Local Agency Invoice Review

STANDARD OPERATING PROCEDURE FOR CALTRANS DISTRICT LOCAL ASSISTANCE INVOICE REVIEWERS

DIVISION OF LOCAL ASSISTANCE

MAY 20, 2019

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.).

Table of Contents

1. Verify LAPM 5-A Local Agency Invoice Is Complete 4

2. Use the Finance Letter to Verify Authorized Phases, Appropriation Codes, Reimbursement Ratios, and Authorized Funds 7

3. Launch E-76 Project Authorization from Federal Aid Data System (FADS) 8

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. 9

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 10

6. Use the Cooperative Work Agreement (CWA) Information in LP2000 Database to Verify Possible Expired/Lapsed/De-Obligated Funds 11

7. For State Funded Projects: Use the CTC Allocation Letter to Verify State Allocation Date and Available Funds for State Funded Projects 12

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 13

9. Use the Current and Previous Invoices to Verify Inactive Project, Sequential Billing Number, Total Participating Costs to Date, and Funds Remaining 15

10. For Billing #1, Use the Current Invoice and Billing Summary to Cross Check Amounts Claimed (for reference only)..... 16

11. For First Construction and/or First Consultant Invoices Only: 18

Verify Award Information in LP2000 18

12. For First Construction Invoices Only: 19

13. For First Consultant Invoices Only: 20

14. Review Checklist for Concurrence 23

15. Dispute Invoices (if applicable) 24

16. Log the Invoice Information in LP2000 26

17. Scan, Save, and Mail LAPM 5-A and Applicable Documents to Local Program Accounting (LPA) 27

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
LOCAL AGENCY INVOICE
LAPM 5-A (REV 03/2019)

Instructions | Reset Form | Print Invoice

03/08/2019

SECTION 1: INVOICE

RECEIVED NOV 12 2015

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Room 2000 Sacramento, CA 95814	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	☐

Project Description
North 12th Street from American River to H Street

Fund Type(s): ☒ Federal ☐ State

Authorized Phase(s): ☒ PE ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ FA

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
LOCAL AGENCY INVOICE
LAPM 5-A (REV 03/2019)

Instructions | Reset Form | Print Invoice

03/08/2019

SECTION 1: INVOICE

RECEIVED NOV 12 2015

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Room 2000 Sacramento, CA 95814	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	☐

Project Description
North 12th Street from American River to H Street

Fund Type(s): ☒ Federal ☐ State

Authorized Phase(s): ☒ PE ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ FA

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)

Instructions | Reset Form | Print Invoice

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

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)

Instructions | Reset Form | Print Invoice

SECTION 3: BILLING SUMMARY

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

Preliminary Engineering

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

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Reset Form

SECTION 4: CHECKLIST

Local Agency Name: _____

Billing No: _____ Federal / State Project No: _____

		Frequency	Local Agency Confirm	Local Agency N/A	Caltrans Concur
1	**Executed Program Supplement Agreement (PSA) on file with Local Agency.**	All Invoices	☐		
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	☐		☐
3	Reimbursable work claimed is after E-76 (Federal Authorization to Proceed) date and/or California Transportation Commission (CTC) State Allocation date.	All Invoices	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
9A	All consultant agreements / amendments must follow the Caltrans procurement and oversight processes outlined in Local Assistance Procedures Manual Chapter 10.	All Invoices	☐	☐	☐
	The following Exhibits must be sent to and received by the appropriate entities prior to invoicing:				
	• Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight	All First Consultant Invoices	☐	☐	☐
	• Submit Exhibits 10-O1 and 10-O2 to DLAE	First Federal Consultant Contracts	☐	☐	☐
	• Submit Exhibit 10-K to Independent Office of Audits and Investigations	All Consultant Contracts > $150K	☐	☐	
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.		☐	☐	☐
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	☐	☐	☐
11	Submit contractor pay estimate with Billing Summary.	Construction Invoices	☐	☐	☐

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): ☒ Federal ☒ State

Authorized Phase(s): ☐ PE ☒ E&P ☐ PS&E ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ NI ☐ 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:	06/24/16	
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 Previou			
Funds Remai			

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

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

Attention: City of Sacramento

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL TAP M3E1	FEDERAL TAP Z301	LOCAL	OTHER
Enviromental 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 ATPL-5002(179)

