

# Local Agency Invoice Review

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STANDARD OPERATING PROCEDURE FOR CALTRANS DISTRICT  
LOCAL ASSISTANCE INVOICE REVIEWERS



## Standard Procedures and Requirements for District Review of Local Agency Invoices

This Standard Operating Procedure (SOP) provides detailed instructions to help Caltrans Local Assistance District staff efficiently and effectively review local agency invoices. This SOP aims to achieve statewide consistency with invoice review, reduce errors, and save time. It is organized around key source documents and databases to maintain quality information (e.g., LAPM 5-A, Finance Letter, E-76 Project Authorization, LP2000 database, Federal Aid Data System, California Transportation Commission Allocation Letter, Previous Invoice, Contractor Pay Estimate, Exhibit 15-L, 22-A, 23-A, etc.).

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# 1. Verify LAPM 5-A Local Agency Invoice Is Complete

Local agencies are required to mail one signed original LAPM 5-A and applicable documents to the respective Caltrans District Local Assistance Engineers for processing.

1. Date stamp LAPM 5-A immediately upon receipt.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION							Instructions	Reset Form	Print Invoice
<b>LOCAL AGENCY INVOICE</b>							03/08/2019		
LAPM 5-A (REV 03/2019)									
<b>SECTION 1: INVOICE</b>									
Local Agency Name City of Sacramento		Remittance Address 915 I Street, Room 2000 Sacramento, CA 95814				Tax ID 94-6000410			
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project			
11/10/2016	D3 Marysville	ATPL-5002(179)	0316000108	DOT_T151650	1	<input type="checkbox"/>			
Project Description North 12th Street from American River to H Street									
Fund Type(s): <input checked="" type="checkbox"/> Federal <input type="checkbox"/> State		Authorized Phase(s): <input checked="" type="checkbox"/> PE		<input type="checkbox"/> R/W	<input type="checkbox"/> CE				
				<input type="checkbox"/> R/W Util	<input type="checkbox"/> CON				
				<input type="checkbox"/> R/W Eng					
				<input type="checkbox"/> R/W Acq					

2. Distribute LAPM 5-A to the respective invoice reviewers.

3. Check for a complete invoice package which includes all four sections of LAPM 5-A:

## SECTION 1: INVOICE

- Ensure latest version of LAPM 5-A is used:  
<http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>
- The invoice should be dated no more than 30 days prior to the date received.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION							Instructions	Reset Form	Print Invoice
<b>LOCAL AGENCY INVOICE</b>							03/08/2019		
LAPM 5-A (REV 03/2019)									
<b>SECTION 1: INVOICE</b>									
Local Agency Name City of Sacramento		Remittance Address 915 I Street, Room 2000 Sacramento, CA 95814				Tax ID 94-6000410			
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project			
11/10/2016	D3 Marysville	ATPL-5002(179)	0316000108	DOT_T151650	1	<input type="checkbox"/>			
Project Description North 12th Street from American River to H Street									
Fund Type(s): <input checked="" type="checkbox"/> Federal <input type="checkbox"/> State		Authorized Phase(s): <input checked="" type="checkbox"/> PE		<input type="checkbox"/> R/W	<input type="checkbox"/> CE				
				<input type="checkbox"/> R/W Util	<input type="checkbox"/> CON				
				<input type="checkbox"/> R/W Eng					
				<input type="checkbox"/> R/W Acq					

SECTION 2: INDIRECT COST CALCULATION

- The indirect cost calculation is completed if indirect costs are claimed.
- The invoice is signed by the local agency representative.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 03/2019)

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**SECTION 2: INDIRECT COST CALCULATION**

**Indirect Costs:**

Phase	FY	Office/Department	Direct Cost Base Expense	Approved Indirect Cost Rate	Subtotal
▼			\$	%	\$ 0.00

Phase	PE	E&P	PS&E	R/W	CE	NI
Total Indirect Costs to Date	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**CERTIFICATION**  
 By signing this invoice, all local agency signatories certify to the best of my/our knowledge and belief that the invoice is true, complete, and accurate. 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/we are aware of any false, fictitious, fraudulent information, or the omission of any material fact may subject me/us to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Section 3729-3730 and 3801-3812). I/we certify that the costs claimed follow pertinent and applicable guidelines and all Federal/State regulations. All consultant and contractor agreements have been reviewed and approved in accordance with LAPM Chapter 10 Consultant Selection and Chapter 16 Administer Construction Contracts. I/we understand that Caltrans may review this invoice and support documentation for reasonableness at this time and that all invoices related documentation is subject to future detailed review by the Federal Highway Administration and/or Caltrans.

Signature of Local Agency Representative	Date
Print Name	Title

For questions regarding this invoice, please contact:

Contact Name	Title	Phone Number	E-mail
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SECTION 3: BILLING SUMMARY

- The billing summary is completed for all applicable phases claimed.
- For construction invoices, the contractor pay estimate is required in addition to the completed billing summary.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**LOCAL AGENCY INVOICE**  
 LAPM 5-A (REV 03/2019)

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**SECTION 3: BILLING SUMMARY**

Federal/State Project No. ATPL-5002(179)

Preliminary Engineering			Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)					
	From	To				
				\$0.00		\$0.00
				\$0.00	\$0.00	\$0.00

SECTION 4: CHECKLIST

- The checklist is completed and signed by the local agency representative.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION		Reset Form		
<b>LOCAL AGENCY INVOICE</b>				
LAPM 5-A (REV 04/2019)				
<b>SECTION 4: CHECKLIST</b>				
Local Agency Name: _____				
Billing No: _____ Federal / State Project No: _____				
		Frequency	Local Agency Confirm    N/A	Caltrans Concur
1	Executed Program Supplement Agreement (PSA) on file with Local Agency.	All Invoices	<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> :	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
	• Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight	All First Consultant Invoices	<input type="checkbox"/>	<input type="checkbox"/>
	• Submit Exhibits 10-O1 and 10-O2 to DLAE	First Federal Consultant Contracts	<input type="checkbox"/>	<input type="checkbox"/>
	• Submit Exhibit 10-K to Independent Office of Audits and Investigations	All Consultant Contracts > \$150K	<input type="checkbox"/>	<input type="checkbox"/>
9B	• Submit copy of executed contract to the DLAE within 30 days of contract award or concurrently with first invoice, whichever is earlier.		<input type="checkbox"/>	<input type="checkbox"/>
	• For on-call contracts, submit copy of issued task order and Exhibit 10-O2 for the task order.		<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"/>
11	Submit contractor pay estimate with Billing Summary.	Construction Invoices	<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				

## 2. Use the Finance Letter to Verify Authorized Phases, Appropriation Codes, Reimbursement Ratios, and Authorized Funds

Use the most **current finance letter signed by HQ Area Engineer** to verify the approved:

1. **Authorized phase(s)** (e.g., PE, RW, CE, CON, etc.)
2. **Appropriation code(s)**
3. **Reimbursement ratio(s)**
4. **Sufficient authorized fund amount available for reimbursement.** Remaining balance should not be less than Caltrans required retention of \$40,000 or 2% of federal/state funds, whichever is greater.

Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input type="checkbox"/> PE <input checked="" type="checkbox"/> E&P <input type="checkbox"/> PS&E	<input type="checkbox"/> RW <input type="checkbox"/> RW Util <input type="checkbox"/> RW Eng <input type="checkbox"/> RW Acq	<input type="checkbox"/> CE <input type="checkbox"/> CON	<input type="checkbox"/> NI <input type="checkbox"/> FA
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State Allocation Date	01/21/16	Total	
Federal Appropriation Code	M3E1		
Participating Cost (E-76 Auth. Date) From:	02/16/16		
Participating Cost To:	06/24/16		
Total Indirect Cost to Date:	\$ 0.00	\$ 0.00	
Total Direct Cost to Date:	\$ 46,842.55	\$ 46,842.55	
Total Cost to Date:	\$ 46,842.55	\$ 46,842.55	
Less: Non-Participating Cost	\$ 45,712.99	\$ 45,712.99	
: Other	\$ 0.00	\$ 0.00	
: Other	\$ 0.00	\$ 0.00	
: Other	\$ 0.00	\$ 0.00	
Total Participating Cost to Date:	\$ 1,129.56	\$ 1,129.56	
Less: Participating Cost not Reimbursed (Local Funds)	\$ 0.00	\$ 0.00	
Total Participating Cost:	\$ 1,129.56	\$ 1,129.56	
State Reimbursable Ratio:			
Federal Reimbursement Ratio:	88.53%		
Reimbursable Amount to Date:	\$ 999.99	\$ 999.99	
Less: Cumulative Amount Paid on All Previous Invoices	\$ 0.00	\$ 0.00	
Reimbursable Participating Costs:	\$ 999.99	\$ 999.99	
Less: State Withheld Retention	\$ 0.00	\$ 0.00	
: Amount Exceeding Authorized Fund	\$ 0.00	\$ 0.00	
: Other	\$ 0.00	\$ 0.00	
Amount of This Claim:	\$ 999.99	\$ 999.99	
TOTAL INVOICE AMOUNT:	\$ 999.99	\$ 999.99	

Refer to your Finance Letter		
Authorized Fund Amount	\$ 120,000.00	\$ 120,000.00
Less: Cumulative Amount Paid on All Previous Invoices	\$ 0.00	\$ 0.00
Funds Remaining	\$ 120,000.00	\$ 120,000.00

DEPARTMENT OF TRANSPORTATION  
DIVISION OF ACCOUNTING  
LOCAL PROGRAM ACCOUNTING BRANCH

Attention: City of Sacramento

### FINANCE LETTER

Date: 05/21/2019 EA No:  
D\_CO\_RT: 03-SAC-0-SAC  
Project No: ATPL-5002(179)  
Adv Project Id: 0316000108  
Agreement End Date: 02/28/2026

FINANCE ITEMS	PRO RATA DR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL TAP	FEDERAL TAP	LOCAL	OTHER
Environmental Studies & Permits	Lump Sum	\$150,000.00	\$135,547.00	88.53%	\$120,000.00	Z301	\$15,547.00	\$14,453.00
Plans, Specifications & Estimates	Lump Sum	\$451,825.00	\$451,825.00	88.53%	\$0.00	Z301	\$51,825.00	\$0.00
<b>Totals:</b>		<b>\$601,825.00</b>	<b>\$587,372.00</b>	<b>0.00%</b>	<b>\$120,000.00</b>	<b>\$400,000.00</b>	<b>\$67,372.00</b>	<b>\$14,453.00</b>

Participation Ratio: 97.60%

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: CTC allocated \$400,000/Fed for PS&E at their June 2018 meeting.

