



# Local Agency Invoice Training



# Training Topics

- [Form Instructions](#)
- [Funding Source Documents](#)
- [Invoice Header](#)
- [Inactive Projects](#)
- [Fund Types and Phases of Work](#)
- [State Allocation Date](#)
- [Federal Appropriation Code](#)
- [Participating Cost \(E-76 Authorization Date\) From:](#)
- [Participating Cost To:](#)
- [Indirect Cost](#)
- [Direct Costs and Billing Summary](#)
- [First Consultant Contract Invoice](#)
- [First Construction Contract Invoice](#)
- [Reimbursement Ratio](#)
- [Cumulative Amount Paid On All Previous Invoices](#)
- [Less State Withheld Retention](#)
- [Signatures & Checklist](#)
- [Disputed Invoices](#)
- [References](#)

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 04/2019) 04/12/2019

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**SECTION 1: INVOICE**

Local Agency Name		Remittance Address			Tax ID	
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project <input type="checkbox"/>
Project Description						
Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input checked="" type="checkbox"/> PE <input checked="" type="checkbox"/> E&P <input checked="" type="checkbox"/> PS&E	<input type="checkbox"/> R/W <input type="checkbox"/> R/W Util <input type="checkbox"/> R/W Eng <input type="checkbox"/> R/W Acq	<input type="checkbox"/> CE <input type="checkbox"/> CON	<input checked="" type="checkbox"/> NI <input type="checkbox"/> FA
		Preliminary Engineering	Environmental Studies and Permits	Plans, Specifications & Estimates	Non-Infrastructure	Total
State Allocation Date						
Federal Appropriation Code						
Participating Cost (E-76 Auth. Date) From:						
Participating Cost		To:				
Total Indirect Cost to Date:						
Total Direct Cost to Date:						
Total Cost to Date:						
Less: Non-Participating Cost						
: Other						
: Other						
: Other						
Total Participating Cost to Date:						
Less: Participating Cost not Reimbursed (Local Funds)						
Total Participating Cost:						
State Reimbursement Ratio:						
Federal Reimbursement Ratio:						
Reimbursable Amount to Date:						
Less: Cumulative Amount Paid on All Previous Invoices						
Reimbursable Participating Costs:						
Less: State Withheld Retention						
: Amount Exceeding Authorized Fund						
: Other						
Amount of This Claim:						
<b>TOTAL INVOICE AMOUNT:</b>						
Refer to your Finance Letter						
Authorized Fund Amount						
Less: Cumulative Amount Paid on All Previous Invoices						
Funds Remaining Prior to this Claim						

**ADA Notice** For individuals with sensory disabilities, this document is available in alternate formats. For alternate format information, contact the Forms Management Unit at (916) 445-1233, TTY 711, or write to Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.



# Form Instructions

1. Instructions for every field with cautionary notes as needed for the topic.
2. Navigate back to the invoice by selecting “Back to Form.”
3. Any box you hover the cursor/pointer over, a yellow tag will pop-up.
4. NOTES:
  - ✓ LAPM 5-A does not require a letterhead.
  - ✓ You still need an executed Program Supplement Agreement, but you do not need to reference it on the invoice.
  - ✓ Can cut and paste text or numbers but not in gray boxes.
  - ✓ Cannot import data yet.
  - ✓ No electronic signatures yet. You must send the original signed invoice to your District Local Assistance Engineer.
  - ✓ Save an electronic copy of each submitted invoice.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
LAPM 5-A (REV 04/2019)

Instructions    Reset Form    Print Invoice

04/12/2019

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
LAPM 5-A (REV 04/2019)

Back to Form    Print Instructions

This Local Agency invoice is a dynamic invoice builder that will assist local agencies in preparing Federal and State invoices to submit to the Caltrans District Local Assistance Engineer (only one signed hard copy required). This Local Agency Invoice is the preferred format for efficient review and concurrence for payment. There are built in calculation formulas and error validations. Below are step-by-step instructions to build your invoice.

SECTION 1: INVOICE	
Field	Instructions
Local Agency Name	Enter your agency name.
Remittance Address	Enter your agency remittance address. <b>Note:</b> If Electronic Funds Transfer (EFT) payment is set up with Caltrans Local Program Accounting (LPA), use that address to avoid reimbursement delay. If there is a change of the remittance address, the local agency must notify LPA in writing.
Tax ID	Enter your agency tax identification number.
Date	Select the invoice date. <b>Note:</b> Invoices must have a current date. If an invoice is returned to the local agency for any reason, it must be re-dated when resubmitted to the District.
Caltrans District	Select the California Department of Transportation (Caltrans) District from the drop down list. <b>Note:</b> All invoices must be submitted to the appropriate Caltrans District (except Bicycle Transportation Account invoices). For a complete list of district addresses, visit <a href="http://www.dot.ca.gov/mail.htm#map">http://www.dot.ca.gov/mail.htm#map</a> .
Federal/State Project No.	Enter the project number assigned by the Caltrans District Local Assistance Engineer (DLAE). The number is a prefix-project number like CML-5006(089). <b>Note:</b> The Federal-Aid project number must match the number identified on the Authorization to Proceed (E-76) document and other project documents.



# Funding Source Documents

Funding source documents show the approved project funding information and the date those funds were eligible to be applied to reimbursable activities.

These source documents include:

1. E-76 Authorization/Agreement Summary
2. CTC Approved Allocation Letter
3. Finance Letter Signed by HQ
4. Previous Paid or Disputed Invoice

**AUTHORIZATION / AGREEMENT SUMMARY - (E-76)**

**FEDERAL AID PROGRAM**  
 TITLE: 03-SAC-0-SAC  
 PROJECT NO: 0314000217  
 STATE PROJECT NO: 0314000217  
 AGENCY: SACRAMENTO

**PROJECT LOCATION**  
 PROJECT LOCATION: APPROX 1/4 MILE FROM I-5 AND 24TH ST  
 TYPE OF WORK: ROADWAY  
 FEDERAL AID SOURCE: FEDERAL AID SOURCE: 231  
 FEDERAL AID TYPE: FEDERAL AID TYPE: 231

**PROJECT COSTS**

PHASE	FEDERAL COST	FEDERAL COST	AC COST
PREL DESIGN	\$0.00	\$0.00	\$0.00
DESIGN	\$0.00	\$0.00	\$0.00
CON	\$0.00	\$0.00	\$0.00
OTH	\$0.00	\$0.00	\$0.00
TOTAL	\$0.00	\$0.00	\$0.00

STATE OF CALIFORNIA - CALIFORNIA STATE TRANSPORTATION AGENCY

DEPARTMENT OF TRANSPORTATION  
 Division of Local Assistance  
 1120 N STREET  
 P.O. BOX 942074, MSB 1  
 Sacramento, CA 94274-0001  
 TTY 711

June 1, 2018

Mr. Hector Barron  
 Director of Public Works  
 City of Sacramento  
 915 I Street, Room 2000  
 Sacramento, CA 95814  
 Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

Your letter dated March 16, 2018 requested a fund allocation from the Active Transportation Program for the City of Sacramento Streetscape Project - Meadowview Road: From light rail station to I-5 and along 24th St from Meadowview Road to Florin Road. This project is programmed in the Active Transportation Program (ATP), as amended.

At their May 17, 2018 meeting, the California Transportation Commission (CTC) allocated funding in the amount(s) shown below.

The State hereby makes the following allocation on May 17, 2018, effective May 17, 2018.