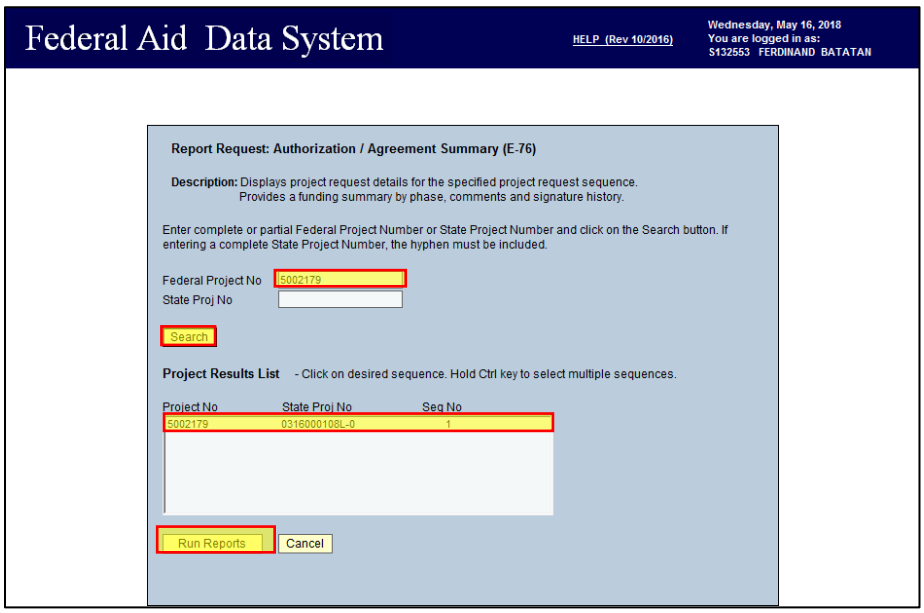
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	Cooperative Work Agreement APPROVED AMOUNT	Cooperative Work Agreement EXPIRATION DATE
0316000108	15108F	2030720100	F	$120,000.00	1415	$120,000.00	$0.00	06/30/20		
0316000108	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 SUMM

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

Environmental Studies and Permits			
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates) From	To	Vendor Receipt Number (if applicable)
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

FEDERAL AID PROGRAM
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:

PROJECT LOCATION:
NORTH 12TH STREET FROM AMERICAN RIVER TO H STREET
TYPE OF WORK:
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:

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
M3E1	10	15				

FUNDING SUMMARY

PHASE		PROJECT COST	FEDERAL COST	AC COST
PE	PREV. OBLIGATION	$0.00	$0.00	$0.00
	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

STATE REMARKS

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.****

FEDERAL REMARKS

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

PREPARED IN FADS BY: BATATAN, FERDINAND ON 2016-02-01 741-5704
REVIEWED IN FADS BY: YANG, ALBERT ON 2016-02-08 651-0015
SUBMITTED IN FADS BY: AMBROSINI, ADAM ON 2016-02-11 FOR CALTRANS
PROCESSED IN FADS BY: HUEY, SHUN ON 2016-02-11 FOR FHWA
E-76 AUTHORIZED DATE IN FMIS BY: TASIA 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 <u>On or Before</u> 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	

SECTION 3: BILLING SUMM

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

Environmental Studies and Permits			
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates) From	Work Performed (Dates) To	Vendor Receipt Number (if applicable)
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

Participating Cost "To" Date is **Before** AED Date

Work Performed "To" Dates are **Before** AED Date

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

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

Attention: City of Sacramento

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL TAP M3E1	FEDERAL TAP Z301	LOCAL	OTHER
Enviromental 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 ATPL-5002(179)

ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	Cooperative Work Agreement APPROVED AMOUNT	Cooperative Work Agreement 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