ACCOUNTING INFORMATION									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
0316000108	15108F	2030720100	F	\$120,000.00	1415	\$120,000.00	\$0.00	06/30/20		
0316000108	18108F	2030720100	F	\$400,000.00	1718	\$14,330.58	\$385,669.42	06/30/23		



### 3. Launch E-76 Project Authorization from Federal Aid Data System (FADS)

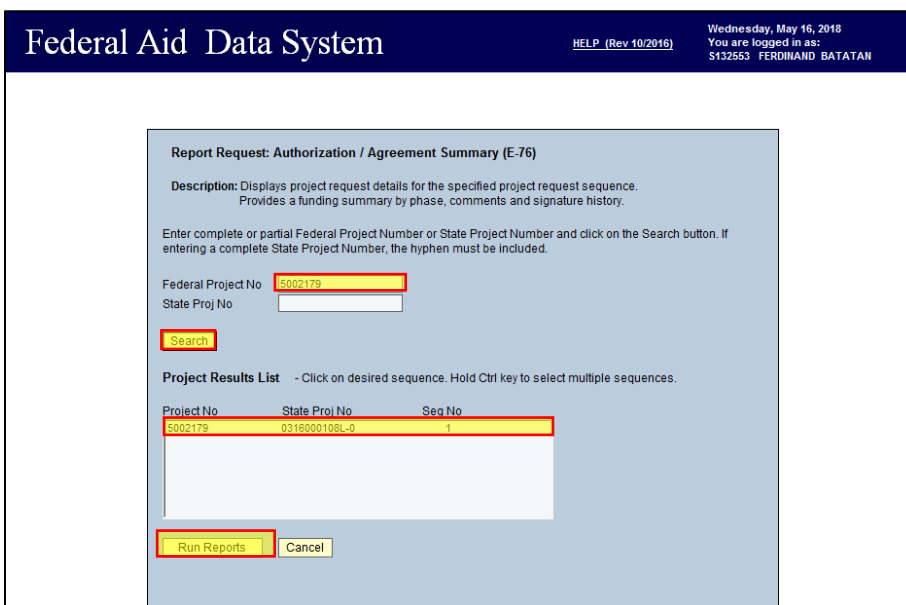
1. Launch FADS to retrieve the official E-76 Project Authorization. Click **“Reports”** and select **“Project Reports.”**



2. Select **“Authorization / Agreement Summary (E-76) – FADS 10.”**



3. Enter the Federal- Aid Project No. of the invoice you are reviewing (**without the parenthesis**) in the first box. Click the **“Search”** button. This will bring up the number of sequences (authorizations) this project has received. Select the most current sequence and click **“Run Reports”** to generate the E-76.



4. Use the **E-76** to Verify Participating Cost “From” Date Is the E-76 Authorization Date. Verify the Work Performed “From” Dates (Billing Summary) are On or After the E-76 Authorization Date.

For federal funds, verify that the participating cost “from” date **matches** the E-76 authorization date. Agencies can only claim reimbursement for work performed from the day the project was authorized if the from date is the E-76 authorization date. Verify the work performed from dates on the billing summary are on or after the E-76 authorization date.

	Environmental Studies and Permits	Total
State Allocation Date	01/21/16	
Federal Appropriation Code	M3E1	
Participating Cost (E-76 Auth. Date)	From: 02/16/16	
Participating Cost	To: 06/24/16	

Participating Cost “From” Date = E-76 Authorization Date

SECTION 3: BILLING SUMMARY			
Federal/State Project No. ATPL-5002(179)			
Environmental Studies and Permits			
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt Number (if applicable)
	From	To	
Burden GF Reimb	02/02/2016	03/31/2016	502090
Salaries GF Reimb	06/26/2016	12/31/2016	502090
Burden GF Reimb	04/01/2016	05/31/2016	502090
Salaries GF Reimb	01/01/2017	07/12/2017	502090
Burden GF Reimb	06/01/2016	06/24/2016	502090

Work Performed “From” Dates on the Billing Summary are on or after E-76

AUTHORIZATION / AGREEMENT SUMMARY (E-76)							CALIFORNIA DEPARTMENT OF TRANSPORTATION	
<b>FEDERAL AID PROGRAM</b> DLA LOCATOR: 03-SAC-0-SAC PREFIX: ATPL PROJECT NO: 5002(179) SEQ NO: 1 STATE PROJ NO: 0316000108L-0 AGENCY: SACRAMENTO ROUTE: DISASTER NO: TIP DATA MPO: SACOG FSTIP YR: 15/16 STIP REF: FSTIP ID NO: SAC24998 BRIDGE NO:			<b>PROJECT LOCATION:</b> NORTH 12TH STREET FROM AMERICAN RIVER TO H STREET <b>TYPE OF WORK:</b> BIKE PATH CLASS 1/4 CYCLE TRACK FED RR NO'S: PUC CODES: PROJ OVERSIGHT: ASSUMED/LOCAL ADMIN ENV STATUS / DT: RW STATUS / DT: INV RTE: BEG MP: END MP:			<b>PREV AUTH / AGREE DATES</b> PE: R/W: CON: SPR: MCS: OTH:		
PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URBRURAL	DEMO ID		
M3E1	10	15						
FUNDING SUMMARY			PROJECT COST	FEDERAL COST	AC COST			
PHASE	PREV. OBLIGATION		\$0.00	\$0.00	\$0.00			
PE	THIS REQUEST		\$150,000.00	\$120,000.00	\$0.00			
	SUBTOTAL		\$150,000.00	\$120,000.00	\$0.00			
R/W	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			
OTH	PREV. OBLIGATION		\$0.00	\$0.00	\$0.00			
	THIS REQUEST		\$0.00	\$0.00	\$0.00			
	SUBTOTAL		\$0.00	\$0.00	\$0.00			
TOTAL:			\$150,000.00	\$120,000.00	\$0.00			
<b>STATE REMARKS</b>								
02/08/2016 SEQ 1 - 02/08/16: Authorizing PE as lump sum appropriation. These funds are for PA&ED only. Agency needs to obtain CTC allocation of PS&E funds prior to authorization of funds for PS&E.								
****PS&E shall not start until NEPA is approved.****								
<b>FEDERAL REMARKS</b>								
<b>AUTHORIZATION</b>								
AUTHORIZATION TO PROCEED WITH REQUEST: PRE			PREPARED IN FADS BY: BATATAN, FERDINAND			ON 2016-02-01 741-5704		
FOR: PE			REVIEWED IN FADS BY: YANG, ALBERT			ON 2016-02-08 651-0015		
DOCUMENT TYPE: AAGR			SUBMITTED IN FADS BY: AMBROSINI, ADAM			ON 2016-02-11 FOR CALTRANS		
			PROCESSED IN FADS BY: JUNEY, SHUN			ON 2016-02-11 FOR FHWA		
			E-76 AUTHORIZED DATE IN FMIS BY: TASHA PAPAJOHN			ON 2016-02-16 17:36:40.0		

5. Use the **Finance Letter** to Verify that Participating Cost “To” Date on the Invoice and Work Performed “To” Dates on the Billing Summary are **On or Before** the Agreement End Date

For federal funds, verify that the participating cost “to” date is on or before the Agreement End Date. Verify that the work performed from dates on the billing summary are on or before the Agreement End Date.

		Environmental Studies and Permits	Total
State Allocation Date		01/21/16	
Federal Appropriation Code		M3E1	
Participating Cost (E-76 Auth. Date)	From:	02/16/16	
Participating Cost	To:	06/24/16	

Participating Cost “To” Date is **Before** AED Date

SECTION 3: BILLING SUMMARY			
Federal/State Project No. ATPL-5002(179)			
Environmental Studies and Permits		Work Performed (Dates)	Vendor Receipt Number (if applicable)
Description (e.g., Staff Time, Consultants, etc.)	From	To	
Burden GF Reimb	02/02/2016	03/31/2016	502090
Salaries GF Reimb	06/26/2016	12/31/2016	502090
Burden GF Reimb	04/01/2016	05/31/2016	502090
Salaries GF Reimb	01/01/2017	07/12/2017	502090
Burden GF Reimb	06/01/2016	06/24/2016	502090

Work Performed “To” Dates are **Before** AED Date

DEPARTMENT OF TRANSPORTATION  
DIVISION OF ACCOUNTING  
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

Date: 05/21/2019  
D\_CO\_RT: 03-SAC-0-SAC  
Project No: ATPL-5002(179)  
Adv Project Id: 0316000108  
EA No:

Attention: City of Sacramento

Agreement End Date: 02/28/2026

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL TAP M3E1	FEDERAL TAP Z301	LOCAL	OTHER
Environmental Studies & Permits	Lump Sum	\$150,000.00	\$135,547.00	88.53%	\$120,000.00	\$0.00	\$15,547.00	\$14,453.00
Plans, Specifications & Estimates	Lump Sum	\$451,825.00	\$451,825.00	88.53%	\$0.00	\$400,000.00	\$51,825.00	\$0.00
Totals:		\$601,825.00	\$587,372.00	0.00%	\$120,000.00	\$400,000.00	\$67,372.00	\$14,453.00

Participation Ratio: 97.60%

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: CTC allocated \$400,000/Fed for PS&E at their June 2018 meeting.