Allocation No. : 2018-202	ATP		FUND ALLOCATION	
	Amount Programmed	Fiscal Year	Amount	This Request
Sanjour District No. : 06	\$174,000	2018	\$0	\$174,000
Assembly District No. : 09	\$250,000	2018	\$0	\$250,000
Federal Funds			\$0	\$0
State Funds			\$424,000	\$424,000
Total Amount			\$424,000	\$424,000

[Click on any document to see a larger image](#)

DEPARTMENT OF TRANSPORTATION  
 DIVISION OF ACCOUNTING  
 LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

Date: 06/11/2018 EA No:  
 D\_CO\_RT: 03-SAC-0-SAC  
 Project No: ATPSB1L-0002(173)  
 Adv Project Id: 0314000217

Attention: City of Sacramento

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL FUNDS L230	STATE SB-1 ATP /SB1A	LOCAL FUNDS
Agency Preliminary Engineering	Lump Sum	\$500,395.00	\$500,395.00	88.53%	\$443,000.00	\$0.00	\$57,395.00
Plans, Specifications & Estimates	Lump Sum	\$250,000.00	\$250,000.00	0.00%	\$0.00	\$250,000.00	\$0.00
Right of Way	Lump Sum	\$174,000.00	\$174,000.00	0.00%	\$0.00	\$174,000.00	\$0.00
Totals:		\$924,395.00	\$924,395.00	0.00%	\$443,000.00	\$424,000.00	\$57,395.00

Participation Ratio: 100.00%

This Finance Letter was created based on specific financial information provided by the responsible local agency. The following encumbrance history is prepared by Local Assistance Accounting Office and is provided here for local agency's information and action.

Signature: *Adam Ambrosini*  
 Title: HQ Sr. Area Engineer

For questions regarding finance letter, contact:  
 Printed Name : Adam Ambrosini  
 Telephone No: 916-653-3840

Remarks: **Seq #2:** At their May 16-17, 2018 meeting, CTC allocated \$250,000 of SB-1 (ATP Augmentation) SOF for PS&E and \$174,000 of SB-1 (ATP Augmentation) SOF for RW.

ACCOUNTING INFORMATION							ATPSB1L-0002(173)		Cooperative Work Agreement	
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	APPROVED AMOUNT	EXPIRATION DATE
0314000217	1410ZF	2030010600	F	\$424,000.00	1718	\$0.00	\$424,000.00	06/30/23		
0314000217	1410ZF	2030010610	F	\$443,000.00	1314	\$463,000.00	\$463,000.00	06/30/19		



# Invoice Header

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 04/2019) 04/12/2019

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**SECTION 1: INVOICE**

Local Agency Name		Remittance Address				Tax ID
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	<b>Inactive Project</b> <input type="checkbox"/>
	▼					<input type="checkbox"/>
Project Description						

1. Enter your agency name.
2. Enter your agency remittance address.
3. Enter your agency Tax Identification Number.
4. Select the invoice date.
5. Select your Caltrans District from the drop-down box.
6. Enter the project number assigned by the Caltrans District Local Assistance Engineer. For example: CML-5006(089).
7. Enter the Advantage project identification number found on the Finance Letter.
8. Enter the invoice number generated by your local agency accounting system.
9. Enter the billing number, it is a sequential number beginning with #1.
10. Check the inactive project check box if this project is on the current inactive list (see next slide to find and search the listing).
11. Project description must match the description identified on the E-76 document and other project documents.



# Inactive Projects

1. Agencies are required to invoice every six months. Agencies can submit one invoice per project per month.
2. If you have not invoiced in the last six months or more, check the Inactive Project List for inactivity: <https://dot.ca.gov/programs/local-assistance/projects/inactive-projects>. Look at both tabs in the spreadsheet.
3. If your project is listed as Inactive or Future Inactive, check the inactive project box on the invoice.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 04/2019) 04/12/2019

**SECTION 1: INVOICE**

Local Agency Name		Remittance Address			Tax ID	
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	<input type="checkbox"/> <b>Inactive Project</b>
Project Description						

CA .GOV CALTRANS DIVISION OF LOCAL ASSISTANCE Skip to: Content | Footer

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Transportation Permits | Encroachment Permits | Truck Services | Procurement & Contracts | Traffic Operations

Caltrans > Local Assistance > **Inactive Project Information**

### Inactive Project Information

Caltrans Division of Local Assistance, Office of Project Implementation-South, through District Local Assistance Engineer (DLAE), provides guidance and support to Local Agencies on a quarterly review with FHWA.

In response to FHWA's Guidance, the Department is going to manage "Inactive Projects" as follows:

1. If the Department does not receive an invoice for more than 6 months.
2. If the Department does not receive an invoice in the next 6 months, project will be considered inactive.
3. Project obligation could be removed by FHWA if local agency does not provide status update to DLAE immediately.
4. It is the Local Agencies responsibility to work in collaboration with DLAE to resolve inactive projects.

Inactive project listing is posted below and will be updated quarterly.

**Effective October 29, 2014 - FHWA Obligation Funds**

- **INACTIVE PROJECT LIST (Status Update)**
  - Updated On: **03/24/2017**
  - Invoice Submission Due to District: See Inactive Project List

Project No.	Status	Agency Action Required	State Project No.	Prefix	Dist
4403003	Inactive	Carry over project. Provide status update to DLAE immediately.	01924806L	ER	1
4400021	Inactive	Carry over project. Provide status update to DLAE immediately.	01924683L	ER	1
4400052	Inactive	Carry over project. Provide status update to DLAE immediately.	01924737L	ER	1
4400046	Inactive	Carry over project. Status update provided	01924731L	ER	1
5049025	Inactive	Invoice overdue. Contact DLAE.	0112000225L	RPSTPL	1
5021009	Inactive	Invoice under review by Caltrans. Monitor for progress.	01281324L	RPSTPL	1
5088025	Future	Final invoice under review by Caltrans. Monitor for progress.	0112000019L	SRTSL	1
5904024	Future	Invoice returned to agency. Resubmit to District by 05/19/2017	01279414L	BRLS	1
5914105	Future	Invoice returned to agency. Resubmit to District by 05/19/2017	0116000107L	BRLS	1



# Fund Types and Phases of Work

1. Refer to the signed Finance Letter to find federal and/or state fund types. Then check the box(es) for the appropriate fund types on the invoice.
2. Refer to the signed Finance Letter to find the authorized phases of work under the Finance Items column. Then check the box(es) for the appropriate authorized phases on the invoice.

SECTION 1: INVOICE						
Local Agency Name City of Sacramento			Remittance Address Engineering Services Division 915 I street, RM 1900 Sacramento, GA 59812			Tax ID 1354
Date 10/01/2018	Caltrans District D3 Marysville	Federal/State Project No. ATPSB1L-5002(173)	Advantage Project ID 0314000217	Invoice No. SAC_DOT_2	Billing No. 2	Inactive Project <input type="checkbox"/>
Project Description Streetscape Project on Meadowview Road: From light rail station to I-5 and along 24th St from Meadowview Road to Florin Road.						
Fund Type(s): <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State		Authorized Phase(s): <input type="checkbox"/> PE <input type="checkbox"/> R/W <input type="checkbox"/> CE <input type="checkbox"/> NI <input type="checkbox"/> E&P <input type="checkbox"/> R/W Util <input type="checkbox"/> CON <input type="checkbox"/> FA <input type="checkbox"/> PS&E <input type="checkbox"/> R/W Eng <input type="checkbox"/> R/W Acq				

DEPARTMENT OF TRANSPORTATION  
DIVISION OF ACCOUNTING  
LOCAL PROGRAM ACCOUNTING BRANCH

Attention: City of Sacramento

FINANCE LETTER

Date: 06/11/2018  
D\_CO\_RT: 03-SAC-0-SAC  
Project No: ATPSB1L-5002(173)  
Adv Project Id: 0314000217  
Agreement End Date: 12/30/2020

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL FUNDS	STATE SB-1 ATP	LOCAL FUNDS
					L230	/SB1A	
Agency Preliminary Engineering	Lump Sum	\$500,395.00	\$500,395.00	88.53%	\$443,000.00	\$0.00	\$57,395.00
Plans, Specifications & Estimates	Lump Sum	\$250,000.00	\$250,000.00	0.00%	\$0.00	\$250,000.00	\$0.00
Right of Way	Lump Sum	\$174,000.00	\$174,000.00	0.00%	\$0.00	\$174,000.00	\$0.00
Totals:		\$924,395.00	\$924,395.00	0.00%	\$443,000.00	\$424,000.00	\$57,395.00



# State Allocation Date

1. Refer to the California Transportation Commission Allocation Letter to find the state allocation date.
2. Transfer that date into the state allocation date field on the invoice for the specified phases of work.

Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input type="checkbox"/> PE <input type="checkbox"/> E&P <input checked="" type="checkbox"/> PS&E	<input checked="" type="checkbox"/> R/W <input type="checkbox"/> R/W Util	<input type="checkbox"/> CE <input type="checkbox"/> CON
		Plans, Specifications & Estimates	Right of Way		Total
Federal Appropriation Code					
Participating Cost (E-76 Auth. Date)	From:				
Participating Cost	To:				

DEPARTMENT OF TRANSPORTATION  
 Division of Local Assistance  
 1120 N STREET  
 P.O. BOX 942874, MS# 1  
 Sacramento, CA 94274-0001  
 TTY 711



June 1, 2018

03-SAC-0-SAC  
 ATPSB1L-5002(173)  
 Adv Id: 0314000217  
 PPNO: 03-1771  
 Request No:1

Mr. Hector Barron  
 Director of Public Works  
 City of Sacramento  
 915 I Street, Room 2000  
 Sacramento, CA 95814  
 Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

Your letter dated March 16, 2018 requested a fund allocation from the Active Transportation Program for the City of Sacramento Streetscape Project - Meadowview Road: From light rail station to I-5 and along 24th St from Meadowview Road to Florin Road. This project is programmed in the Active Transportation Program (ATP), as amended.

At their May 17, 2018 meeting, the California Transportation Commission (CTC) allocated funding in the amount(s) shown below.

The State hereby makes the following allocation on May 17, 2018, effective May 17, 2018.

Allocation No. 2018-202	ATP	FUND ALLOCATION			
Senate District No. : 06 Assembly District No. : 09		Amount Programmed	Fiscal Year Programmed	Amount Previously Allocated	This Request
ROW		\$174,000	2018	\$0	\$174,000
PS&E		\$250,000	2018	\$0	\$250,000
	Federal Funds				\$0
	State Funds				\$424,000
	<b>Total Amount</b>	<b>\$424,000</b>		<b>\$0</b>	<b>\$424,000</b>

This allocation makes available \$0 of federal funds\* and \$424,000 of State (or State-only) funds for a total of \$424,000.





# Federal Appropriation Code

1. Refer to the signed Finance Letter for the federal appropriation code for the corresponding phases of work.
2. Transfer that code into the federal appropriation code field on the invoice.

DEPARTMENT OF TRANSPORTATION  
DIVISION OF ACCOUNTING  
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER


Date: 06/11/2018  
D\_CO\_RT: 03-SAC-0-SAC  
Project No: ATPSB1L-5002(173)  
Adv Project Id: 0314000217  
Agreement End Date: 12/30/2020

Attention: City of Sacramento

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL FUNDS L230	STATE SB-1 ATP /SB1A	LOCAL FUNDS
Agency Preliminary Engineering	Lump Sum	\$500,395.00	\$500,395.00	88.53%	\$443,000.00	\$0.00	\$57,395.00
Plans, Specifications & Estimates	Lump Sum	\$250,000.00	\$250,000.00	0.00%	\$0.00	\$250,000.00	\$0.00
Right of Way	Lump Sum	\$174,000.00	\$174,000.00	0.00%	\$0.00	\$174,000.00	\$0.00
Totals:		\$924,395.00	\$924,395.00	0.00%	\$443,000.00	\$424,000.00	\$57,395.00

Participation Ratio: 100.00%

This Finance Letter was created based on specific financial information provided by the responsible local agency encumbrance history is prepared by Local Assistance Accounting Office and is provided here for local agency's i

Signature: 

Title: HQ Sr. Area Engineer

For questions regarding finance  
Printed Name : Adam Ambros  
Telephone No: 916-653-3840

Fund Type(s): <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s): <input checked="" type="checkbox"/> PE <input type="checkbox"/> E&P <input checked="" type="checkbox"/> PS&E <input checked="" type="checkbox"/> R/W <input type="checkbox"/> R/W Util <input type="checkbox"/> CE <input type="checkbox"/> CON <input type="checkbox"/> NI <input type="checkbox"/> FA																									
	<table border="1"> <thead> <tr> <th></th> <th>Preliminary Engineering</th> <th>Plans, Specifications &amp; Estimates</th> <th>Right of Way</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>State Allocation Date</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Federal Appropriation Code</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Participating Cost (E-76 Auth. Date) From:</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Participating Cost To:</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total	State Allocation Date					Federal Appropriation Code					Participating Cost (E-76 Auth. Date) From:					Participating Cost To:				
	Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total																						
State Allocation Date																										
Federal Appropriation Code																										
Participating Cost (E-76 Auth. Date) From:																										
Participating Cost To:																										



# Participating Cost (E-76 Authorization) From Date

1. Refer to the E-76 to find the Approved in FMIS date.
2. Transfer this date to the Participating Cost (E-76 Auth. Date) From field on the invoice.

CALIFORNIA DEPARTMENT

**AUTHORIZATION / AGREEMENT SUMMARY - (E-76)**

<b>FEDERAL AID PROGRAM</b>		PROJECT LOCATION:		PREV AUTH / AGREE DATES:	
DLA LOCATOR: 03-SAC-0-SAC	PROJECT PREFIX: STPL	SEE COMMENTS		PE:	
PROJECT NO: 5002(173)	SEQ NO: 1	TYPE OF WORK: STREETScape PROJECT		R/W:	
STATE PROJ NO: 0314000217L-N	AGENCY: SACRAMENTO	FED RR NO'S:		CON:	
ROUTE:		PUC CODES:		SPR:	
TIP DATA		PROJ OVERSIGHT: DELEGATED/LOCAL ADMIN		MCS:	
MPO: SACOG		ENV STATUS / DT:		OTH:	
FSTIP YR: 13/14		RW STATUS / DT:			
STIP REF:		INV RTE:			
DISASTER NO:		BEG MP:			
BRIDGE NO'S:		END MP:			

PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID
L230	10	15	P	SACRAMENTO	URBAN	

PHASE	PROJECT COST	FEDERAL COST	AC COST
PE	PREV. OBLIGATION	\$0.00	\$0.00
	THIS REQUEST	\$500,395.00	\$443,000.00
	SUBTOTAL	\$500,395.00	\$443,000.00
R/W	PREV. OBLIGATION	\$0.00	\$0.00
	THIS REQUEST	\$0.00	\$0.00
	SUBTOTAL	\$0.00	\$0.00
CON	PREV. OBLIGATION	\$0.00	\$0.00
	THIS REQUEST	\$0.00	\$0.00
	SUBTOTAL	\$0.00	\$0.00
<b>TOTAL:</b>		\$500,395.00	\$443,000.00

**STATE REMARKS**

04/11/2014 SEQ 1 authorizing PE via lump sum appropriation.