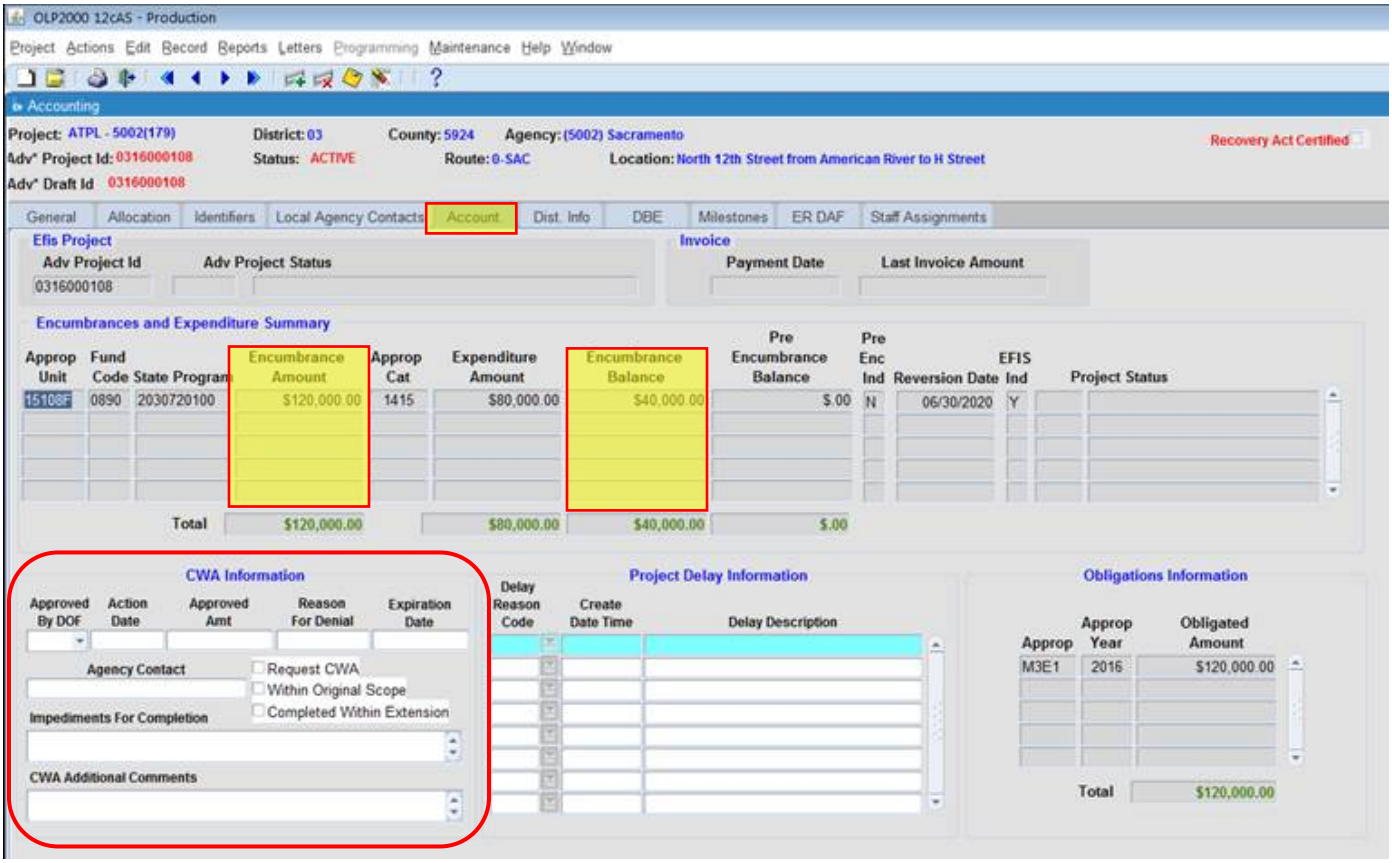
There are two cases when you need to verify if there is a CWA in place for potential lapsed, expired, or de-obligated funds for the applicable phases.

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:



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:

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

DEPARTMENT OF TRANSPORTATION
Division of Local Assistance, MS1
1120 N STREET
P. O. BOX 942873
SACRAMENTO, CA 94273-0001
PHONE (916) 654-5266
FAX (916) 654-6608
TTY (916) 653-4086

Flex your power!
Be energy efficient!

