New York City Watershed Program
Information Bulletin No. 5
Process for Submitting Engineer Invoices

The following is intended to guide the WWTP Owner and the NYCDEP approved engineer or administrative consultant through the process of submitting engineering invoices to EFC as part of disbursement request cost documentation. Please refer to the following documents as you prepare for this process.

- Article 3 of the Upgrade Contract, "Payment Generally"
- Appendix A, Attachment A, Section 6 of the Upgrade Contract, "Engineering Invoice Format"
- Appendix C of the Upgrade Contract, "Payment Instructions and Forms"
- Procedures Manual for Preparing and Submitting Disbursement Requests
- Information Bulletin No. 3, and attached forms
- Information Bulletin No. 4

1. **Requesting Disbursement** - In accordance with Article 3 of the Upgrade Contract, eligible costs invoiced under a NYCDEP-approved engineering contract may be submitted by the WWTP Owner in a disbursement request to EFC. These costs must be submitted using the *Cost Summary Forms* found in Appendix C of the Upgrade Contract and must be itemized according to Planning, Design, and Construction Related Fees.

   Note: Please see the *Procedures Manual for Preparing and Submitting Disbursement Requests* for more detail on how to request disbursement. If you do not have a copy, please call 1 800-882-9721 and ask to speak to an Upgrade Program Watershed Administrative Representative.

2. **Engineer Invoices** - Within 45 days following disbursement of funds by EFC to the WWTP Owner, the Owner is required to provide EFC with eligible cost invoices and proof of payment of such invoices. NYCDEP-approved engineers may refer to the *Engineer Invoice Format* found in Appendix A, Attachment A, Section 6 of the Upgrade Contract, as a guide when preparing the initial invoices. In addition, engineers should be aware that invoices must contain the following information:

   a. the names of key personnel who are billing time on the current invoice,
   b. the titles of non-key personnel who are billing time on the current invoice,
   c. the number of hours currently billed for each individual and the major basic service task (i.e. 2.1, 2.2, 2.3, 2.4 and/or 2.5) that the hours are billed under (Regulatory Upgrade costs and SPDES Upgrade costs, if applicable, should be itemized separately),
   d. the rate charged for each individual (if multipliers are used, the calculations must be shown),
   e. a short description of the work performed,
   f. the date range for the billing period,

g. an itemization of current direct costs and subcontractor expenses (if applicable),
h. subcontractor invoices (if applicable).

3. **Key Personnel** - If key personnel other than those listed in the proposal/contract are to be used (e.g. substitution of NYCDEP approved key personnel), the engineer must submit qualifications to EFC for NYCDEP approval prior to the individual(s) beginning work.

4. **Eligible Work** - Please be aware that hours may be billed under major basic service tasks (2.1 2.2, 2.3, 2.4, and 2.5), only after NYCDEP has given authorization to proceed with the major basic service task.

5. **Budgets** - The Not-To-Exceed amounts for Planning, Design, and Construction Related Fees found on the *Engineering Project Budget Form* provided with Information Bulletin No. 3, may be reallocated between the three categories, only with prior NYCDEP approval. If a reallocation of these costs is necessary, please submit the *Task Budget Reallocation Form* to EFC for NYCDEP approval. (If you require a copy, please contact EFC.) Costs in excess of the current Not-To-Exceed amounts for the above three categories may not be submitted for disbursement until NYCDEP approval is received.

   If a reallocation between major tasks within the same category is needed (i.e. between tasks 2.2 and 2.3), prior NYCDEP approval is <u>not</u> necessary.

6. **Additional Services and Allotments** - If your *Engineer Project Budget Form* contains additional services or allotments, work under these tasks may commence only upon written authorization and approval from the Owner and NYCDEP. The same *Task Budget Reallocation Form* discussed above may be used to obtain NYCDEP approval. Please submit this form to EFC for NYCDEP approval. If approved by NYCDEP, the additional services and/or allotments will be added to the Not-To-Exceed total for the appropriate category (Planning, Design, or Construction related fees). An amended *Engineer Project Budget Form* will be provided with the allotment approval.

7. **Subcontractor Expenses** - The engineer may enter into an agreement with a subcontractor(s), once the subcontractor(s) is approved by NYCDEP. See Information Bulletin No. 4 for more detail on hiring subcontractors. Costs related to subcontractor work may be included in engineering invoices submitted as part of a disbursement request, only after NYCDEP approval is obtained and EFC has copies of the subcontract(s) and the *Affidavit of Insurance* form.

Please note that failure to comply with any of the above requirements may result in a reduction or disallowance of costs and an adjustment made to a subsequent disbursement.

If you require further assistance regarding the above, please call EFC at 1 800-882-9721 and ask to speak with a Watershed representative.

Disbursement requests should be mailed to:

NYS Environmental Facilities Corporation
625 Broadway, 7th Floor TAS
Albany, New York 12207-2997
Att: Lynne VanDenburgh