ACCOUNTING INFORMATION										Cooperative Work Agreement	
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	ATPL-5002(179)	APPROVED AMOUNT	EXPIRATION DATE
0316000108	15108F	2030720100	F	\$120,000.00	1415	\$120,000.00	\$0.00	06/30/20			
0316000108	18108F	2030720100	F	\$400,000.00	1718	\$14,330.58	\$385,669.42	06/30/23			

## 6. Use the Cooperative Work Agreement (CWA) Information in LP2000 Database to Verify Possible Expired/Lapsed/De-Obligated Funds

There are two cases when you need to verify if there is a CWA in place for potential lapsed, expired, or de-obligated funds for the applicable phases.

1. If the fund is nearing the reversion date found on the finance letter
2. If the Participating Cost (E-76 Auth. Date) "from" date listed on the invoice is five years or older than today's date

To search for the CWA information in LP2000, go to the "Account" tab. Click on one of the funds (if there are multiple funds authorized) under "Encumbrance Amount." The corresponding "CWA Information" will be displayed if applicable.

**Note:** You could also use the "Encumbrance Balance" from this section in LP2000 to determine the authorized funds remaining on the project.

*CWA Information in LP2000 Account tab:*

The screenshot displays the LP2000 Accounting interface for Project ATPL-5002(179). The 'Account' tab is selected, showing the following details:

- Project:** ATPL-5002(179), District: 03, County: 5924, Agency: (5002) Sacramento
- Adv\* Project Id:** 0316000108, Status: ACTIVE, Route: 0-SAC, Location: North 12th Street from American River to H Street
- Adv\* Draft Id:** 0316000108

The **Encumbrances and Expenditure Summary** table is as follows:

Approp Unit	Fund Code	State	Program	Encumbrance Amount	Approp Cat	Expenditure Amount	Encumbrance Balance	Pre Encumbrance Balance	Pre Enc Ind	Reversion Date	EFIS Ind	Project Status
15108F	0890	2030720100		\$120,000.00	1415	\$80,000.00	\$40,000.00	\$0.00	N	06/30/2020	Y	
<b>Total</b>				<b>\$120,000.00</b>		<b>\$80,000.00</b>	<b>\$40,000.00</b>	<b>\$0.00</b>				

The **CWA Information** section is highlighted with a red box and contains the following fields:

- Approved By DOF: [ ]
- Action Date: [ ]
- Approved Amt: [ ]
- Reason For Denial: [ ]
- Expiration Date: [ ]
- Agency Contact: [ ]
- Request CWA:
- Within Original Scope:
- Completed Within Extension:
- Impediments For Completion: [ ]
- CWA Additional Comments: [ ]

The **Project Delay Information** section shows a table with columns for Delay Reason Code, Create Date Time, and Delay Description.

The **Obligations Information** section shows a table with columns for Approp Year and Obligated Amount:

Approp	Year	Obligated Amount
M3E1	2016	\$120,000.00
<b>Total</b>		<b>\$120,000.00</b>

## 7. For State Funded Projects: Use the CTC Allocation Letter to Verify State Allocation Date and Available Funds for State Funded Projects


For state funded projects, the state allocation date and funds are documented in the California Transportation Commission (CTC) allocation letter. Any costs incurred **prior** to the allocation date are not reimbursable.

[Add link to shared drive](#)

State Allocation Date on Invoice:

		Environmental Studies and Permits	Total
State Allocation Date		01/21/16	
Federal Appropriation Code		M3E1	
Participating Cost (E-76 Auth. Date)	From:	02/16/16	
Participating Cost	To:	06/24/16	

Allocation Letter:

<p>STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY</p> <p><b>DEPARTMENT OF TRANSPORTATION</b>          Division of Local Assistance, MS1          1120 N STREET          P. O. BOX 942873          SACRAMENTO, CA 94273-0001          PHONE (916) 634-5266          FAX (916) 634-6608          TTY (916) 633-4086</p>	<p>EDMUND G. BROWN, Jr., Governor</p>  <p><i>Flex your power! Be energy efficient!</i></p>
---	---

February 5, 2016

Mr. Jerry Way  
 Director of Public Works  
 City of Sacramento  
 915 I Street, Room 2000  
 Sacramento, CA 95814

Attention: Ms. Lucinda Wilcox

Dear Mr. Way,

Your letter dated November 6, 2015, requested a fund allocation from the Active Transportation Program (ATP) for the City of Sacramento project to convert the westernmost travel lane into a two-way cycle track on North 12<sup>th</sup> Street between Richards Blvd and C Street. This project is included in the California Transportation Commission (CTC) adopted ATP Program, as amended.

At their January 20-21, 2016 meeting, meeting, the CTC allocated funding in the amount shown below.

The State hereby makes the following allocation, effective January 21, 2016.

Allocation No.	ATP16-01	PROGRAMMED FUNDS		FUND ALLOCATION	
		Amount Programmed	State Budget Year	Amount Previously Allocated	This Request
Senate District No.:	06				
Assembly District No.:	07				
PA&ED		\$ 120,000	2014-15	\$0	\$ 120,000
<b>FEDERAL FUNDS</b>					<b>\$ 120,000</b>

This allocation makes available \$120,000 of Federal funds and \$0 of State (or State-only) funds for a total of \$120,000.

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

## 8. For Local Agency Indirect Cost Rates: Use the Independent Office of Audits and Investigations (IOAI) Spreadsheet to Verify Authorized Local Agency Indirect Cost Rates

For invoices claiming local agency indirect costs, verify that the local agency indirect cost rates are correct and accepted/authorized by IOAI using the ICAP/ICRP External Local Government/Rates Accepted and Approved spreadsheet on the IOAI webpage.

1. Go to IOAI webpage: <http://ig.dot.ca.gov/resources/landing-resources.html>
2. Click on ICAP/ICRP External Local Government/Rates Accepted and Approved – July 1, 2014 through December 31, 2018 (XLS) to open the spreadsheet.

The screenshot shows the IOAI website interface. Under the 'Resources' tab, there is a list of documents. The last item, 'ICAP/ICRP External Local Government/Rates Accepted and Approved – July 1, 2014 through December 31, 2018 (XLS)', is highlighted in a yellow box with a red arrow pointing to it.


City of Sacramento	Department of Public Works, Engineering Division	2013/2014	98.35	Indirect Cost Rate	Direct salaries and wages plus fringe benefits
City of Sacramento	Department of Public Works, Engineering Division	2014/2015	98.38	Indirect Cost Rate	Total direct salaries and wages plus fringe benefits
City of Sacramento	Department of Transportation, Div. of Engineering	2011/2012	82.99	Indirect Cost Rate	Total direct salaries and wages plus fringe benefits
City of Sacramento, Department of Public Works FY 15-16	Department of Public Works, Engineering Services	2015/2016	100.79	Indirect Cost Rate	Total direct salaries and wages plus fringe benefits
City of San Diego	Engineering and Capital Projects	2009/2010	81.60	Indirect Cost Rate	Direct salaries and wages plus compensation time off
City of San Diego	Development Services Department	2009/2010	131.60	Indirect Cost Rate	Direct salaries and wages plus compensation time off.
City of San Diego	City Planning and Comm. Development	2009/2010	88.60	Indirect Cost Rate	Direct Salaries and Wages plus compensation time off
City of San Diego	Real Estate Assets	2009/2010	104.80	Indirect Cost Rate	Direct salaries and wages plus compensation time off.

SECTION 2: INDIRECT COST CALCULATION						
Indirect Costs:						
Phase	FY	Office/Department	Direct Cost Base Expense	Approved Indirect Cost Rate	Subtotal	
E&P	15/16	Project Delivery	\$ 5,678.45	% 100.79	\$ 5,723.30	
Phase	PE	E&P	PS&E	R/W	CE	NI
Total Indirect Costs to Date	\$0.00	\$5,723.30	\$0.00	\$0.00	\$0.00	\$0.00

You can also refer to the indirect cost rate proposal approval letter:

STATE OF CALIFORNIA—CALIFORNIA STATE TRANSPORTATION AGENCY EDMUND G. BROWN Jr., Governor

**DEPARTMENT OF TRANSPORTATION**  
AUDITS AND INVESTIGATIONS  
P.O. Box 942874, MS-2  
SACRAMENTO, CA 94274-0001  
PHONE (916) 323-7111  
FAX (916) 323-7141  
TTY 711  
www.dot.ca.gov



*Serious drought.  
Help Save Water!*

May 17, 2017

Andrew Sisk  
Auditor Controller  
Placer County Department of Public Works  
2970 Richardson Drive  
Auburn, CA 95603

Dear Mr. Sisk:

The California Department of Transportation (Caltrans), Audits and Investigations (A&I) received Placer County, Department of Public Works' (County) Indirect Cost Rate Proposal (ICRP) for fiscal year (FY) 2016/17, on May 2, 2017. Caltrans found the ICRP package to be in compliance with the submission requirements of Title 2 Code of Federal Regulations Part 200.

**The County is authorized to use the following ICRP rates for FY 2016/17 billing and reimbursement purposes.**

<b>Rate Type</b>	<b>Effective Period</b>	<b>Rate*</b>	<b>Applicable To</b>
Fixed	2016/17	129.97%	Engineering
Fixed	2016/17	71.42%	Road Maintenance
Fixed	2016/17	103.13%	Transit

## 9. Use the Current and Previous Invoices to Verify Inactive Project, Sequential Billing Number, Total Participating Costs to Date, and Funds Remaining

1. If the Inactive Project box is not checked, verify if it has been six months or more since the **previous** invoice. If yes, check the Inactive Project List for inactivity: <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>. Attach an inactive cover page with the invoice and submit to Local Program Accounting for expedited processing.