February 5, 2016

03-SAC-0-SAC
ATPL-5002(179)
Adv ID: 0316000108
PPNO: 03-1685
Request No.: 1

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 12th 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	
Senate District No.: 06 Assembly District No.: 07	Amount Programmed	State Budget Year	Amount Previously Allocated	This Request
PA&ED	$ 120,000	2014-15	$0	$ 120,000
FEDERAL FUNDS				**$ 120,000**

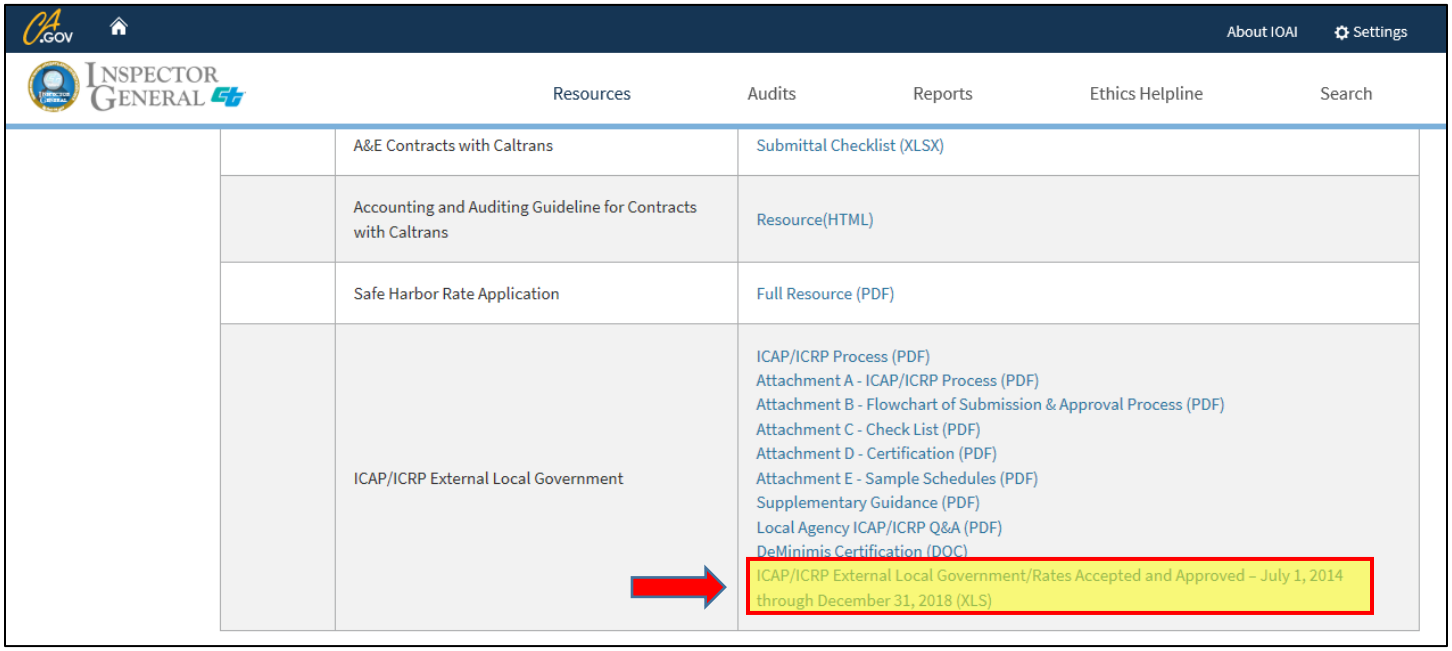
This allocation makes available $120,000 of Federal funds and $0 of State (or State-only) funds for a total of $120,000.

