion of the payment log must be completed and up to date through the quarter that is being submitted. The subconsultant portion should also be completed and up to date for the current quarter, however it will be acceptable to be no more than one quarter behind. If there are any comments or conflicts between the information provided from the prime and subconsultant, fill in the remarks column. If extra space is required, the information should

EXHIBIT IV - PAYROLL SUMMARY

State Project Nos. _____
 Invoice No. _____
 Period Ending _____

<u>REGULAR PAYROLL COSTS</u>	<u>Name</u>	<u>Classification</u>	<u>Hours</u>	<u>Rate</u>	<u>This Period</u>	<u>Previously Billed</u>	<u>To Date</u>
-------------------------------------	-------------	-----------------------	--------------	-------------	--------------------	--------------------------	----------------

<u>PREMIUM OVERTIME COSTS</u>	<u>Name</u>	<u>Classification</u>	<u>Hours</u>	<u>Rate</u>	<u>This Period</u>	<u>Previously Billed</u>	<u>To Date</u>
--------------------------------------	-------------	-----------------------	--------------	-------------	--------------------	--------------------------	----------------

<u>SHIFT DIFFERENTIAL COSTS</u>	<u>Name</u>	<u>Classification</u>	<u>Hours</u>	<u>Rate</u>	<u>This Period</u>	<u>Previously Billed</u>	<u>To Date</u>
--	-------------	-----------------------	--------------	-------------	--------------------	--------------------------	----------------

I, _____ (Consultant), do hereby certify that during the period covered by this payroll, all personnel shown were gainfully employed in service for the State and their classification, rate of pay, hours worked and amount earned is a true and accurate report.

Signed _____

EXHIBIT V – FIXED FEE SUMMARY

State Project No(s). _____
 Invoice No. _____
 Period Ending _____

Fixed Fee Computation

Total Negotiated Fixed Fee ÷ Consultant Contract Period = Gross Monthly Fixed Fee \$ _____ / _____ Mos. = \$ _____
 Less 15% Retainage \$(_____)
 Net Monthly Fixed Fee \$ _____

FIXED FEE ALLOCATION BY PROJECT

THIS INVOICE

TO DATE

(%) PROJECT NO. _____
 Gross Billed
 Less Retainage @ 15%
 Net Billed This Invoice

(%) PROJECT NO. _____
 Gross Billed
 Less Retainage @ 15%
 Net Billed This Invoice

Note: With Multiple Projects, the percentage (%) breakdown for Fixed Fee is based on Project Payroll Costs. For Example:

Total Payroll Costs Project A = 5,000.00
 Total Payroll Costs Project B = 7,000.00
 Total Payroll Costs = 12,000.00

(%) Assigned to Project A = 5,000.00 / 12,000.00 = 42%

(%) Assigned to Project B = 7,000.00 / 12,000.00 = 58%

EXHIBIT VI – SUMMARY OF DIRECT COSTS

State Project Nos. _____
Invoice No. _____
Period Ending _____

<u>MAXIMUM LIMITS</u>	<u>PREVIOUSLY BILLED</u>	<u>THIS PERIOD</u>	<u>TO DATE</u>
-----------------------	------------------------------	--------------------	----------------

TRANSPORTATION

REPRODUCTION

TOTAL

EXHIBIT VII - DIRECT COST DETAIL

State Project Nos. _____
Invoice No. _____
Period Ending _____

INDIVIDUAL PROJECT BREAKDOWN

PROJECT NO. _____	<u>PREVIOUSLY BILLED</u>	<u>THIS PERIOD</u>	<u>TO DATE</u>
TRANSPORTATION Employee Name No. Miles x Mileage Rate =			
REPRODUCTION			
TOTAL			

PROJECT NO. _____	<u>PREVIOUSLY BILLED</u>	<u>THIS PERIOD</u>	<u>TO DATE</u>
TRANSPORTATION Employee Name No. Miles x Mileage Rate =			
REPRODUCTION			
TOTAL			