2. Verify if the billing numbers on the **current** and **previous** invoices are sequential. This tracks any missed invoices.

Previous Invoice

Current Invoice

SECTION 1: INVOICE						
Local Agency Name City of Sacramento		Remittance Address 915 I Street, Rm 2000 Sacramento, CA 95814			Tax ID 94-6000410	
Date 11/10/2016	Caltrans District D3 Marysville	Federal/State Project No. ATPL-5002(179)	Advantage Project ID 0316000108	Invoice No. DOT_T151600	Billing No. 1	Inactive Project <input type="checkbox"/>
Project Description North 12th Street from American River to H Street						
Fund Type(s): <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s): <input checked="" type="checkbox"/> E&P <input type="checkbox"/> PS&E	<input type="checkbox"/> PE <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 type="checkbox"/> NI <input type="checkbox"/> FA		
State Allocation Date	Environmental Studies and Permits	Total				
01/21/16						
Federal Appropriation Code	M3E1					
Participating Cost (E-76 Auth. Date) From:	02/16/16					
Participating Cost To:	06/24/16					
Total Indirect Cost to Date:	\$	\$ 0.00				
Total Direct Cost to Date:	\$ 46,842.55	\$ 46,842.55				
Total Cost to Date:	\$ 46,842.55	\$ 46,842.55				
Less: Non-Participating Cost	\$ 45,712.99	\$ 45,712.99				
: Other	\$	\$ 0.00				
: Other	\$	\$ 0.00				
: Other	\$	\$ 0.00				
Total Participating Cost to Date:	\$ 1,129.56	\$ 1,129.56				
Less: Participating Cost not Reimbursed (Local Funds)	\$	\$ 0.00				
Total Participating Cost:	\$ 1,129.56	\$ 1,129.56				
State Reimbursable Ratio:						
Federal Reimbursement Ratio:	88.53%					
Reimbursable Amount to Date:	\$ 999.99	\$ 999.99				
Less: Cumulative Amount Paid on All Previous Invoices	\$	\$ 0.00				
Reimbursable Participating Costs:	\$ 999.99	\$ 999.99				
Less: State Withheld Retention	\$	\$ 0.00				
: Amount Exceeding Authorized Fund	\$	\$ 0.00				
: Other	\$	\$ 0.00				
Amount of This Claim:	\$ 999.99	\$ 999.99				
TOTAL INVOICE AMOUNT:	\$	\$ 999.99				
Refer to your Finance Letter						
Authorized Fund Amount	\$ 120,000.00	\$ 120,000.00				
Less: Cumulative Amount Paid on All Previous Invoices	\$	\$ 0.00				
Funds Remaining Prior to this Claim	\$ 120,000.00	\$ 120,000.00				

SECTION 1: INVOICE						
Local Agency Name City of Sacramento		Remittance Address 915 I Street, Rm 2000 Sacramento, CA 95814			Tax ID 94-6000410	
Date 07/05/2017	Caltrans District D3 Marysville	Federal/State Project No. ATPL-5002(179)	Advantage Project ID 0316000108	Invoice No. DOT_T151600	Billing No. 2	Inactive Project <input type="checkbox"/>
Project Description North 12th Street from American River to H Street						
Fund Type(s): <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s): <input checked="" type="checkbox"/> E&P <input type="checkbox"/> PS&E	<input type="checkbox"/> PE <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 type="checkbox"/> NI <input type="checkbox"/> FA		
State Allocation Date	Environmental Studies and Permits	Total				
01/21/16						
Federal Appropriation Code	M3E1					
Participating Cost (E-76 Auth. Date) From:	02/16/16					
Participating Cost To:	06/12/17					
Total Indirect Cost to Date:	\$ 5,723.30	\$ 5,723.30				
Total Direct Cost to Date:	\$ 336,117.96	\$ 336,117.96				
Total Cost to Date:	\$ 341,841.26	\$ 341,841.26				
Less: Non-Participating Cost	\$ 259,609.25	\$ 259,609.25				
: Other	\$	\$ 0.00				
: Other	\$	\$ 0.00				
: Other	\$	\$ 0.00				
Total Participating Cost to Date:	\$ 82,232.01	\$ 82,232.01				
Less: Participating Cost not Reimbursed (Local Funds)	\$	\$ 0.00				
Total Participating Cost:	\$ 82,232.01	\$ 82,232.01				
State Reimbursable Ratio:						
Federal Reimbursement Ratio:	88.53%					
Reimbursable Amount to Date:	\$ 72,799.99	\$ 72,799.99				
Less: Cumulative Amount Paid on All Previous Invoices	\$ 999.99	\$ 999.99				
Reimbursable Participating Costs:	\$ 71,800.00	\$ 71,800.00				
Less: State Withheld Retention	\$	\$ 0.00				
: Amount Exceeding Authorized Fund	\$	\$ 0.00				
: Other	\$	\$ 0.00				
Amount of This Claim:	\$ 71,800.00	\$ 71,800.00				
TOTAL INVOICE AMOUNT:	\$	\$ 71,800.00				
Refer to your Finance Letter						
Authorized Fund Amount	\$ 120,000.00	\$ 120,000.00				
Less: Cumulative Amount Paid on All Previous Invoices	\$ 999.99	\$ 999.99				
Funds Remaining Prior to this Claim	\$ 119,000.01	\$ 119,000.01				

3. Verify if the "Reimbursable Amount to Date" on the **previous** invoice is carried over to "Less: Cumulative Amount Paid on All Previous Invoices" on the **current** invoice.

4. On the **current** invoice, verify that the "Amount of This Claim" is less than or equal to the "Funds Remaining Prior to this Claim."



10. For Billing #1, Use the Current Invoice and Billing Summary to Cross Check Amounts Claimed (for reference only)

SECTION 3: BILLING SUMMARY						
Federal/State Project No. <u>ATPL-5002(179)</u>						
Environmental Studies and Permits						
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				
Burden GF Reimb	02/02/2016	03/31/2016	502090	\$26,331.13	\$26,331.13	\$0.00
Salaries GF Reimb	06/26/2016	12/31/2016	502090	\$14,533.95	\$14,533.95	\$0.00
Burden GF Reimb	04/01/2016	05/31/2016	502090	\$4,977.47	\$4,476.43	\$501.04
Salaries GF Reimb	01/01/2017	07/12/2017	502090	\$791.43	\$371.48	\$419.95
Burden GF Reimb	06/01/2016	06/24/2016	502090	\$208.57		\$208.57
<b>Total Participating Cost:</b>				\$46,842.55	\$45,712.99	\$1,129.56

SECTION 1: INVOICE						
Local Agency Name City of Sacramento		Remittance Address 915 I Street, Rm 2000 Sacramento, CA 95814			Tax ID 94-6000410	
Date	Calltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
11/10/2016	D3 Marysville	ATPL-5002(179)	0316000108	DOT_T151600	1	<input type="checkbox"/>
Project Description North 12th Street from American River to H Street						
Fund Type(s):	<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State	Authorized Phase(s):	<input type="checkbox"/> PE <input checked="" type="checkbox"/> E&P <input 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 type="checkbox"/> NI <input type="checkbox"/> FA
State Allocation Date		Environmental Studies and Permits	Total			
01/21/16						
Federal Appropriation Code		M3E1				
Participating Cost (E-76 Auth. Date) From:		02/16/16				
Participating Cost To:		06/24/16				
Total Indirect Cost to Date:	\$		\$	0.00		
Total Direct Cost to Date:	\$	46,842.55	\$	46,842.55		
Total Cost to Date:	\$	46,842.55	\$	46,842.55		
Less: Non-Participating Cost	\$	45,712.99	\$	45,712.99		
: Other	\$		\$	0.00		
: Other	\$		\$	0.00		
: Other	\$		\$	0.00		
Total Participating Cost to Date:	\$	1,129.56	\$	1,129.56		
Less: Participating Cost not Reimbursed (Local Funds)	\$		\$	0.00		
Total Participating Cost:	\$	1,129.56	\$	1,129.56		
State Reimbursable Ratio:						
Federal Reimbursement Ratio:		88.53%				
Reimbursable Amount to Date:	\$	999.99	\$	999.99		
Less: Cumulative Amount Paid on All Previous Invoices	\$		\$	0.00		
Reimbursable Participating Costs:	\$	999.99	\$	999.99		
Less: State Withheld Retention	\$		\$	0.00		
: Amount Exceeding Authorized Fund	\$		\$	0.00		
: Other	\$		\$	0.00		
Amount of This Claim:	\$	999.99	\$	999.99		
<b>TOTAL INVOICE AMOUNT:</b>			\$	999.99		
Refer to your Finance Letter						
Authorized Fund Amount	\$	120,000.00	\$	120,000.00		
Less: Cumulative Amount Paid on All Previous Invoices	\$		\$	0.00		
Funds Remaining Prior to this Claim	\$	120,000.00	\$	120,000.00		

For Subsequent Invoices, Use the Previous Invoice, Current Invoice, and Billing Summary to Cross Check Amounts Claimed (for reference only)