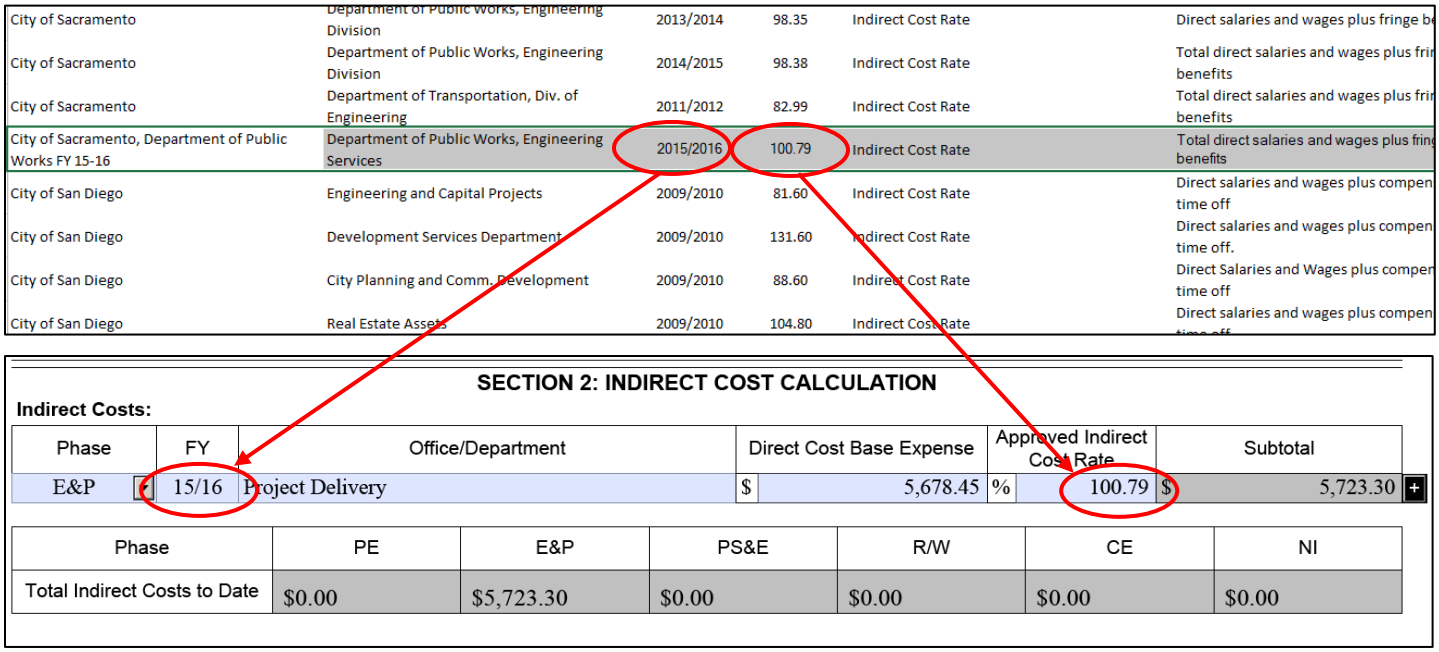
For State-only funded projects, the effective date of allocation serves as the authorization to proceed and establishes the date for the start of reimbursable work.

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.





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

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.

Rate Type	Effective Period	Rate*	Applicable To
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

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Rm 2000 Sacramento, CA 95814	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_T151600	1	☐

Project Description: North 12th Street from American River to H Street

Fund Type(s): ☒ Federal ☒ State

Authorized Phase(s): ☐ PE ☒ E&P ☐ PS&E ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ NI ☐ 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:	06/24/16	
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

Current Invoice

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Rm 2000 Sacramento, CA 95814	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	☐

Project Description:

Fund Type(s): ☒ Federal ☒ State

Authorized Phase(s): ☐ PE ☒ E&P ☐ PS&E ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ NI ☐ 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	
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. ATPL-5002(179)

Environmental Studies and Permits

Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates) From	Work Performed (Dates) To	Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
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
				$46,842.55	$45,712.99	$1,129.56
Total Participating Cost:						**$1,129.56**

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Rm 2000 Sacramento, CA 95814	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_T151600	1	☐

Project Description: North 12th Street from American River to H Street

Fund Type(s): ☒ Federal ☒ State

Authorized Phase(s): ☐ PE ☒ E&P ☐ PS&E ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ NI ☐ 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:	06/24/16	

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

A B C D

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) From	To	Vendor Receipt Number (if applicable)	Total Direct Cost (for current invoice period only)	Less Non-Participating Cost	Total Cost
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
				$289,275.41	$213,896.26	$75,379.15
Total Participating Cost:						$75,379.15

F G H

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	915 I Street, Rm 2000 Sacramento, CA 95814	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	☐

Project Description

Fund Type(s): ☒ Federal ☒ State

Authorized Phase(s): ☐ PE ☒ E&P ☐ PS&E ☐ R/W ☐ R/W Util ☐ R/W Eng ☐ R/W Acq ☐ CE ☐ CON ☐ NI ☐ FA

		Environmental Studies and Permits	Total
State Allocation Date		01/21/16	
Federal Appropriation Code		M3E1	
Participating Cost (E-76 Auth. Date)	From:	02/16/17	
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	$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
TOTAL INVOICE AMOUNT:			$	71,800.00