Final design shall not start until NEPA is approved.

04/11/2014 Project limits: Meadowview Rd from the light rail station to I-5 and along 24th St from Meadowview Rd to Florin Rd

**FEDERAL REMARKS**

AUTHORIZATION AUTHORIZATION	PREPARED IN FADS BY: BATATAN, FERDINAND REVIEWED IN FADS BY: YANG, ALBERT SUBMITTED IN FADS BY: VONGJESDA, SUNATE PROCESSED IN FADS BY: HUEY, SHUN APPROVED IN FMIS BY: TASIA PAPAJOHN
--------------------------------	--

	ON 04/01/2014 741-5704 ON 04/11/2014 651-0015 ON 04/12/2014 FOR CALTRAN ON 04/15/2014 FOR FHWA ON 04/15/2014
--	--

Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input checked="" type="checkbox"/> PE <input type="checkbox"/> E&P <input checked="" type="checkbox"/> PS&E	<input checked="" type="checkbox"/> R/W <input type="checkbox"/> R/W Util
State Allocation Date		Preliminary Engineering	Plans, Specifications & Estimates	Right of Way
Federal Appropriation Code				
Participating Cost (E-76 Auth. Date) From:				
Participating Cost To:				



# Participating Cost To Date

- Allocation Letter (State Funds)
  - Expenditures can be incurred until the dates noted on the allocation letter **OR**
  - Time Extensions for Expenditure
    - **Must be requested at CTC meetings prior to the deadline, if needed.**
- Finance Letter
  - Agreement End Date (Federal Funds)
    - **Can be adjusted at the next authorized phase or justification of changes to cost, scope and schedule.**
- Reversion Date (Both funds)
  - **A one-time extension request by Cooperative Work Agreement (CWA) for two years.**

June 1, 2018  
Page 2  
ATPSB1L-5002(173)

**Allocation Letter**

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For This Allocation :

Funds allocated for project E & P are available for expenditure until:	<b>Not Applicable.</b>
Funds allocated for project PS & E are available for expenditure until:	<b>June 30, 2020.</b>
Funds allocated for project RW are available for expenditure until:	<b>June 30, 2020.</b>

Funds allocated for construction -- Agency has 6 month(s) after the date of allocation to award a contract.

FINANCE LETTER

Date: 10/30/2018 EA

D\_CO\_RT: 03-SAC-0-SAC

Project No: ATPSB1L-5002(173)

Adv Project Id: 0314000217

Agreement End Date: 12/30/2020

ACCOUNTING INFORMATION				ATPSB1L-5002(173)		Cooperative Work Agreement	
ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	APPROVED AMOUNT	EXPIRATION DATE	
\$424,000.00	1718	\$0.00	\$424,000.00	06/30/23			
\$443,000.00	1314	\$443,000.00	\$0.00	06/30/19			



# Indirect Cost

- For invoices claiming local agency indirect costs, local agency indirect cost rates must be correct and accepted/authorized by the Independent Office of Audits and Investigations (IOAI).
- Go to the IOAI webpage: <http://ig.dot.ca.gov/resources>
- Click on ICAP/ICRP External Local Government Rates to see the list of accepted rates approved July 2014 through July 2019 (still in transition).

**Resources**

Architectural and Engineering Resources

[Indirect Cost Rate \(ICR\) Acceptance/Approval ID](#)  
Find your Indirect Cost Rate (ICR) Acceptance/Approval ID here.

[Interpretive Guidance](#)  
Find Interpretive Guidance for:

- Labor Costs
- Meals
- Prevailing Wage
- Uncompensated Overtime

[Accounting and Audit Guidelines for Contracts with Caltrans](#)  
Find Guidelines to Accounting and Audits with Caltrans

[Safe Harbor Rate Form](#)  
Download the Safe Harbor Rate Form (PDF)

Indirect Cost Rate Proposal / Indirect Cost Allocation Plan

[ICAP /ICRP External Local Government Rates](#)  
Find your ICAP / ICRP External Local Government Rate

[ICAP/ICRP Checklist](#)  
ICAP/ICRP Checklist for Local Government Agencies

[ICAP/ICRP Local External Government FIXED WITH CARRYFORWARD Submission Certification](#)  
Download the ICAP / ICRP Local External Government FIXED With Carryforward Submission Certification (PDF)

2018/2019	City of San Diego	Public Utilities	138.7	Indirect Cost Rate	Total direct salaries and wages	Fixed	Accepted 1/18/2018	P1590-0915
2018/2019	City of San Diego	Engineering & Capital Projects	77.5	Indirect Cost Rate	Total direct salaries and wages	Fixed	Accepted 1/18/2018	P1590-0915
2018/2019	City of San Diego	Transportation & Storm Water	74	Indirect Cost Rate	Total direct salaries and wages	Fixed	Accepted 1/18/2018	P1590-0915
2018/2019	City of San Diego	Public Works-Contracts	32.4	Indirect Cost Rate	Total direct salaries and wages	Fixed	Accepted 1/18/2018	P1590-0915
2018/2019	City of Santa Barbara	Engineering	90.03	Indirect Cost Rate	Total Direct Salaries and Wages plus Fringe Benefits	Fixed	Accepted 4/12/2019	P1590-1006
2018/2019	City of Santa Barbara	Engineering	42.54	Fringe Benefits	Total Direct Salaries and Wages	Fixed	Accepted 4/12/2019	P1590-1006
2018/2019	City of Turlock	Engineering Division		Indirect Cost Rate	Direct Salaries and Wages plus Fringe Benefits	Fixed	Accepted 12/21/2018	P1590-0966
2018/2019	City of Vacaville	Public Works Department, Engineering Services	125.85	Indirect Cost Rate	Salaries and Benefits	Provisional	Accepted 3/21/2019	P1590-0986
2018/2019	City of West Sacramento	Department of Public Works	115.77	Indirect Cost Rate	Total Direct Salaries and Wages plus Fringe Benefits	Fixed	Accepted 6/28/2018	P1590-0947

# Indirect Cost (continue)

- Enter the phase, year, charges, and the approved indirect cost rate.
- Transfer this total amount to the invoice by phase.

SECTION 2: INDIRECT COST CALCULATION						
Indirect Costs:						
Phase	FY	Office/Department	Direct Cost Base Expense	Approved Indirect Cost Rate	Subtotal	
PE	2013-14	Public Works	\$ 3,709.24	% 98.35	\$ 3,648.03	+ -
PE	2014-15	Public Works	\$ 26,863.39	% 98.38	\$ 26,428.20	+ -
PE	2015-16	Public Works	\$ 25,018.69	% 100.79	\$ 25,216.33	+ -
PE	2016-17	Public Works	\$ 11,342.90	% 116.27	\$ 13,188.38	+ -
Phase	PE	E&P	PS&E	R/W	CE	NI
Total Indirect Costs to Date	\$68,480.94	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input checked="" type="checkbox"/> PE <input type="checkbox"/> E&P <input checked="" type="checkbox"/> PS&E	<input checked="" type="checkbox"/> R/W <input type="checkbox"/> R/W Util	<input type="checkbox"/> CE <input type="checkbox"/> CON	<input type="checkbox"/> NI <input type="checkbox"/> FA
		Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total	
State Allocation Date						
Federal Appropriation Code						
Participating Cost (E-76 Auth. Date)	From:					
Participating Cost	To:					
Total Indirect Cost to Date:	\$	\$	\$	\$	\$ 0.00	
Total Direct Cost to Date:	\$	\$	\$	\$	\$ 0.00	
Total Cost to Date:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	



# Direct Costs and Billing Summary

## Total Direct Cost For Current Invoice Period Only.

- For the first PE Invoice it is 04/15/2014 (E-76) and any date after this date for subsequent invoices.
- For PS&E and Right of Way, you must start from the **Allocation Date May 17, 2018** and later.