SECTION 3: BILLING SUMMARY						
Federal/State Project No. ATPL-5002(179)						
Environmental Studies and Permits						
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				
Cost Reimb - Credit	06/25/2016	07/31/2016	419020	\$1,625.09		\$1,625.09
Cost Reimb - Emp Srv	06/25/2016	07/31/2016	419020	\$1,265.43		\$1,265.43
CIP	06/25/2016	06/12/2016	502120	\$28,506.24		\$28,506.24
Consultants	06/25/2016	12/31/2016	431020	\$103,637.95	\$103,637.95	\$0.00
Salaries GF Reimb	06/25/2016	12/31/2016	502080	\$33,370.43		\$33,370.43
Salaries GF Reimb	06/25/2016	12/31/2016	502080	\$11,676.40	\$6,559.26	\$5,117.14
Consultants	01/01/2017	06/12/2017	431020	\$99,235.22	\$99,235.22	\$0.00
Other Prof Services	01/01/2017	06/12/2017	433060	\$1,364.20	\$712.06	\$652.14
Salaries GF Reimb	01/01/2017	06/12/2017	502080	\$4,842.68		\$4,842.68
Burden GF Reimb	01/01/2017	06/12/2017	502090	\$3,751.77	\$3,751.77	\$0.00
<b>Total Participating Cost:</b>				<b>\$289,275.41</b>	<b>\$213,896.26</b>	<b>\$75,379.15</b>

F G H

SECTION 1: INVOICE						
Local Agency Name City of Sacramento			Remittance Address 915 I Street, Rm 2000 Sacramento, CA 95814		Tax ID 94-6000410	
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
07/05/2017	D3 Marysville	ATPL-5002(179)	0316000108	DOT_T151600	2	<input type="checkbox"/>
Project Description						
Fund Type(s):		Authorized Phase(s):				
<input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> State		<input type="checkbox"/> PE <input checked="" type="checkbox"/> E&P <input 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 type="checkbox"/> NI <input type="checkbox"/> FA				

Environmental Studies and Permits		Total
State Allocation Date	01/21/16	
Federal Appropriation Code	M3E1	
Participating Cost (E-76 Auth. Date) From:	02/16/16	
Participating Cost To:	06/12/17	

SECTION 2: INDIRECT COST CALCULATION						
Indirect Costs:						
Phase	FY	Office/Department	Direct Cost	Base Expense	Approved Indirect Cost Rate	Subtotal
E&P	15/16	Project Delivery	\$	5,678.45	100.79%	\$ 5,723.30
Phase	PE	E&P	PS&E	R/W	CE	NI
Total	Costs to Date	\$0.00	\$5,723.30	\$0.00	\$0.00	\$0.00

Total Indirect Cost to Date:	\$ 5,723.30	\$ 5,723.30
Total Direct Cost to Date:	\$ 336,117.96	\$ 336,117.96
Total Cost to Date:	\$ 341,841.26	\$ 341,841.26
Less: Non-Participating Cost	\$ 259,609.25	\$ 259,609.25
: Other	\$	\$ 0.00
: Other	\$	\$ 0.00
: Other	\$	\$ 0.00
Total Participating Cost to Date:	\$ 82,232.01	\$ 82,232.01
Less: Participating Cost not Reimbursed (Local Funds)	\$	\$ 0.00
Total Participating Cost:	\$ 82,232.01	\$ 82,232.01
State Reimbursable Ratio:		
Federal Reimbursement Ratio:	88.53%	
Reimbursable Amount to Date:	\$ 72,799.99	\$ 72,799.99
Less: Cumulative Amount Paid on All Previous Invoices	\$ 999.99	\$ 999.99
Reimbursable Participating Costs:	\$ 71,800.00	\$ 71,800.00
Less: State Withheld Retention	\$	\$ 0.00
: Amount Exceeding Authorized Fund	\$	\$ 0.00
: Other	\$	\$ 0.00
Amount of This Claim:	\$ 71,800.00	\$ 71,800.00
<b>TOTAL INVOICE AMOUNT:</b>	<b>\$ 71,800.00</b>	<b>\$ 71,800.00</b>

E  
A + F  
B + G  
D  
(E + H) x Reimbursement Ratio %

Refer to your Finance Letter		
Authorized Fund Amount	\$ 120,000.00	\$ 120,000.00
Less: Cumulative Amount Paid on All Previous Invoices	\$ 999.99	\$ 999.99
Funds Remaining Prior to this Claim	\$ 119,000.01	\$ 119,000.01

## 11. For First Construction and/or First Consultant Invoices Only: Verify Award Information in LP2000

For first construction invoices only, go to LP2000 “Milestones” and under the “General” tab verify the “Award” information. If this section is blank, check with the District Geographic Engineer for award information. **Construction invoices cannot be paid without an award package.**

OLP2000 10gAS - Production

Project Actions Edit Record Reports Letters Programming Maintenance Help Window

Project - General Milestones

Project: RPSTPL - 5916(102) District: 03 County: 5916 Agency: (5916) Yuba County  
 Adv# Project Id: 0313000187 Status: ACTIVE Route: 0-CR Location: In the community of Linda, on North Beale Rd, from Lindhurst Ave to Hammonton

Milestones entered by District  Milestones entered by HQ  Entered by All

General Authorization Allocation Env. Doc. R/W Prog. Spec. Invoice Review Other

General Milestones

	Date	Comments
Field Review Form Rec'd By CT *	02/14/2011	refer to 5916(094)
Field Review		
Field Review Approved By CT		
SERF Received By CT		
SEMP Received By CT		
Anticipated Award		
Project Advertisement	08/30/2016	
Bid Opening	09/26/2016	
Estimated / Forecast Completion		
Construction / NI Project Completed		
Final Report & Invoice		
Final Inspection / Report *		
Final Voucher *		
Maintenance Review *		

Award *	Date	Amount	Comments
	10/25/2016	\$5,063,999.00	R & R Horn , Inc.

\* Used for work activity reporting

LP2000 General Milestone Tab - Award Information

# 12. For First Construction Invoices Only:

Ensure the Contractor Pay Estimate and Exhibit 15-L (Federal Projects) or Exhibit 22-A (ATP Projects) or Exhibit 23-A (STIP Projects) are Received Before Invoicing

Exhibit 15-L: Local Agency Contract Award Checklist

Local Assistance Procedures Manual Exhibit 15-L  
Local Agency Contract Award Checklist

**EXHIBIT 15-L. LOCAL AGENCY CONTRACT AWARD CHECKLIST**

Administering Agency: \_\_\_\_\_  
 Federal-aid Project Number: \_\_\_\_\_  
 Project Locator: \_\_\_\_\_  
 (Caltrans District – County – 0 or State Route – Administering Agency)  
 Project Limits: \_\_\_\_\_  
 (Physical limits reference intersections or post miles limits)

Has Caltrans issued an "Authorization to Proceed" (E-76) in writing with federal funds included for construction, and is the amount correct?  yes  no  
 Copy of engineers estimate:  to be attached  
 Is material testing and sampling arranged?  yes  no  
 Copy of low bidder's proposal  to be attached  
 Low Bid signed in ink?  yes  no  
 Is a Good Faith Effort Statement of DBE Participation (Exhibit 15-H) included in the low bidder's proposal? (Only required if DBE goal is not achieved)  yes  no  
 Construction Contract DBE Commitment (Exhibit 15-G)  to be attached  
 Is the Non-Collusion Affidavit (Exhibit 12-H, Sample Bid) included in the low bidder's proposal?  yes  no  
 Is the Bid summary (itemized bids for 3 lowest bidders) complete?  yes  no  
 Addendum procedures adhered to?  yes  no  
 TIP information, Authorized amount: \_\_\_\_\_ (\$ amount)  
 Include TIP page number or amendment number here: \_\_\_\_\_  
 Bid opening procedures were adhered to?  yes  no  
 Date DLA's Federal Wage Rate website was checked for updates \*  yes  no  
 Date of bid opening \_\_\_\_\_ (date)  
 Date of award \_\_\_\_\_ (date)  
 Amount of award \_\_\_\_\_ (\$ amount)  
 Detail Estimate (Exhibit 15-M) \_\_\_\_\_ to be attached  
 Finance Letter (Exhibit 3-O) \_\_\_\_\_ to be attached  
 Resident Engineer's Construction Contract Administration Checklist (Exhibit 15-B) \_\_\_\_\_ to be attached  
 Is successful bidder licensed?  yes  no  
 Estimated construction completion date \_\_\_\_\_ (date)

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

Reviewed by: \_\_\_\_\_  
 (Signature of Administered Agency Representative)  
 \_\_\_\_\_  
 (Name printed or typed)  
 Title: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 Phone Number: \_\_\_\_\_

\* 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-DLA/E  
 2) Copy-Local Agency Project files

Page 1 of 1  
 August 2016

Exhibit 22-A: Award Information for ATP Projects

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: \_\_\_\_\_  
 Award Amount: \_\_\_\_\_  
 (ATP Portion only, if different from above)  
 Estimated Date of Completion: \_\_\_\_\_  
 Name of Contractor: \_\_\_\_\_

Exhibit 23-A: Award Information for STIP Projects

Local Assistance Program Guidelines EXHIBIT 23-A  
Award Information for STIP Projects

**EXHIBIT 23-A AWARD INFORMATION FOR STIP PROJECTS**

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

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

PPNO: \_\_\_\_\_  
 EA: \_\_\_\_\_  
 Project No.: \_\_\_\_\_  
 Project Description: \_\_\_\_\_

Date Project was Allocated: \_\_\_\_\_  
 Date Project was Advertised: \_\_\_\_\_  
 Bid Opening Date: \_\_\_\_\_  
 Award Date: \_\_\_\_\_  
 Award Amount: \_\_\_\_\_  
 Award Amount: \_\_\_\_\_  
 (STIP Portion only, if different from above)  
 Estimated Date of Completion: \_\_\_\_\_  
 Name of Contractor: \_\_\_\_\_

Contractor Pay Estimate Example (submit with invoice)

PROGRESS PAYMENT FOR WORK DONE ON COUNTY HIGHWAY COUNTY OF YUBA ESTIMATE NO. 1  
 DEPARTMENT OF PUBLIC WORKS

North Beale Road Complete Streets Phase I  
 Contract No. 2016-2241 ESTIMATE PERIOD 6/20/17 TO 6/20/17  
 Federal No. RPSTP/E-5916 (102) FROM: 6/20/17 TO: 6/20/17