E

A + F

B + G

D

(E + H) x Reimbursement Ratio %

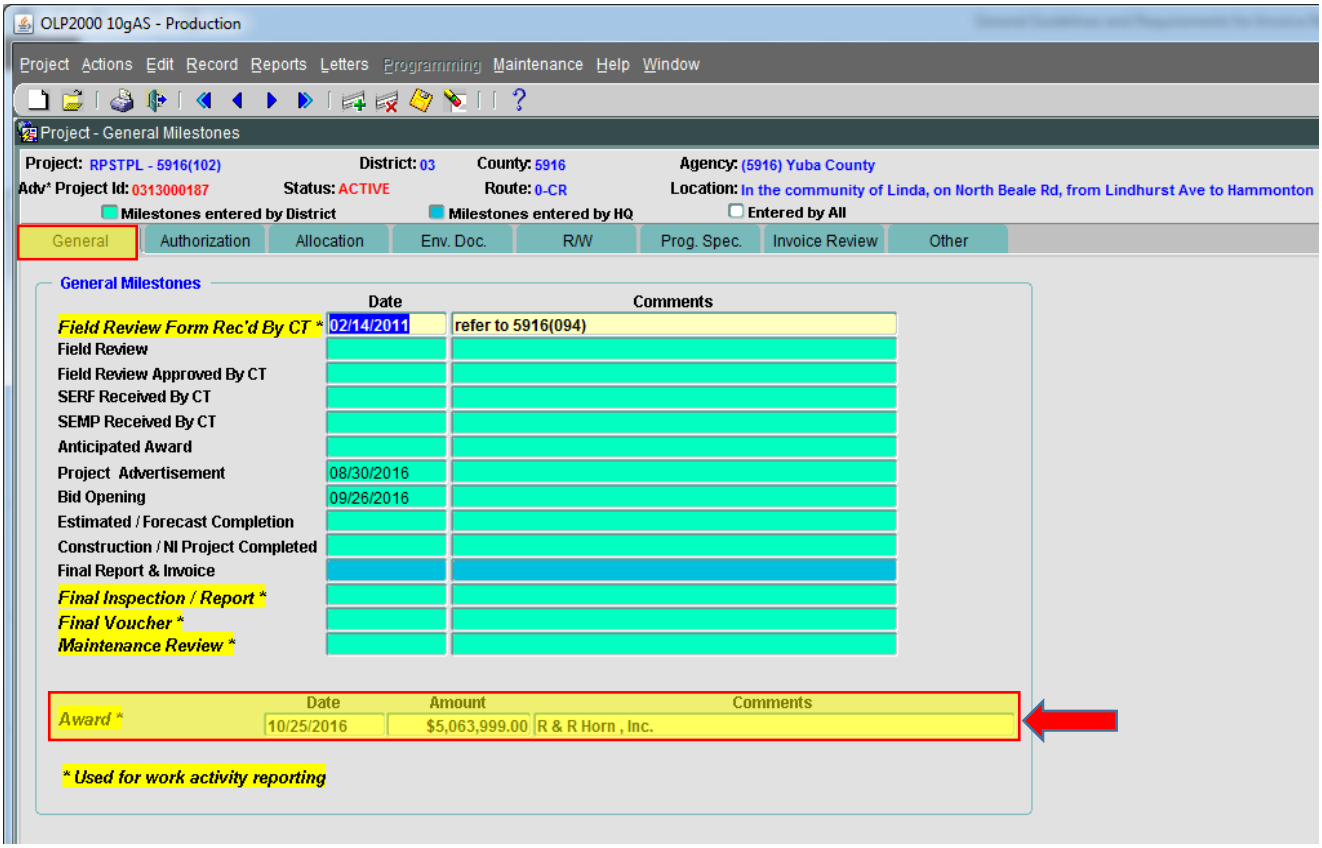
Refer to your **Finance Letter**

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.



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 ☐ n/a ☐
Construction Contract DBE Commitment (Exhibit 15-G)	to be attached
Is the Non-Collusion Affidavit (Exhibit 12-H, Sample Bid) included in the low bidders' 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 *	(date)
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 DLAE shall review the explanation and determine if the local agency is eligible for federal funds.