SECTION 3: BILLING SUMMARY						
Federal/State Project No.		ATPSB1L-5002(173)				
<b>Preliminary Engineering</b>						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
	From	To				
Staff Time, Permits, Postage	04/15/2014	09/14/2018	N/A	\$47,982.04		\$47,982.04
Consultant (Environmental) Invoice	04/15/2014	09/14/2018	EE-102333	\$106,829.30		\$106,829.30
				\$154,811.34	\$0.00	\$154,811.34
<b>Plans, Specifications &amp; Estimates</b>						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
	From	To				
Staff Time	05/17/2018	09/14/2018	N/A	\$38,402.56		\$38,402.56
				\$38,402.56	\$0.00	\$38,402.56
<b>Right of Way</b>						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
	From	To				
Staff Time	05/17/2018	09/14/2018	N/A	\$16,466.29	\$0.00	\$16,466.29
				\$16,466.29	\$0.00	\$16,466.29

- Add the Total Direct Cost for each phase (gray box) from the previous invoice and add it to the total direct costs for that phase (if any) and transfer that amount to Page 1 of this invoice.



# First Consultant Contract Invoice

To process the first invoice covering claims from A&E consultant contracts, you must include Exhibits 10-C (10-01, 02 for Sub-contracting & DBE's with federal funds).

For contracts greater than \$150,000 an Exhibit 10-K must be received by IOAI.

SECTION 3: BILLING SUMMARY						
Federal/State Project No. <u>ATPSB1L-5002(173)</u>						
Preliminary Engineering						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
	From	To				
Staff Time, Permits, Postage	04/15/2014	09/14/2018	N/A	\$47,982.04		\$47,982.04
Consultant (Environmental) Invoice	04/15/2014	09/14/2018	EE-102333	\$106,829.30		\$106,829.30
				\$154,811.34	\$0.00	\$154,811.34

Local Assistance Procedures Manual

EXHIBIT 10-C

Consultant Contract Reviewers Checklist

## EXHIBIT 10-C A&E CONSULTANT CONTRACT REVIEWERS CHECKLIST

Date: 07/23/2018 Amendment:  / District: 3  
 Agency Name: City of Sacramento  
 Federal or State Project Number: 5002(173)  
 Local Agency Contract Number/Solicitation Number: 2015-0010  
 Consultant Name: Bennett Engineering Services, Inc.  
 Original Contract Period: Begin: 01/08/2015 End: 12/31/2017  
 Original Contract Dollar Amount: \$ 482,620 Funding: Federal

No.	DESCRIPTION
A.	PROCUREMENT PLANNING
1	Description of need for consultant: <u>The consultant has the staff expertise and availability to provide engineering services, including environmental documentation, public outreach, utility coordination, and final design.</u>



# First Construction Contract Invoice

- Before the first **state funded** construction contract invoice can be paid we must receive:
  - ✓ Local Agency Contract Award Checklist (LAPG Exhibit 22-A) shown here.
  - ✓ Contractors Pay Estimate .
- Before the first **federal funded** construction contract invoice can be paid we must receive the complete award package:
  - Local Agency Contract Award Checklist (LAPM Exhibit 15-L) shown here.

Local Assistance Program Guidelines EXHIBIT 22-A  
 Request for Funding Allocation (Local ATP Projects)  
**EXHIBIT 22-A AWARD INFORMATION FOR ATP PROJECTS**

Date: \_\_\_\_\_

To: \_\_\_\_\_  
 District Local Assistance Engineer  
 Caltrans, Division of Local Assistance

PPNO: \_\_\_\_\_

Project ID: \_\_\_\_\_

Project No.: \_\_\_\_\_

Project Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date Project was Allocated: \_\_\_\_\_

Date Project was Advertised: \_\_\_\_\_

Award Date: \_\_\_\_\_

Award Amount: \_\_\_\_\_

(ATP Portion only, if different from above)

Estimated Date of Completion: \_\_\_\_\_

Name of Contractor: \_\_\_\_\_

Exhibit 15-L  
 Local Agency Contract Award Checklist

**AWARD CHECKLIST**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ (Administering Agency)  
 KIMBERLY LN  
 (or post miles limits)

Federal funds included for: yes  no

ATTACHED

yes  no

ATTACHED

yes  no

included in the low bidder's: yes  no  n/a

ATTACHED

low bidders' proposal? yes  no

yes  no

yes  no

9/19,300

yes  no

11/28/2016

12/06/2016

12/3/2016

879,428.00

ATTACHED

ATTACHED

bit 15-B)..... yes  no

9/30/2016

Estimated construction completion date: \_\_\_\_\_

NOTE: If the answer is "no" to any of the above questions, a letter of explanation is required. The DLAE shall review the explanation and determine if the local agency is eligible for federal funds.

Reviewed by: \_\_\_\_\_  
 (Signature of Administered Agency Representative)  
 MARC A. MATTOX  
 (Name printed or typed)

Title: PUBLIC WORKS DIRECTOR / TOWN ENGINEER

Date: 12/12/2016

Phone Number: (530) 872-6291 X 125

\* If the date listed is more than 10-calendar days before bid opening, local agency must provide documentation that web site was subsequently checked within the 10-calendar day period or after bid opening, and there were no changes in the applicable federal wage rates, otherwise an addendum may be required.

Distribution: 1) Original plus one copy - DLAE  
 2) Copy - Local Agency Project files

Page 1 of 1  
 August 2016

[Click on the images to go to internet file](#)



# Billing Summary (Contractor Pay Estimate)

The Billing Summary does not have to be a line by line duplicate of the Contractors Pay Estimate, it can be the amount you paid the contractor.

## NOTES:

- Ensure you review the Allocation expenditure, AED, Reversion, and CWA dates as they apply.
- Transferring funds to another phase does not reset the reversion, CWA or expenditure date.

THIS ESTIMATE			TOTAL TO DATE		
Quantity	Unit	Total Amount	Quantity	Unit	Total Amount
0.75	LS	\$ 54,000.00	0.75	LS	\$ 54,000.00
		\$ 154,351.46			\$ 154,351.46
		\$ -			\$ -
		\$ -			\$ -
		\$ -			\$ -
		\$ -			\$ -
		\$ -			\$ -
<b>CONTRACT CHANGE ORDERS</b>					
		\$ 154,351.46			\$ 154,351.46
		\$ -			\$ -
		\$ 154,351.46			\$ 154,351.46
<b>ADJUSTMENTS</b>					
		\$ (5,017.57)			\$ (5,017.57)
		\$ -			\$ -
		\$ (5,017.57)			\$ (5,017.57)
<b>NET PAYMENT TO CONTRACTOR</b>					
		This Estimate \$ 149,333.89			Total to Date \$ 149,333.89
<b>AUTHORIZED PAYMENT THIS ESTIMATE TO CONTRACTOR \$ 149,333.89</b>					

Construction (Note: submit contractor pay estimate)						
Description (e.g., Contractor, Force Account, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
	From	To				
contractor payment	09/03/2018	11/30/2018	CIP-12.03	\$149,333.89		\$149,333.89
				\$149,333.89	\$0.00	\$149,333.89



# Reimbursement Ratios

1. Refer to the current signed Finance Letter to find the reimbursement ratios.
2. Transfer the reimbursement ratios to the Reimbursement Ratio field on the invoice by phase.