CONTRACTOR: R & R Hom, Inc  
 STR: STJLSTJ  
 CITY: Chico CA 95928

Item No.	Description	Quantities of this Estimate	Quantities Previously Estimated	Total Quant Estimated To Date	Units	Contract Price	Amount At Contract Price	Bid Quantity	Bid Amount	Remarks
444B	RCP Class IV	0.00	0.00	0.00	LF	210.00 \$	-	5	1,050.00	
52	Storm Drain American Structure	0.00	0.00	0.00	EA	14,000.00 \$	-	1	14,000.00	
44	Pipe 18" dia	0.00	0.00	0.00	EA	3,000.00 \$	-	1	3,000.00	
444C	Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	7,400.00 \$	-	3	22,200.00	
484C	Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	8,800.00 \$	-	1	8,800.00	
484C	Precast Concrete Pipe Manhole	2.00	0.00	2.00	EA	11,400.00 \$	22,800.00	5	57,000.00	
484C	Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	18,500.00 \$	-	7	129,500.00	
484C	Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	18,500.00 \$	-	7	129,500.00	
51	Detachable Warning Surface	0.00	0.00	0.00	SQYD	144.00 \$	-	1,551	222,840.00	
52	New Concrete (Walk and Guard)	0.00	0.00	0.00	LF	31.00 \$	-	1	31.00	
53	New Concrete (Subwork)	0.00	0.00	0.00	LF	24.00 \$	-	6,117	146,808.00	
54	New Concrete (Curb Sump)	0.00	0.00	0.00	LF	8.00 \$	-	30,943	247,544.00	
54	New Concrete (Curb Sump)	0.00	0.00	0.00	LF	2,240.00 \$	-	16	35,840.00	
54	New Concrete (Curb Sump)	0.00	0.00	0.00	LF	19.00 \$	-	30,943	587,897.00	
54	New Concrete (Curb Sump)	0.00	0.00	0.00	LF	181.00 \$	-	40	7,240.00	
58	Temporary Traffic Signs	0.00	0.00	0.00	LF	8.00 \$	-	1,460	11,680.00	
59	Temporary Traffic Signs	0.00	0.00	0.00	LF	2.00 \$	-	11,800	23,600.00	
60	Temporary Traffic Signs	0.00	0.00	0.00	LF	2.00 \$	-	5,800	11,600.00	
61	Temporary Traffic Signs	0.00	0.00	0.00	LF	15.00 \$	-	5,800	87,000.00	
62	Federated State Signal Removal (N Hook & Lower)	0.00	0.00	0.00	LS	434,500.00 \$	-	1	434,500.00	
63	Federated State Signal Removal (N Hook & Lower)	0.00	0.00	0.00	LS	6,500.00 \$	-	1	6,500.00	
64	Federal Warning Sign Removal (N Hook & Lower)	0.00	0.00	0.00	LS	7,200.00 \$	-	1	7,200.00	
65	Federal Warning Sign Removal (N Hook & Lower)	0.00	0.00	0.00	LS	49,000.00 \$	-	1	49,000.00	
66	Federal Warning Sign Removal (N Hook & Lower)	0.00	0.00	0.00	LS	1,600.00 \$	-	2	3,200.00	
67	Federal Warning Sign Removal (N Hook & Lower)	0.00	0.00	0.00	LS	4,100.00 \$	-	2	8,200.00	
68	Federal Warning Sign Removal (N Hook & Lower)	0.11	0.00	0.11	LS	57,200.00 \$	6,292.00	1	57,200.00	
69	Federal Warning Sign Removal (N Hook & Lower)	0.22	0.00	0.22	LS	136,000.00 \$	31,560.00	1	136,000.00	
MADE BY						DATE	Schedule	\$194,863.60	\$1,067,699.00	
CHECKED BY						DATE	Total Value of Work Done to Date	\$194,863.60		
APPROVED FOR PAYMENT BY						DATE	Total Estimate	\$0.00		
						DATE	Total Due to Date	\$194,863.60		
						DATE	Net Total Estimate	\$0.00		
						DATE	BALANCE DUE THIS ESTIMATE	\$194,863.60		

### 13. For First Consultant Invoices Only:

Verify Exhibit 10-C, Exhibit 10-01, and Exhibit 10-02 are Received Before Invoicing

Local Agencies must have the following documents to get reimbursed for any consultant charges:

#### 1. Exhibit 10-C A&E Consultant Contract Reviewers Checklist:

Check the HQ database and verify if Exhibit 10-C has been received.

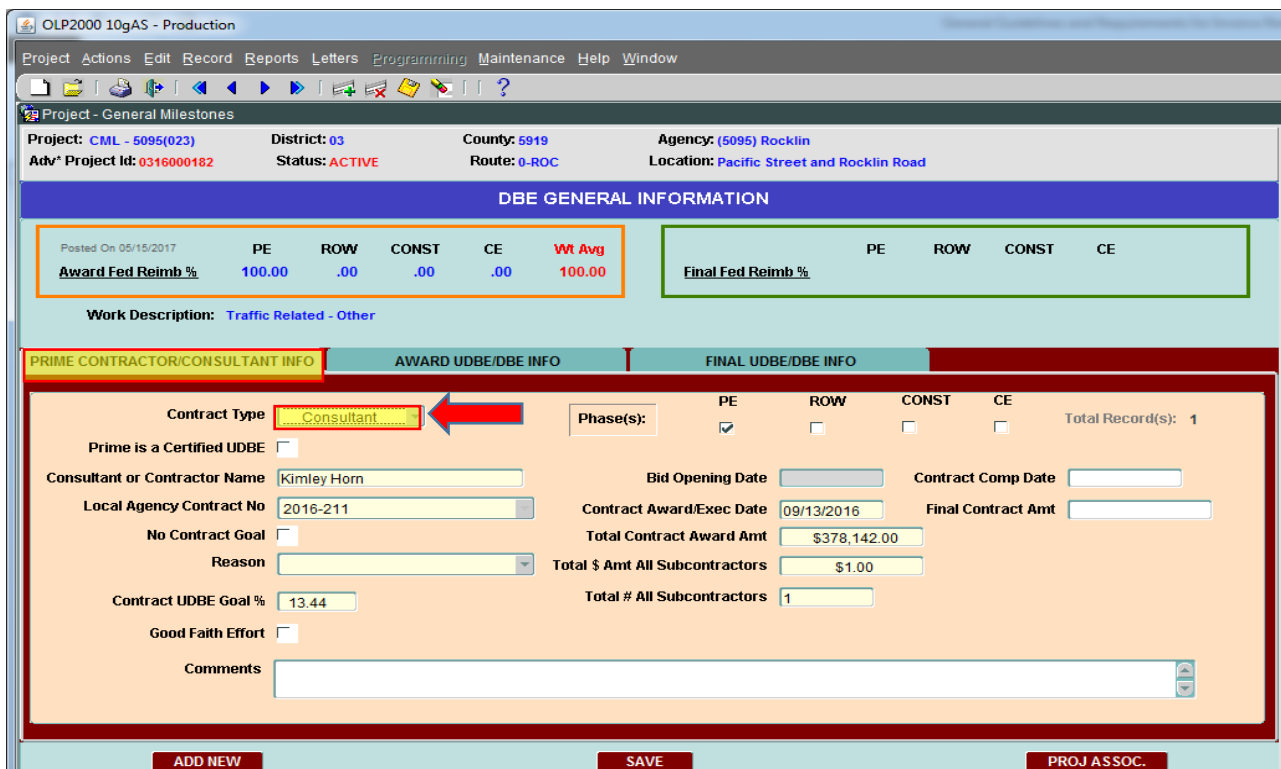
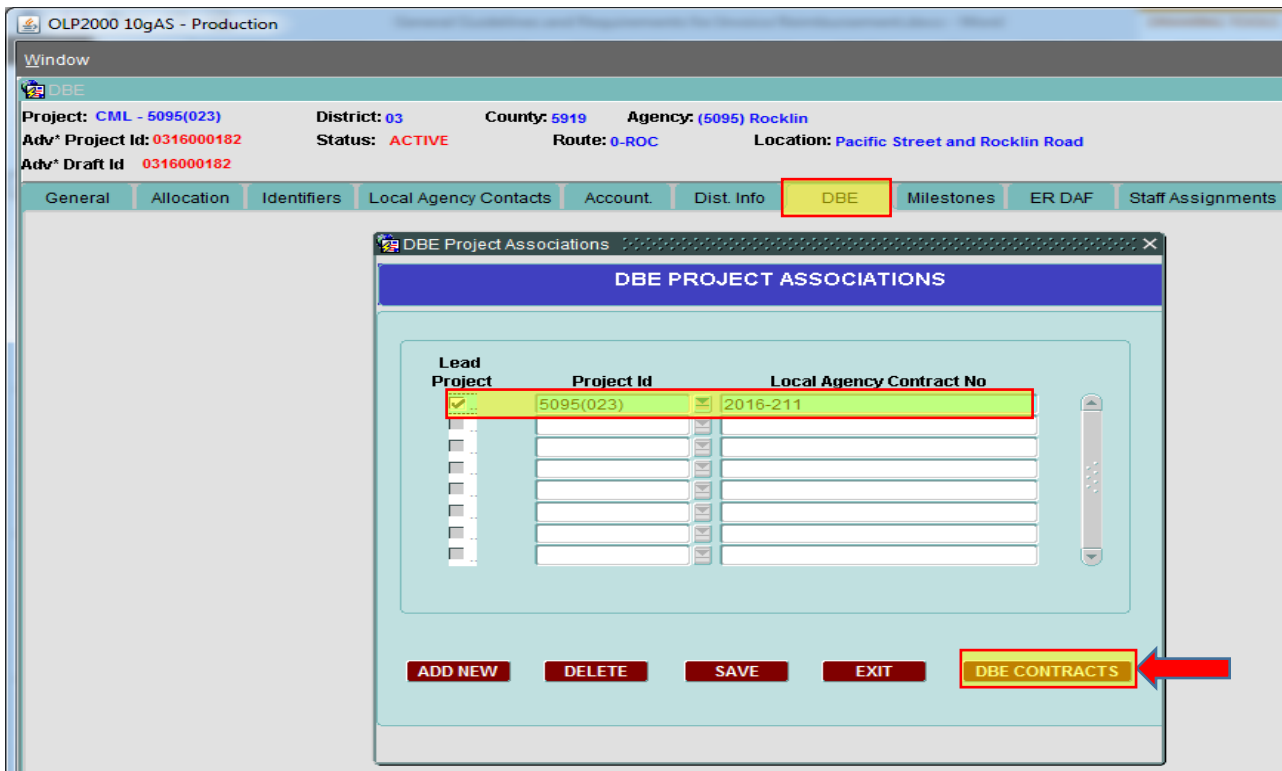
1. Launch the DLA FileMaker Databases and click **“A&E Database.”** Sign in as a guest.
2. Click **“Exhibit 10-C Summary”**
3. To search for a particular Exhibit 10-C, click the **“Perform Find”** button
4. Enter the Local Agency’s locode in the **“Federal/ State #”** box
5. Click **“Perform Find”** button