PROJECT NO. _____	<u>PREVIOUSLY BILLED</u>	<u>THIS PERIOD</u>	<u>TO DATE</u>
TRANSPORTATION Employee Name No. Miles x Mileage Rate =			
REPRODUCTION			
TOTAL			

EXHIBIT IX – REQUEST FOR AUTHORIZATION OF PAID OVERTIME

EMPLOYEE	NO. HOURS	DATE	TIME WORKED	REASON FOR OVERTIME

SUBMITTED BY:	DATE:	APPROVED BY:	DATE:
---------------	-------	--------------	-------

Connecticut Department of Transportation Invoice Summary and Processing (ISP) Form

Please submit at least one signed original and one copy of this form with each invoice to:

*Department of Transportation, Division of Financial Management & Support - Room 1329
2800 Berlin Tpke., PO Box 317546, Newington, Connecticut 06131-7546*

Rev 01/22/2013

Section 1 - To be completed by Vendor. (Please see the Instruction Guide worksheet tab for assistance in completing this form.)

Contract CORE ID:

For A/P Use Only

Vendor Name & Remit Address:

(Please contact the Department for all remittance address changes.)

Payee:

Address:

Address:

City:

State: Zip Code:

Brief Contract Description: SEMI-FINAL INVOICE - PROJECT NO(S) /DESCRIPTION

Vendor Contacts:

Engineering:
Print Name Phone Email

Financial:
Print Name Phone Email

(Up to 30 characters will appear on the reimbursement check)

Vendor Invoice No./Info: 10 Characters should be a unique identifier with the remaining 20 blank for DOT use Billed Amount:

(The Vendor Invoice Number must be unique for each invoice and not exceed 10 characters. Whatever is entered into the Invoice Number and Brief Description fields will appear on the check stub to facilitate payment.)

Billing Period: From: To: -(Billing Period must be filled in.)

Brief Invoice Description:
(Up to 70 characters will appear on the reimbursement check.)

I certify that the above claim for reimbursement is just and correct and that all work has been performed as indicated.

Title Signature Date

Section 2 - For DOT Office Use Only

Send To:

Certification of Commodities Received or Services Rendered:

Project Engineer:
Print Name Initial/Signature Date

Project Manager:
Print Name Signature Date

Engineering Comment:

Financial Review Completed:

Financial Reviewer:
Print Name Signature Date Phone

PO No. : Project ID:

(For Multiple PO's, please leave PO No. field blank, and attach separate listing of PO numbers.)

Receipt ID: Retainages ReceiptID:

(Leave Receipt ID blank and attach list for multiple Receivers.)

Amount Paid: Retainages Held:

Invoice Date: Key No.:

(Date to DOT)

EXHIBIT XIII – REQUEST FOR EXTRA WORK

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

subject: Contract ID
Project No.
Construction Engineering & Inspection
Consultant Name
Request for Extra Work

m e m o r a n d u m

date:

to: _____ (DE)
District Engineer
Bureau of Engineering and
Highway Operations

from: _____ (ADE)
Assistant District Engineer
Bureau of Engineering and
Highway Operations

Your approval is requested to utilize extra work funds in the amount of \$ _____ to increase

_____ under the subject contract and project.

This increase is required due to _____

Your approval of this request is recommended to enable reimbursement for authorized services provided.

Approved: _____ Date: _____
District Engineer

/ Attachment(s)

cc: Lewis S. Cannon – James P. Connery
(Chairman of Negotiations) Gary Belina (please negotiate additional funds)
(DE) _____ (ADE) _____ (SE) - _____ (PE) _____
(FMS Manager) _____ - (FMS FAO) _____ - (FMS Accountant) _____

EXHIBIT XIV – REQUEST FOR SUPPLEMENTAL AGREEMENT

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

subject: **Contract ID**
Project No.
FAP No.
Construction Engineering & Inspection Services
Consultant Name
Request for Supplemental Agreement

m e m o r a n d u m

date:

to: **District Engineer**
Bureau of Engineering and
Highway Operations

from: **Assistant District Engineer**
Bureau of Engineering and
Highway Operations