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL FUNDS	STATE SB-1 ATP	LOCAL FUNDS
					L230	/SB1A	
Agency Preliminary Engineering	Lump Sum	\$500,395.00	\$500,395.00	<b>88.53%</b>	\$443,000.00	\$0.00	\$57,395.00
Plans, Specifications & Estimates	Lump Sum	\$250,000.00	\$250,000.00	0.00%	\$0.00	\$250,000.00	\$0.00
Right of Way	Lump Sum	\$174,000.00	\$174,000.00	0.00%	\$0.00	\$174,000.00	\$0.00
Totals:		\$924,395.00	\$924,395.00	0.00%	\$443,000.00	\$424,000.00	\$57,395.00

Note: The Finance Letter will 0.00% for state funds. To calculate the state reimbursement ratio, divide the allocated state funds by the participating costs.

Total Participating Cost:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
State Reimbursement Ratio:				
Federal Reimbursement Ratio:				
Reimbursable Amount to Date:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Less: Cumulative Amount Paid on All Previous Invoices	\$	\$	\$	\$ 0.00
Reimbursable Participating Costs:	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00



# Cumulative Amount Paid on All Previous Invoices

Direct Cost to Date (Previous Invoice prior to reimbursement rate):

\$229,026.94

Direct Cost To Date (Billing Summary):

+\$209,680.19

Equals Current Direct Cost to Date =

\$438,707.13

Direct Cost to Date(Previous Invoice \$229,026.94 after reimbursement rate):

$$\begin{aligned} & \times \underline{0.8853} \\ & = \$202,757.55 \end{aligned}$$

(this amount is also displayed on the table below the invoice if you've been using this form over several invoices)

	Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total
State Allocation Date		05/17/18	05/17/18	
Federal Appropriation Code	L230	N/A	N/A	
Participating Cost (E-76 Auth. Date) From:	04/15/14			
Participating Cost To:	09/14/18	09/14/18	09/14/18	
Total Indirect Cost to Date:	\$ 68,480.94	\$ 0.00	\$ 0.00	\$ 68,480.94
Total Direct Cost to Date:	\$ 438,707.13	\$ 38,402.56	\$ 16,466.29	\$ 493,575.98
Total Cost to Date:	\$ 507,188.07	\$ 38,402.56	\$ 16,466.29	\$ 562,056.92
Less: Non-Participating Cost	\$ 18,310.15	\$	\$	\$ 18,310.15
: Other Retention (consultant) 10%	\$ 10,683.00	\$	\$	\$ 10,683.00
: Other Liquidated Damages	\$ 4,500.00	\$	\$	\$ 4,500.00
: Other Something else happened	\$ 0.00	\$	\$	\$ 0.00
Total Participating Cost to Date:	\$ 473,694.92	\$ 38,402.56	\$ 16,466.29	\$ 528,563.77
Less: Participating Cost not Reimbursed (Local Funds)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Total Participating Cost:	\$ 473,694.92	\$ 38,402.56	\$ 16,466.29	\$ 528,563.77
State Reimbursement Ratio:		100%	100%	
Federal Reimbursement Ratio:	88.53%			
Reimbursable Amount to Date:	\$ 419,362.11	\$ 38,402.56	\$ 16,466.29	\$ 474,230.96
Less: Cumulative Amount Paid on All Previous Invoices	\$ 202,757.55	\$ 0.00	\$ 0.00	\$ 202,757.55
Reimbursable Participating Costs:	\$ 216,604.56	\$ 38,402.56	\$ 16,466.29	\$ 271,473.41
Less: State Withheld Retention	\$ 40,000.00	\$	\$	\$ 40,000.00
: Amount Exceeding Authorized Fund	\$	\$	\$	\$ 0.00
: Other	\$	\$	\$	\$ 0.00
Amount of This Claim:	\$ 176,604.56	\$ 38,402.56	\$ 16,466.29	\$ 231,473.41
<b>TOTAL INVOICE AMOUNT:</b>				\$ 231,473.41
Refer to your <b>Finance Letter</b>				
Authorized Fund Amount	\$ 443,000.00	\$ 250,000.00	\$ 174,000.00	\$ 867,000.00
Less: Cumulative Amount Paid on All Previous Invoices	\$ 202,757.55	\$ 0.00	\$ 0.00	\$ 202,757.55
Funds Remaining Prior to this Claim	\$ 240,242.45	\$ 250,000.00	\$ 174,000.00	\$ 664,242.45



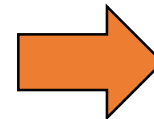


# Less State Withheld Retention

Per Master Agreement with the State:

*“STATE will withhold the greater of either two (2) percent of the total of all federal/state funds encumbered for each PROGRAM SUPPLEMENT or \$40,000 until ADMINISTERING AGENCY submits the Final Report of Expenditures for each completed PROGRAM SUPPLEMENT PROJECT”.*

Retention is held to ensure local agencies continue to complete the project and invoicing process. The \$40,000 shown is a portion of PE funds billed, and will be released after authorized with more federal funds, or the project is completed and the Final Report of Expenditures is received.



		Preliminary Engineering	+ -
State Allocation Date			
Federal Appropriation Code		L230	
Participating Cost (E-76 Auth. Date)	From:	04/15/14	
Participating Cost	To:	09/14/18	
Total Indirect Cost to Date:		\$ 68,480.94	
Total Direct Cost to Date:		\$ 438,707.13	
Total Cost to Date:		\$ 507,188.07	
Less: <b>Non-Participating Cost</b>		\$ 18,310.15	
: <b>Other</b> Retention (consultant) 10%		\$ 10,683.00	
: <b>Other</b> Liquidated Damages		\$ 4,500.00	
: <b>Other</b> Something else happened		\$ 0.00	
Total Participating Cost to Date:		\$ 473,694.92	
Less: <b>Participating Cost not Reimbursed (Local Funds)</b>		\$ 0.00	
Total Participating Cost:		\$ 473,694.92	
State Reimbursement Ratio:			
Federal Reimbursement Ratio:		88.53%	
Reimbursable Amount to Date:		\$ 419,362.11	
Less: <b>Cumulative Amount Paid on All Previous Invoices</b>		\$	
Reimbursable Participating Costs:		\$ 419,362.11	
Less: <b>State Withheld Retention</b>		\$ 40,000.00	
: <b>Amount Exceeding Authorized Fund</b>		\$	
: <b>Other</b>		\$	
Amount of This Claim:		\$ 379,362.11	
<b>TOTAL INVOICE AMOUNT:</b>			



# Signatures & Checklist

1. Review and confirm checklist items.
2. Sign and date checklist.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 04/2019)

---

**SECTION 4: CHECKLIST**

Local Agency Name: \_\_\_\_\_  
 Billing No: \_\_\_\_\_ Federal / State Project No: \_\_\_\_\_