*** 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.**

Reviewed by: _____
(Signature of Administered Agency Representative)

_____
(Name printed or typed)

Title: _____

Date: _____

Phone Number: _____

Distribution: 1) Original plus one copy –DLAE
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

North Beale Road Complete Streets Phase 1

Contract No. : 2016-2241
Federal No. RPSTPLE-5916 (102)

COUNTY OF YUBA
DEPARTMENT OF PUBLIC WORKS

ESTIMATE PERIOD From: 6/1/2017 To: 6/30/2017

ESTIMATE No. 1 — Page 2

CONTRACTOR:
NAME: R & R Horn, Inc.
STREET: PO Box 6607
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 Prices	Bid Quantity	Bid Amount	Remarks
42	48" RCP Class IV	0.00	0.00	0.00	LF	350.00	$ -	5	$ 1,750.00	
43	Storm Drain Junction Structure	0.00	0.00	0.00	EA	74,000.00	$ -	1	$ 74,000.00	
44	Field Inlet	0.00	0.00	0.00	EA	3,900.00	$ -	3	$ 11,700.00	
45	48" Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	7,400.00	$ -	3	$ 22,200.00	
46	60" Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	8,800.00	$ -	11	$ 96,800.00	
47	72" Precast Concrete Pipe Manhole	2.00	0.00	2.00	EA	11,400.00	$ 22,800.00	5	$ 57,000.00	
48	96" Precast Concrete Pipe Manhole	0.00	0.00	0.00	EA	18,200.00	$ -	2	$ 36,400.00	
49	6" PCC Commercial Driveway	0.00	0.00	0.00	SQFT	10.00	$ -	13,600	$ 136,000.00	
50	Minor Concrete (Curb)	0.00	0.00	0.00	LF	44.00	$ -	1,551	$ 68,244.00	
51	Detectable Warning Surface	0.00	0.00	0.00	SQFT	31.00	$ -	725	$ 22,475.00	
52	Minor Concrete (Curb and Gutter)	0.00	0.00	0.00	LF	25.00	$ -	6,117	$ 152,925.00	
53	Minor Concrete (Sidewalk)	0.00	0.00	0.00	SQFT	8.00	$ -	30,640	$ 245,120.00	
54	Minor Concrete (Curb Ramp)	0.00	0.00	0.00	EA	2,250.00	$ -	16	$ 36,000.00	
55	Chain Link Fence (Type CL-6)	0.00	0.00	0.00	LF	45.00	$ -	100	$ 4,500.00	
55(P)	ADA Compliant Handrail	0.00	0.00	0.00	LF	181.00	$ -	40	$ 7,240.00	
57(P)	Pedestrian Railing	0.00	0.00	0.00	LF	199.00	$ -	560	$ 89,040.00	
58	Thermoplastic Traffic Stripe	0.00	0.00	0.00	LF	0.70	$ -	11,400	$ 7,980.00	
59	Thermoplastic Pavement Marking	0.00	0.00	0.00	SQFT	5.50	$ -	6,300	$ 34,650.00	
60	Pavement Marker (Retroreflective)	0.00	0.00	0.00	EA	13.00	$ -	50	$ 650.00	
61	Street Lighting - Phase 1	0.00	0.00	0.00	LS	434,500.00	$ -	1	$ 434,500.00	
62	Pedestrian Xing Signal Removal (N Beale & Lower)	0.00	0.00	0.00	LS	6,700.00	$ -	1	$ 6,700.00	
63	Un-Roadway Warning Light Removal (N Beale & Park)	0.00	0.00	0.00	LS	7,200.00	$ -	1	$ 7,200.00	
64	Rapid Response Flashing Beacon (N Beale & Park)	0.00	0.00	0.00	LS	49,000.00	$ -	1	$ 49,000.00	
65	Remove Lighting Standard	0.00	0.00	0.00	EA	1,600.00	$ -	2	$ 3,200.00	
66	Guard Post	0.00	0.00	0.00	EA	330.00	$ -	2	$ 660.00	
67	Acceptance Testing and Sampling	0.11	0.00	0.11	LS	57,000.00	$ 6,270.00	1	$ 57,000.00	
68	Mobilization	0.25	0.00	0.25	LS	126,000.00	$ 31,500.00	1	$ 126,000.00	
						Subtotal	$194,863.65		$5,063,899.00	
	Total Value of Work Done to Date						$194,863.65			
						Total Deductions	$0.00			
						Total Due to Date	$194,863.65			
						Previous Payments	$0.00			
						BALANCE DUE THIS ESTIMATE	$194,863.65			