The screenshot shows the FileMaker Pro interface for the A&E Database. On the left, a list of databases is shown, with 'A&E Database' highlighted by a red arrow labeled '1'. The main window displays the 'Division of Local Assistance A&E DATABASE' with buttons for 'Exhibit 10-C', 'Exhibit 10-U', and 'LPA Manual Approval'. The '10-C Summary' button is highlighted by a red arrow labeled '2'. Below these buttons, a 'Perform Find' button is highlighted by a red arrow labeled '3 and 5'. At the bottom, a search form is visible, with the 'Federal/State #' field highlighted by a red arrow labeled '4'. The search form includes fields for Agency Name, Fed/State #, Contract Begin/End, Contract Amount, Funding, Contract Types, Manual Adopted, and Amend. Term/Amnt. It also has buttons for '10-U Summary', 'Home', '10-U Log', 'Print', and 'Manual Approval'. A 'References' section lists 'DLA-08-11-02', 'Exhibit 10-C', '23\_OCR\_172', and 'GOV-4528-4529.5'. An 'OVERALL TOTAL' table shows counts for Received, Accepted, Not Accepted, Federal-Funded, State-Funded, Small Purchase, and CMSR. A 'Reporting' section has 'Received From:' and 'To:' fields with 'Search', 'Clear', and 'Monthly' buttons. At the bottom, a table header for search results is shown, with columns for Dist. Local Agency, Local Agency #, 10-C Rec'vd Date, Response Date, Days Elapsed, Rev. 10-C Rec'vd Date, Acceptance Date, Accepted By, Days Elapsed, Amend-ment, Planning Avg., Solicitation Avg., Evaluation Avg., and Overall Avg.

2. Exhibit 10-01 Consultant Proposal DBE Commitment and Exhibit 10-02 Consultant Contract DBE Commitment

Check if Exhibit 10-01 and 10-02 have been received and is logged into LP2000.

- In LP2000, select the "DBE" tab and click "DBE CONTRACTS"
- View consultant info under the Consultant contract type in the PRIME CONTRACTOR/CONSULTANT INFO
- View AWARD UDBE/DBE INFO tab



OLP2000 10gAS - Production

Project Actions Edit Record Reports Letters Programming Maintenance Help Window

DBE - Award UDBE/DBE Info

Project: CML - 5095(023) District: 03 County: 5919 Agency: (5095) Rocklin  
 Actv\* Project Id: 0316000182 Status: ACTIVE Route: 0-ROC Location: Pacific Street and Rocklin Road

**DBE GENERAL INFORMATION**

Posted On 05/15/2017	PE	ROW	CONST	CE	Wt Avg
Award Fed Reimb %	100.00	.00	.00	.00	100.00

Final Fed Reimb %	PE	ROW	CONST	CE
-------------------	----	-----	-------	----

Work Description: Traffic Related - Other

PRIME CONTRACTOR/CONSULTANT INFO    **AWARD UDBE/DBE INFO**    LOCAL UDBE/DBE INFO

Consultant or Contractor Name: Kimley Horn    Local Agency Contract No: 2016-211    Contract Award/Exec Date: 09/13/2016  
 Contract UDBE Goal %: 13.44    Total Contract Award Amt: \$378,142.00    Award RC Max: \$50,822.28  
 Phase(s): PE    Total Wt. Avg.% 100.00 %    Fed. Reimb. Amt: \$378,142.00

Work Item No	Contractor Type	DBE Cert No	Firm Information				Award Dollar Amt		Fed Reimb % Calc		Amt Per Sub		Delete Row
			Name	Phone	Ethn	Gend	UDBE	DBE	UDBE	DBE	\$ RC	\$ RN	
2	SUB	30066	HAN-BIN LIANG	(925)941-0017	ASIAN PAI	M	\$47,966.00	\$ 00	\$47,966.00	\$ 00	\$47,966.00	\$ 00	
1	SUB	42001	PATRICIA FERNANDEZ	(530)409-8812	HISPANIC	F	\$16,500.00	\$ 00	\$16,500.00	\$ 00	\$2,856.28	\$13,643.72	
							\$64,466.00	\$ 00	\$64,466.00	\$ 00	\$50,822.28	\$13,643.72	
											13.44 %	3.61 %	

ADD NEW    SNAPSHOT F.L.    SAVE    CALCULATE    PROJ ASSOC.

# 14. Review Checklist for Concurrence

Review the checklist and select concur as applicable. Print your name/phone number in the Caltrans District Reviewer section at the bottom of the checklist.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION Reset Form

**LOCAL AGENCY INVOICE**  
LAPM 5-A (REV 04/2019)

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**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"/>		
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. • Check E-76 Reversion Date (Federal) • Verify Cooperative Work Agreement Approval (Federal / State) • CTC State Allocation Letter Fund Expiration Deadline (State)	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
5 Invoice is consistent with current approved Finance Letter. • Phases of Work • Fund Types (e.g., CMAQ, RSTP, etc.) • Reimbursement Ratios • Available Balance of Federal / State Funds • Costs incurred prior to authorized Agreement End Date (AED)	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> :	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight	All First Consultant Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Submit Exhibits 10-O1 and 10-O2 to DLAE	First Federal Consultant Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Submit Exhibit 10-K to Independent Office of Audits and Investigations	All Consultant Contracts > \$150K	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9B • 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.		<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



## 15. Dispute Invoices (if applicable)

If the invoice needs to be disputed, you can print out the Dispute Letter from LP2000.

Go to **“Milestones,”** then **“Invoice Review.”** From that section, click the **“Print Dispute Notification Letter.”**

The screenshot shows the LP2000 software interface. At the top, there is a menu bar with options like Project, Actions, Edit, Record, Reports, Letters, Programming, Maintenance, Help, and Window. Below the menu bar, there are several tabs: General, Authorization, Allocation, Env. Doc., RW, Prog. Spec., Invoice Review (highlighted in red), and Other. The main area displays a table of progress invoices. The table has columns for Final Invoice?, Billing No., Agency Invoice No., Invoice Amount (\$), Invoice Date, Date District Received, Date District Returned to Agency, Date District Forwarded to Accounting, Date Accounting Received, Date Accounting Returned to Agency, Invoice Amount Reimbursed (\$), Date Accounting Forwarded to SCO, and Comments. The first row shows an invoice for \$97,151.26 dated 08/28/17, with a date district received of 08/30/17 and a date district forwarded to accounting of 08/31/17. The second row shows an invoice for \$77,558.32 dated 07/25/17, with a date district received of 08/16/17. Below the table, there are two buttons: 'Print Dispute Notification Letter' (highlighted with a red box and a red arrow) and 'Print Invoice Review Checklist'.

Select the areas from the list and / or write other comments on the box provided. Click **“Print Letter”** when done.

Add comments – exact dispute reasons, next submittal is 2A and new date

The screenshot shows the 'Dispute Notice Letter' dialog box. It has a title bar with 'Dispute Notice Letter' and standard window controls. The main area is titled 'Dispute Notification Letter Options' and contains several fields and checkboxes. There are three text boxes for 'Contact:', 'Address:', and 'City:', each with a yellow checkmark to its right. Below these are several checkboxes for dispute reasons: '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', and 'Lapsed Appropriation'. There is an 'Other:' label followed by a text box. Below that is a large yellow text area for 'Comments:'. At the bottom, there is an 'Accounting' checkbox, a 'Signature:' label, and a text box. At the very bottom, there are three buttons: 'Print Letter' (highlighted with a red box and a red arrow), 'eMail Letter', and 'EXIT'.

Local Agency Invoice  
Dispute Notification Letter

Local Agency: Yuba County  
Attention: Tim Young  
Address: 915 8th Street, Suite 123

Date: 09/05/17  
Dist - Co - Rte: 03-5916-0-CR  
Project Number: 5916(102)  
Invoice Number: 2  
Invoice Amount: \$97,151.26

City, State, Zip: Marysville, CA 95901

- 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
- Other: identify fatal flaws not listed on the above.

Comments: List all the fatal flaws, how to correct it and how to re-submit the invoice in sequence (i.e. 2A)

If you have any questions please contact your Local Assistance District Area Engineer.