	Frequency	Local Agency		Caltrans
		Confirm	N/A	Concur
1 Executed Program Supplement Agreement (PSA) on file with Local Agency.	All Invoices	<input type="checkbox"/>	N/A	<input type="checkbox"/>
2 Submittal of one signed and completed Local Agency Invoice (LAPM 5-A) which includes Section 1: Invoice, Section 2: Indirect Cost Calculation, Section 3: Billing Summary (submit contractor pay estimate for construction invoices), and Section 4: Checklist.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
3 Reimbursable work claimed is after E-76 (Federal Authorization to Proceed) date and/or California Transportation Commission (CTC) State Allocation date.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
4 Work performed is prior to any lapsing / expiring funds. <ul style="list-style-type: none"> <li>Check E-76 Reversion Date (Federal)</li> <li>Verify Cooperative Work Agreement Approval (Federal / State)</li> <li>CTC State Allocation Letter Fund Expiration Deadline (State)</li> </ul>	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
5 Invoice is consistent with current approved Finance Letter. <ul style="list-style-type: none"> <li>Phases of Work</li> <li>Fund Types (e.g., CMAQ, RSTP, etc.)</li> <li>Reimbursement Ratios</li> <li>Available Balance of Federal / State Funds</li> <li>Costs incurred prior to authorized Agreement End Date (AED)</li> </ul>	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
6 Invoiced amount shall be greater than 2% of the total Federal and/or State funds or \$1,000, whichever is greater, unless authorized by District Local Assistance Engineer (DLAE) to prevent inactivity.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
7 Percentage of work complete is consistent with total Federal / State funds invoiced (i.e., project should not be 80% expended if only 20% complete).	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
8 Remaining balance should not be less than Caltrans required retention (\$40,000 or 2% of the Federal / State funds, whichever is greater).	All Invoices prior to Final Invoice	<input type="checkbox"/>		<input type="checkbox"/>
9A All consultant agreements / amendments must follow the Caltrans procurement and oversight processes outlined in Local Assistance Procedures Manual Chapter 10. The following Exhibits must be sent to and received by the appropriate entities <u>prior to invoicing</u> : <ul style="list-style-type: none"> <li>Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight</li> <li>Submit Exhibits 10-O1 and 10-O2 to DLAE</li> <li>Submit Exhibit 10-K to Independent Office of Audits and Investigations</li> </ul>	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	All First Consultant Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	First Federal Consultant Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	All Consultant Contracts > \$150K	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9B <ul style="list-style-type: none"> <li>Submit copy of executed contract to the DLAE within 30 days of contract award or concurrently with first invoice, whichever is earlier.</li> <li>For on-call contracts, submit copy of issued task order and Exhibit 10-O2 for the task order.</li> </ul>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 Verification of Project Award: Attach LAPM Exhibit 15-L (Federal projects) or LAPG Exhibit 22-A (State projects) with First Construction Invoice.	First Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11 Submit contractor pay estimate with Billing Summary.	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature of Local Agency Representative	Date	Print Name and Title
Signature of Caltrans District Reviewer	Date	Print Name/Title/Phone Number

Comments



# Disputed Invoices

1. Agencies will receive a Dispute Notification Letter if the invoice contains errors.
2. When re-submitting the corrected invoice to the District, re-date and re-number the amended invoice (if it was #1, it is now 1A).

## Local Agency Invoice Dispute Notification Letter

Local Agency: Sacramento  
Attention: Hector Barron  
Address: 915 I Street, Room 2000

City, State, Zip: Sacramento, CA 95814

Date: 10/31/18  
Dist - Co - Rte: 03-5924-0-SAC  
Project Number: 5002(173)  
Invoice Number: 13  
Invoice Amount: \$40,000.00

- Local Agency / State Agreement not executed
- Incorrect Invoice Format / Content [see Chapter 5 Accounting / Invoices" of the Local Assistance Procedures Manual (LAPM)]."
- Invoice reflects component(s) / phase(s) of work not allocated / authorized and / or cost(s) that is / are ineligible for reimbursement.
- Insufficient Funds
- Missing or inadequate Invoice Support Documentation
- Contract Award Package required for construction phase of work
- Final Invoice, Final Inspection Form and Final Report of Expenditures must be submitted and approved prior to payment
- Redate invoice upon resubmittal of Invoice Package (1 original & 2 copies of Invoice and 2 copies of Invoice Support Documentation)
- Reimbursement Ratios Incorrect
- Lapsed Appropriation



# References

## LAPM 5-A Local Agency Invoice:

- <https://forms.dot.ca.gov/v2Forms/servlet/FormRenderer?frmId=LAPM5A>

## Caltrans/Local Assistance Procedures Manual, Chapter 5: Invoicing

- <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>

## Caltrans/Local Assistance Forms:

- <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

## Independent Office of Audits and Investigations

- <http://ig.dot.ca.gov/resources>



# Questions & Answers





Thank You for  
Attending  
Local Agency  
Invoice Training

DEPARTMENT OF TRANSPORTATION  
 Division of Local Assistance  
 1120 N STREET  
 P.O. BOX 942874, MS# 1  
 Sacramento, CA 94274-0001  
 TTY 711



June 1, 2018

03-SAC-0-SAC  
 ATPSB1L-5002(173)  
 Adv Id: 0314000217  
 PPNO: 03-1771  
 Request No:1

Mr. Hector Barron  
 Director of Public Works  
 City of Sacramento  
 915 I Street, Room 2000  
 Sacramento, CA 95814  
 Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

Your letter dated March 16, 2018 requested a fund allocation from the Active Transportation Program for the City of Sacramento Streetscape Project - Meadowview Road: From light rail station to I-5 and along 24th St from Meadowview Road to Florin Road. This project is programmed in the Active Transportation Program (ATP), as amended.

At their May 17, 2018 meeting, the California Transportation Commission (CTC) allocated funding in the amount(s) shown below.

The State hereby makes the following allocation on May 17, 2018, effective May 17, 2018.

Allocation No. 2018-202 Senate District No. : 08 Assembly District No. : 09	ATP		FUND ALLOCATION	
	Amount Programmed	Fiscal Year Programmed	Amount Previously Allocated	This Request
RCW	\$174,000	2018	\$0	\$174,000
PS&E	\$250,000	2018	\$0	\$250,000
Federal Funds				\$0
State Funds				\$424,000
<b>Total Amount</b>	<b>\$424,000</b>		<b>\$0</b>	<b>\$424,000</b>

This allocation makes available \$0 of federal funds\* and \$424,000 of State (or State-only) funds for a total of \$424,000.

\* A separate request for authorization to proceed (E-76) is required prior to the start of reimbursable work for projects receiving Federal funds.

The effective date of allocation serves as the authorization to proceed and establishes the date for the start of reimbursable work for State-only funded projects.

CTC Allocation Letter (Page 1)

[Click on the image to go to Page 2](#)

For This Allocation :

Funds allocated for project E & P are available for expenditure until:	<b>Not Applicable.</b>
Funds allocated for project PS & E are available for expenditure until:	<b>June 30, 2020.</b>
Funds allocated for project RW are available for expenditure until:	<b>June 30, 2020.</b>
Funds allocated for construction -- Agency has 6 month(s) after the date of allocation to award a contract.	
After award of the contract, the Agency has up to 36 months to complete the construction or vehicle purchase contract.	

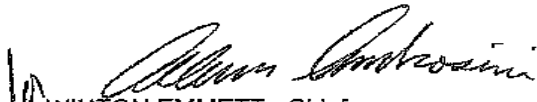
The Commission may grant a one-time extension of up to 20 months to each of the deadlines specified above, if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Please refer to the Local Assistance website at [www.dot.ca.gov/hq/LocalPrograms/](http://www.dot.ca.gov/hq/LocalPrograms/) for additional guidance.

The project's award information should be submitted to the District Local Assistance Engineer (DLAE) immediately after award of the construction contract. A copy of the project's award package also needs to be included with the submittal of the Administering Agency's first invoice to the Local Programs Accounting Branch. Please refer to Local Programs Procedures (LPP) LPP 01-06 for guidance regarding the contents of the project award package.

This allocation is not a commitment on the part of the State to make reimbursements until an Administering Agency - State Agreement (Master Agreement), if necessary, and a project specific program supplement are executed between the Agency and the State.