Your approval is requested to enter into a _____ Supplemental Agreement with _____ to amend their construction engineering and inspection services to *(Choose one or more of the following and complete the paragraph. Add detail as needed and then delete the text in parentheses: (1) increase the maximum limiting amount of the agreement, and/or (2) extend inspection services through _____, and/or (3) revise the agreement’s maximum hourly rates scheduled to expire on _____(select applicable reasons).*

This Supplemental Agreement is being requested based on *(the District Engineer has delegation of authority to approve supplemental agreements for the reasons listed below; determine the applicable reason(s) and delete the other non-applicable items in parenthesis. Using one or more of the reasons below, provide details in paragraph form as to why a supplement is needed and/or why an extension of the consultant’s services are required. If there is a DBE goal, the impact of the supplemental agreement should be addressed here)*

- *An extension of construction contract time.*
- *Shift Differential and/or premium time requirements.*
- *Inspection requirements due to construction limitation of operations.*
- *Revision to labor classifications necessitated by the contract site conditions.*
- *Construction order revisions to the original construction contract.*
- *Escalated Burden, Fringe and Overhead costs based on audit results.*

Attached are copies of financial spreadsheets reflecting total costs billed to date. Also attached is the District’s Fee Proposal for the amended services. Based on this proposal, this supplement will increase the maximum limiting amount of the Agreement, including extra work, from \$ _____, to \$ _____.

Your approval of this request is highly recommended in order to enable continued reimbursement to the Consultant for authorized services provided.



Approved: _____ Date: _____
_____, District Engineer

/ Attachment(s)- *(the preparer of this memorandum should attach financial spreadsheets and fee estimate from the administering unit. See the negotiations office for appropriate format for the fee estimate.)*

cc: Lewis S. Cannon – James Connery
Gary Belina (please schedule a negotiations meeting)
(DE) _____ (ADE) _____ (SE) _____ – (PE) _____
FMS Manager _____ - FMS FAO _____ – FMS Accountant _____

EXHIBIT XV - CLOSEOUT CERTIFICATION

To:	Project Fiscal Management
From:	Your Name Here
#####	


Financial Certification Form


The work assigned under the following PO(s)/ContractID(s) has been completed and the below items have been verified.

PROJECT ID(S)	
VENDOR NAME:	
CONTRACT ID:	
PO ID(S)	

<input type="checkbox"/> Audit(s) Complete <input type="checkbox"/> Project Meets Audit Waiver Criteria → <input type="checkbox"/> PO(s) Reduced to Expenditures and Request to Close Submitted <input type="checkbox"/> Final Payment(s) Made and Processed in Core <input type="checkbox"/> Reimbursement(s) due State Billed/Received in Core <input type="checkbox"/> SSJ(s) Processed in Core <input type="checkbox"/> No DBE Issues Exist	<table border="1"> <tr> <th align="center" colspan="2">PAYMENT REVIEW</th> </tr> <tr> <td><input type="checkbox"/></td> <td>Payment's are within existing contract maximum's.</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Sampled vendor backup to verify support for amounts paid.</td> </tr> <tr> <td><input type="checkbox"/></td> <td>As a result of the review identified in the above steps, I believe vendor invoices support the amounts paid and are within existing contract authorizations.</td> </tr> <tr> <td colspan="2">Reviewer Certification</td> </tr> <tr> <td colspan="2">Date</td> </tr> </table>	PAYMENT REVIEW		<input type="checkbox"/>	Payment's are within existing contract maximum's.	<input type="checkbox"/>	Sampled vendor backup to verify support for amounts paid.	<input type="checkbox"/>	As a result of the review identified in the above steps, I believe vendor invoices support the amounts paid and are within existing contract authorizations.	Reviewer Certification		Date	
PAYMENT REVIEW													
<input type="checkbox"/>	Payment's are within existing contract maximum's.												
<input type="checkbox"/>	Sampled vendor backup to verify support for amounts paid.												
<input type="checkbox"/>	As a result of the review identified in the above steps, I believe vendor invoices support the amounts paid and are within existing contract authorizations.												
Reviewer Certification													
Date													

Additional Information:

Accountant Certification

Date