Ferdinand Batatan

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District Local Assistance Engineer

## 16. Log the Invoice Information in LP2000

It is imperative that data is collected for all invoices to effectively and efficiently train agencies in the deficient areas.

- a. Select Invoice Review tab
- b. Enter the Billing No.
- c. Check Final Invoice box as appropriate
- d. Enter agency invoice number. It is important that you put **P\_** followed by the invoice number for the new LAPM 5-A invoices so data can be tracked.
- e. Enter invoice amount (\$)
- f. Enter Invoice Date
- g. Enter Date District Received Invoice
- h. Enter Date District Returned to Agency, if applicable
- i. Enter Date District Forwarded to Accounting
- j. Enter District Review Time (in min.)
- k. Enter Invoice Errors/Omissions. **Make sure to list all errors (e.g., pencil corrections, fatal flaws, etc.). This will help identify the specific deficiencies, provide agency with data, and to better focus agency training.**

OLP2000 12cAS - Production

Project Actions Edit Record Reports Letters Programming Maintenance Help Window

Project - Progress Invoice

Project: BRLO - 5919(099) District: 03 County: 5919 Agency: (5919) Placer County  
 Adv\* Project Id: 0300020732 Status: ACTIVE Route: 0-CR Location: Yankee Jim Road at North Fork American River 1.5 miles west of Shirttail Canyon Rc

Entered by District  Entered by Accounting  Entered by All

General Authorization Allocation Env. Doc. R/W Prog. Spec. **Invoice Review** Other

Billing No.	Final Invoice?	Agency Invoice No.	Invoice Amount (\$)	Invoice Date	Date District Received	Date District Returned to Agency	Date District Forwarded to Accounting	District Review Time (In Min.)	Invoice Errors/Omissions	Date Accounting Received	Date Accounting Returned To Agency	Comments
16	<input type="checkbox"/>	P_RC1509	\$44,398.76	06/14/18	06/21/18		06/21/18	30	Billing summary doe	06/26/18		
15	<input type="checkbox"/>	P_RC1499	\$54,010.96	05/14/18	05/18/18		05/21/18	10		05/23/18		
14	<input type="checkbox"/>	RC1480	\$95,074.80	04/10/18	04/13/18		04/16/18			04/17/18		
13	<input type="checkbox"/>	RC1455	\$10,608.03	12/04/17	12/08/17		12/11/17			12/13/17		
12	<input type="checkbox"/>	RC1425	\$36,621.10	07/26/17	07/31/17		08/01/17			08/03/17		
11	<input type="checkbox"/>	RC1391	\$16,413.48	03/22/17	03/28/17		03/30/17			04/04/17		
10	<input type="checkbox"/>	RC1334	\$29,693.68	07/15/16	07/26/16		07/26/16			07/28/16		
9	<input type="checkbox"/>	RC1310	\$19,024.16	03/20/16	04/04/16		04/05/16			04/06/16		
8	<input type="checkbox"/>	RC1260	\$10,346.66	01/05/16	01/08/16		01/11/16			01/12/16		
7	<input type="checkbox"/>	RC1204	\$36,750.94	07/24/15	07/27/15		07/29/15			07/31/15		

Print Dispute Notification Letter Print Invoice Review Checklist

Progress Invoices

# 17. Scan, Save, and Mail LAPM 5-A and Applicable Documents to Local Program Accounting (LPA)

Scan and save all pages of the LAPM 5-A, contractor pay estimate for construction invoices only, and inactive flag if applicable. Mail the original signed LAPM 5-A, contractor pay estimate for construction invoices only, and inactive flag if applicable to LPA for processing. Do not send any other supporting documentation to LPA unless requested.

## LAPM 5-A (Four Sections)

**SECTION 1: INVOICE**

Local Agency Name: [City of Sacramento] (SA 000000)  
 Project No: [11191000000] (SA 000000)  
 Invoice No: [0001\_211690] (SA 000000)  
 Billing No: [N/A]

Contract Description: [Construction Services for Highway 99] (SA 000000)  
 Invoice Date: [07/01/2021]

Invoice Type:  Final  Progress  Retention

Authorized Personnel:  PE  GC  NE  CE  SA

Federal Appropriation Code: [ ]  
 State Appropriation Code: [ ]  
 Local Agency Code: [ ]

Subtotal: \$1,946,861.61  
 Total: \$1,946,861.61

**SECTION 2: DIRECT COST CALCULATION**

Phase	PE	GAP	PS&E	R&M	CE	N
Total Invoice Costs to Date	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**SECTION 2: BILLING SUMMARY**

Invoice No.	Invoice Date	Invoice Amount	Invoice Type
0001_211690	07/01/2021	\$1,946,861.61	Final

Comments: [ ]

**SECTION 4: CHECKLIST**

Local Agency Name: [City of Sacramento] (SA 000000)  
 Project No: [11191000000] (SA 000000)  
 Invoice No: [0001\_211690] (SA 000000)

1. Executed Program Approval Agreement (PAA) on the with Local Agency:  Pending Approval  N/A  Complete

2. Submitted all required and completed Local Agency invoices (LAPM 5-A) which include:  Invoice  Invoice Cost Calculation  Direct Cost Calculation  Direct Cost Calculation  Invoice  Invoice  Invoice  Invoice  Invoice  Invoice

3. Invoices were submitted after 25th of the month prior to the invoice date:  All Invoices  Pending Approval  N/A

4. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

5. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

6. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

7. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

8. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

9. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

10. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

11. Invoices were submitted with the following information:  All Invoices  Pending Approval  N/A

## Contractor Pay Estimate Example (for construction invoices)

PROGRESS PAYMENT FOR WORK DONE ON COUNTY HIGHWAY

COUNTY OF YUBA DEPARTMENT OF PUBLIC WORKS ESTIMATE No. 1

North Beale Road Complete Streets Phase I

Contract No.: 2016-2241 ESTIMATE PERIOD: From: 5/1/2017 To: 6/30/2017 CONTRACTOR: R & R Iron, Inc. STREET: PO Box 6657 CITY: Chico CA 95928

Item No.	Description	Quantity	Unit	Contract Price	Amount At Invoice	Bid Amount	Remarks
41244	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41245	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41246	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41247	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41248	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41249	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41250	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41251	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41252	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41253	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41254	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41255	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41256	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41257	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41258	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41259	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41260	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41261	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41262	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41263	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41264	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41265	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41266	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41267	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41268	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41269	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41270	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41271	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41272	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41273	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41274	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41275	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41276	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41277	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41278	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41279	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41280	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41281	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41282	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41283	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41284	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41285	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41286	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41287	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41288	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41289	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41290	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41291	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41292	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41293	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41294	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41295	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41296	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41297	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41298	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41299	3" CP Concrete	0.10	LF	359.60	-	1,740.00	
41300	3" CP Concrete	0.10	LF	359.60	-	1,740.00	

MATERIAL BY: [Signature] DATE: 7/1/21  
 CHECKED BY: [Signature] DATE: 7/1/21  
 APPROVED FOR PAYMENT BY: [Signature] DATE: 7/1/21

Total Value of Work Done to Date: \$194,686.16

Year Deductions: \$100.00  
 Total Due to Date: \$194,586.16

BALANCE DUE THIS ESTIMATE: \$194,586.16

## Inactive Cover (if applicable)

# Inactive Project Status:

Current/Future

## Please Prioritize Invoice

## Invoice Review Steps At-A-Glance

1	Verify LAPM 5-A Local Agency Invoice is complete
2	Use the <b>Finance Letter</b> to verify Authorized Phases, Appropriation Codes, Reimbursement Ratios, and Authorized Funds
3	Launch <b>E-76 Project Authorization</b> from FADS
4	Use the <b>E-76</b> to verify Participating Cost “From” Date on the Invoice <b>is</b> the E-76 Authorization Date. Work Performed “From” Dates on the Billing Summary are <b>On or After</b> the E-76 Authorization Date
5	Use the <b>Finance Letter</b> to verify Participating Cost “To” Date on the Invoice and Work Performed “To” Dates on the Billing Summary are <b>On or Before</b> the Agreement End Date
6	Use the <b>Cooperative Work Agreement (CWA) Information in LP2000 Database</b> to verify possible Expired/Lapsed/De-obligated Funds
7	<u>For State Funded Projects:</u> Use the <b>CTC Allocation Letter</b> to verify State Allocation Date and Available Funds
8	<u>For Local Agency Indirect Cost Rates:</u> Use the Independent Office of Audits and Investigations (IOAI) spreadsheet to verify authorized local agency indirect cost rates
9	Use the <b>Current and Previous Invoices</b> to verify Inactive Project, Sequential Billing Number, Total Participating Costs to Date, and Funds Remaining
10	<u>For Billing #1:</u> Use the Current Invoice and Billing Summary to cross check the amounts claimed (for reference only) <u>For Subsequent Billing #s:</u> Use the Current Invoice, Previous Invoice, and Billing Summary to cross check the amounts claimed
11	<u>For First Construction and/or Consultant Invoices Only:</u> Verify <b>Award Information in LP2000 Database</b>
12	<u>For First Construction Invoices Only:</u> Ensure <b>Contractor Pay Estimate</b> and <b>Exhibit 15-L</b> (Federal Projects) or <b>Exhibit 22-A</b> (ATP Projects) or <b>Exhibit 23-A</b> (STIP Projects) are Received <b>Before</b> Invoicing
13	<u>For First Consultant Invoices Only:</u> Verify <b>Exhibit 10-C, Exhibit 10-01, and Exhibit 10-02</b> are Received <b>Before</b> Invoicing
14	Review <b>Checklist</b> for Concurrence
15	Create Invoice <b>Dispute Letter</b> if applicable
16	Log Invoice Information in <b>LP2000</b>
17	Scan, Save, and Mail Original LAPM 5-A and Required Documentation to Local Program Accounting