Your attention is directed to the Local Assistance Procedures Manual, LPPs and the current CTC guidelines for detailed instructions and information.

Sincerely,

  
WINTON EMMETT , Chief  
Office of Project Implementation - North  
Division of Local Assistance

CTC Allocation Letter (Page 2)

[Click on the image to return to slideshow](#)

AUTHORIZATION / AGREEMENT SUMMARY - (E-76)

CALIFORNIA DEPARTMENT OF TRANSPORTATION

FEDERAL AID PROGRAM

DLA LOCATOR: 03-SAC-0-SAC  
 PREFIX: STPL  
 PROJECT NO: 5002(173)  
 SEQ NO: 1  
 STATE PROJ NO: 0314000217L-N  
 AGENCY: SACRAMENTO  
 ROUTE:  
 TIP DATA  
 MPO: SACOG  
 FSTIP YR: 13/14  
 STIP REF:  
 DISASTER NO:  
 BRIDGE NO'S:

PROJECT LOCATION:  
 SEE COMMENTS  
 TYPE OF WORK:  
 STREETScape PROJECT  
 FED RR NO'S:  
 PUC CODES:  
 PROJ OVERSIGHT: DELEGATED/LOCAL ADMIN  
 ENV STATUS / DT:  
 RW STATUS / DT:  
 INV RTE:  
 BEG MP:  
 END MP:

PREV AUTH / AGREE DATES:

PE:  
 R/W:  
 CON:  
 SPR:  
 MCS:  
 OTH:

PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID
L230	10	15	P	SACRAMENTO	URBAN	

FUNDING SUMMARY

PHASE		PROJECT COST	FEDERAL COST	AC COST
PE	PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	THIS REQUEST	\$500,395.00	\$443,000.00	\$0.00
	SUBTOTAL	\$500,395.00	\$443,000.00	\$0.00
RW	PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	THIS REQUEST	\$0.00	\$0.00	\$0.00
	SUBTOTAL	\$0.00	\$0.00	\$0.00
CON	PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	THIS REQUEST	\$0.00	\$0.00	\$0.00
	SUBTOTAL	\$0.00	\$0.00	\$0.00
TOTAL:		\$500,395.00	\$443,000.00	\$0.00

STATE REMARKS

04/11/2014 SEQ 1 authorizing PE via lump sum appropriation.

Final design shall not start until NEPA is approved.

04/11/2014 Project limits: Meadowview Rd from the light rail station to I-5 and along 24th St from Meadowview Rd to Florin Rd

FEDERAL REMARKS

AUTHORIZATION

AUTHORIZATION TO PROCEED WITH REQUEST: PRE  
 FOR: PE  
 DOCUMENT TYPE: AAGR

PREPARED IN FADS BY: BATATAN, FERDINAND  
 REVIEWED IN FADS BY: YANG, ALBERT  
 SUBMITTED IN FADS BY: VONGJESDA, SUNATE  
 PROCESSED IN FADS BY: HUEY, SHUN  
 APPROVED IN FMIS BY: TASIA PAPAJOHN

ON 04/01/2014 741-5704  
 ON 04/11/2014 651-0015  
 ON 04/12/2014 FOR CALTRANS  
 ON 04/15/2014 FOR FHWA  
 ON 04/15/2014

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DEPARTMENT OF TRANSPORTATION  
 DIVISION OF ACCOUNTING  
 LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

Date: 06/11/2018 EA No:  
 D\_CO\_RT: 03-SAC-0-SAC  
 Project No: ATPSB1L-5002(173)  
 Adv Project Id: 0314000217  
 Agreement End Date:

Attention: City of Sacramento

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL FUNDS	STATE SB-1 ATP	LOCAL FUNDS
					L230	/SB1A	
Agency Preliminary Engineering	Lump Sum	\$500,395.00	\$500,395.00	88.53%	\$443,000.00	\$0.00	\$57,395.00
Plans, Specifications & Estimates	Lump Sum	\$250,000.00	\$250,000.00	0.00%	\$0.00	\$250,000.00	\$0.00
Right of Way	Lump Sum	\$174,000.00	\$174,000.00	0.00%	\$0.00	\$174,000.00	\$0.00
Totals:		\$924,395.00	\$924,395.00	0.00%	\$443,000.00	\$424,000.00	\$57,395.00

Participation Ratio: 100.00%

This Finance Letter was created based on specific financial information provided by the responsible local agency. The following encumbrance history is prepared by Local Assistance Accounting Office and is provided here for local agency's information and action.

Signature:   
 Title: HQ Sr. Area Engineer

For questions regarding finance letter, contact:  
 Printed Name : Adam Ambrosini  
 Telephone No: 916-653-3840

Remarks: Seq #2: At their May 16-17, 2018 meeting, CTC allocated \$250,000 of SB-1 (ATP Augmentation) SOF for PS&E and \$174,000 of SB-1 (ATP Augmentation) SOF for R/W.

ACCOUNTING INFORMATION									ATPSB1L-5002(173)		Cooperative Work Agreement	
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	APPROVED AMOUNT	EXPIRATION DATE		
0314000217	18108	2630720100		\$424,000.00	1718	\$0.00	\$424,000.00	06/30/23				
0314000217	14102F	2630010810	F	\$443,000.00	1314	\$403,000.00	\$40,000.00	06/30/19				

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## **\*\*DON'T LOSE YOUR FEDERAL MONEY\*\***

### Top FIVE LOCAL AGENCY ISSUES

1. **Improper Procurement Practices**- Failure to follow required consultant contract procurement process per federal regulations and outlined in Caltrans Local Assistance Procedures Manual. Significant violations include:
  - Missing key documents in project procurement file, i.e. proof of advertising, all score sheets, profit negotiations, cost estimates etc.
  - Selection criteria's weighted values are not included in the RFPs/RFQs.
  - Selection of consultant was not based on the RFP/RFQ stated selection criteria and stated selection criteria's weighted values.
  - A detailed Independent cost estimate was not prepared before proposals are received.
  - Profit was not negotiated as a separate cost item.
2. **Contract Administration for Consultant's Services Contracts**- Failure to maintain contract administration systems and proper management to ensure consultants perform in accordance with the terms and conditions of contracts. Significant violations include:
  - Amending an expired contract.
  - Making significant changes to the original scope of a contract.
  - Charging rates not consistent with the contract cost proposal.
  - Making changes in key personnel without prior approval.
  - Adding classifications or personnel without prior approval.
  - Method of payment is inconsistent with method of payment stated in the RFP and the signed contract.
3. **Contract Administration for Construction Contracts** – Failure to maintain a contract administration system to ensure payments to contractors are supported by project records. Significant violations include:
  - Line Item quantities are not supported by project records
  - Construction Change Orders (CCO) are not supported by independent cost estimates, were not properly approved and/or costs claimed are not properly documented.
  - CCO's work is not within the scope of the original contract, i.e. Contractor caused damage and repair.
4. **Conflict of Interest**- Agency employees and consultants potentially violate conflict of interest laws and regulations by making decisions for which the Agency employee, or consultant acting on behalf of the Agency, could benefit financially.
5. **Improper Charge of Indirect Costs**- You are in violation when you charge indirect costs without an approved Indirect Cost Rate from Caltrans Audits & Investigations. This includes any indirect cost charged by the Agency, or Division/Department etc. of the Agency. This also includes any Cognizant approved rates received by the Agency from someone other than Caltrans Audits & Investigations.

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**Note: Caltrans Division of Local Assistance (DLA) reminds you to avoid these common mistakes that have resulted in the loss of federal funds by local agencies.**