

EXHIBIT 5-J LOCAL AGENCY INVOICE REVIEW CHECKLIST

District / Local Agency: _____ **Invoice No.** _____

Federal / State Project Number: _____ **NI Project:** YES NO

Local Project Number: _____

Project Description: _____

SECTION 1 – CHECKLIST ITEMS TO BE COMPLETED BY LOCAL AGENCY WITH / CONCURRENCE BY CALTRANS

	Check applicable box for each item	Frequency	Local Agency		Caltrans
			Confirm	N/A	Concur
1	Verify project funding agreement (e.g., program supplement agreement) has been executed by Caltrans, <u>and</u> Local Agency has received copy of executed agreement.	First Invoice for Phase of Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Local Agency Invoice Package format, content and support documentation are consistent with Chapter 5 "Invoicing" of Local Assistance Procedures Manual (LAPM) or with program-specific guidelines (e.g. BTA,EEM, Exchange/Match, FSP, and PPM)	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	CTC Allocation (or SB184/LONP letter) and/or Federal Authorization to Proceed (E-76) date prior to beginning reimbursable work and advertising construction contract.	First Invoice for Phase of Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Work performed and costs invoiced are consistent with approved project scope/limits of CTC Allocation and/or E-76.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Phase(s) of work/fund types and amounts/reimbursement rates are consistent with state approved project Finance Letter.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	Cost incurred prior to authorized Period of Performance End Date (PPED)	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	Work performed in accordance with STIP or ATP Timely Use of Funds deadlines, Invoice Package submitted to Caltrans in time (April 1 of fund reversion year) to comply with Department of Finance fund reversion/Cooperative Work Agreement deadlines.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 10.				
	<ul style="list-style-type: none"> • Submit Exhibits 10-C, 10-O1 and 10-O2 to DLAE. • Submit Exhibit 10-K (for contracts > \$150,000) to Caltrans A&I • Submit copy of executed contract to the DLAE within 30 days of contract award or concurrently with first invoice, whichever is earlier. • For on-call contracts, submit copy of issued task order and Exhibit 10-O2 for the task order. 	First Federally Funded Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Frequency	Local Agency		Caltrans
		Confirm	N/A	Concur
9 Construction Contract Award Package (see LAPM Chapter 15 or program-specific guidelines) forwarded to DLAE within 60 days of award or concurrent with first construction invoice, whichever is earlier.	First Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 Construction Contract Change Orders (federal/state/ program eligible, DLAE reviewed and concurred)	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11 Level of work completed consistent with total federal/state funds invoiced. ²	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12 Invoiced amount shall be greater than two percent (2%) of the total federal and/or state funds or \$1,000, whichever amount is greater, unless authorized by DLAE (e.g., to prevent loss of federal funds).	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13 Total invoiced funds do not exceed amounts allocated/authorized by the CTC and/or E-76 (less retention amount ³)	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14 Submittal of Local Agency Invoice, signed Local Agency Invoice Review Checklist, and Billing Summary ⁴ with appropriate documentation	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 2 – LOCAL AGENCY INVOICE CERTIFICATION / COMMENTS

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursement, and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal/State award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812). I certify that the costs claimed follow pertinent program guidelines, and all Federal/State regulations. All consultant and contractor agreements have been reviewed and approved in accordance with the LAPM Chapter 10 “Consultant Selection” and Chapter 16 “Administer Construction Contracts”. I understand that Caltrans may review this invoice and support documentation for reasonableness at this time and that all invoice related documentation is subject to future detailed review by the Federal Highway Administration (FHWA) and/or Caltrans.

Signature of Full-time Local Agency Employee in Responsible Charge _____
Date

Printed Name and Title

For questions regarding this invoice, please contact:

Local Agency Contact Name _____
E-mail Address _____
Phone No.

Local Agency Comments:

Distribution: 2 signed copies to DLAE

SECTION 3 – CHECKLIST ITEMS TO BE COMPLETED BY CALTRANS

DATE THAT CALTRANS RECEIVED LOCAL AGENCY INVOICE: _____

		Caltrans		
		Frequency	Confirm	N/A
15	Consultant Contract DBE Information entered into LP2000. ⁵	First Federally Funded Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>
16	Construction Contract Award Package: 1) Make adjustments as required through FADS (see LAPM Exhibit 3-G) 2) Copy of LAPM Exhibit 15-L "Local Agency Contract Award Checklist" or copy of Exhibit 22-A/ 23-A: Award Information for ATP/STIP Projects to LPA.	First Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>
17	Construction Contract Award DBE information entered into LP2000 prior to submittal of Invoice Package documentation to LPA ⁵ Distribution: District – 1 signed copy to LPA	First Federally Funded Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>
18	Invoice Package received and date-stamped by District and Invoice Package Receipt Date logged into LP2000.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 4 – CALTRANS CONCURRENCE TO PAY INVOICE

I have reviewed this Invoice Package in accordance with Chapter 5, I agree that based on the information received, the Invoice Package is complete and accurate, and I concur with payment of this invoice.

-OR-

I have processed this invoice Package in accordance with the RBI 2.0 Guidance Memorandum, dated August 25, 2016, and I concur with payment of this invoice.

Signature of Caltrans District Representative _____
Date

Printed Name and Title _____
Phone No.

1. This Local Agency Invoice Review Checklist acts as the Caltrans "receiving record" for this invoice.
 2. Local Agency must demonstrate that completed construction work is consistent with the level of federal and/or state funds invoiced (see Exhibit 5-K).
 3. For Construction phases, the state shall withhold the greater of two (2) percent of the total federal/state funds encumbered for each funding agreement, or a minimum of \$40,000 (unless otherwise authorized by the DLAE), until after the Local Agency submits the Final Report of Expenditures (FROE).
 4. A "Billing Summary" (Exhibit 5-K) must be submitted with each Local Agency invoice unless an acceptable alternative is authorized by the DLAE.
 5. Prior to submitting local agency invoice to LPA for payment of federal funded contracts, DLAE is to confirm that DBE information has been entered into LP2000. First new invoice of Task Orders requires submittal of Exhibit 10-02, and a copy of the Task Order.
 Note: Incomplete or disputed invoice packages must be returned promptly to the local agency to avoid incurring interest penalties. A Dispute Notification Letter shall accompany all Invoices returned to the Local Agency. Update LP2000 accordingly.

District Comment:

Distribution: DLAE