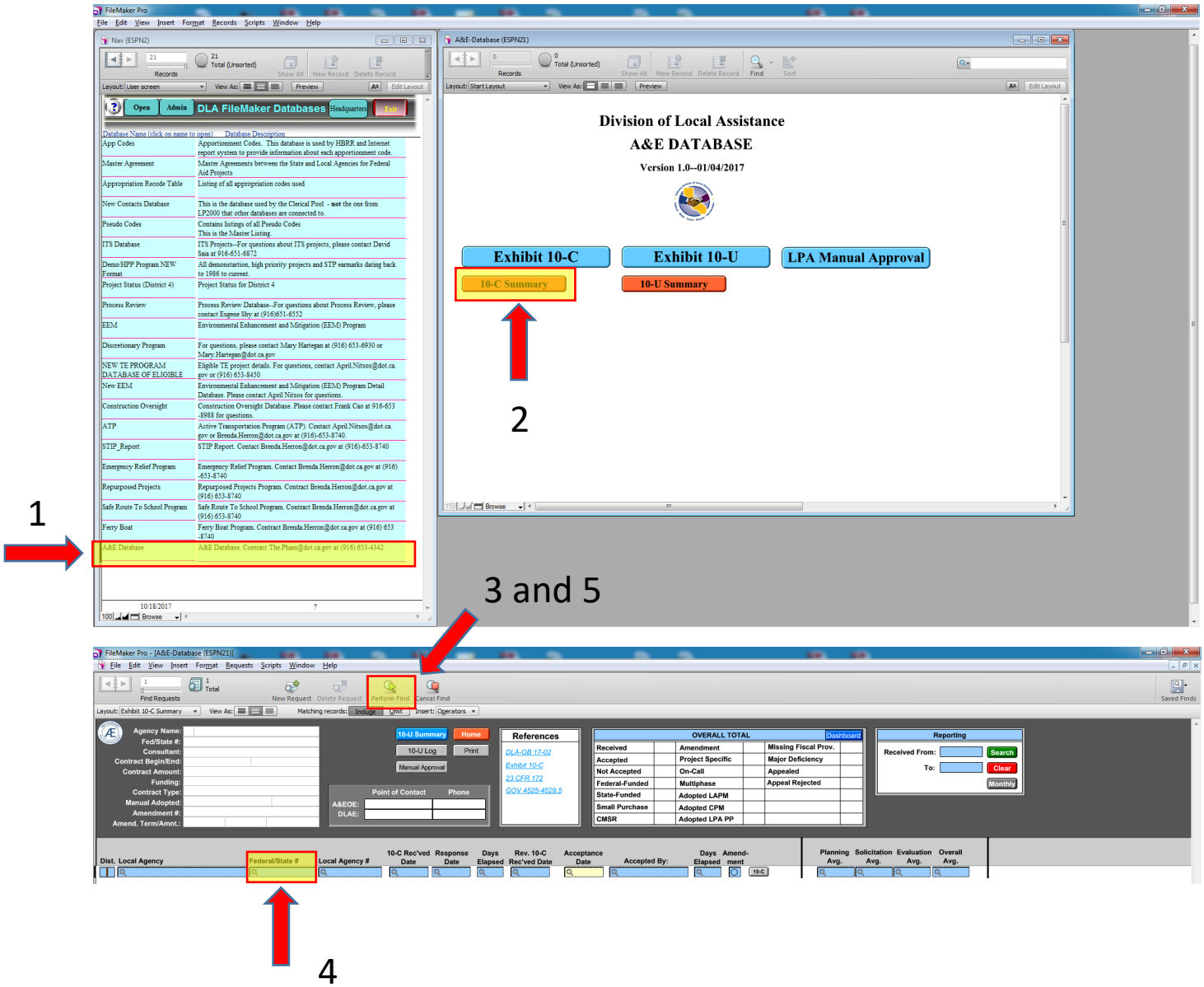
MADE BY: _____ DATE: 7/5/17
CHECKED BY: _____ DATE: 7/5/17
APPROVED FOR PAYMENT BY: _____ DATE: 7/5/17

13. For First Consultant Invoices Only:

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

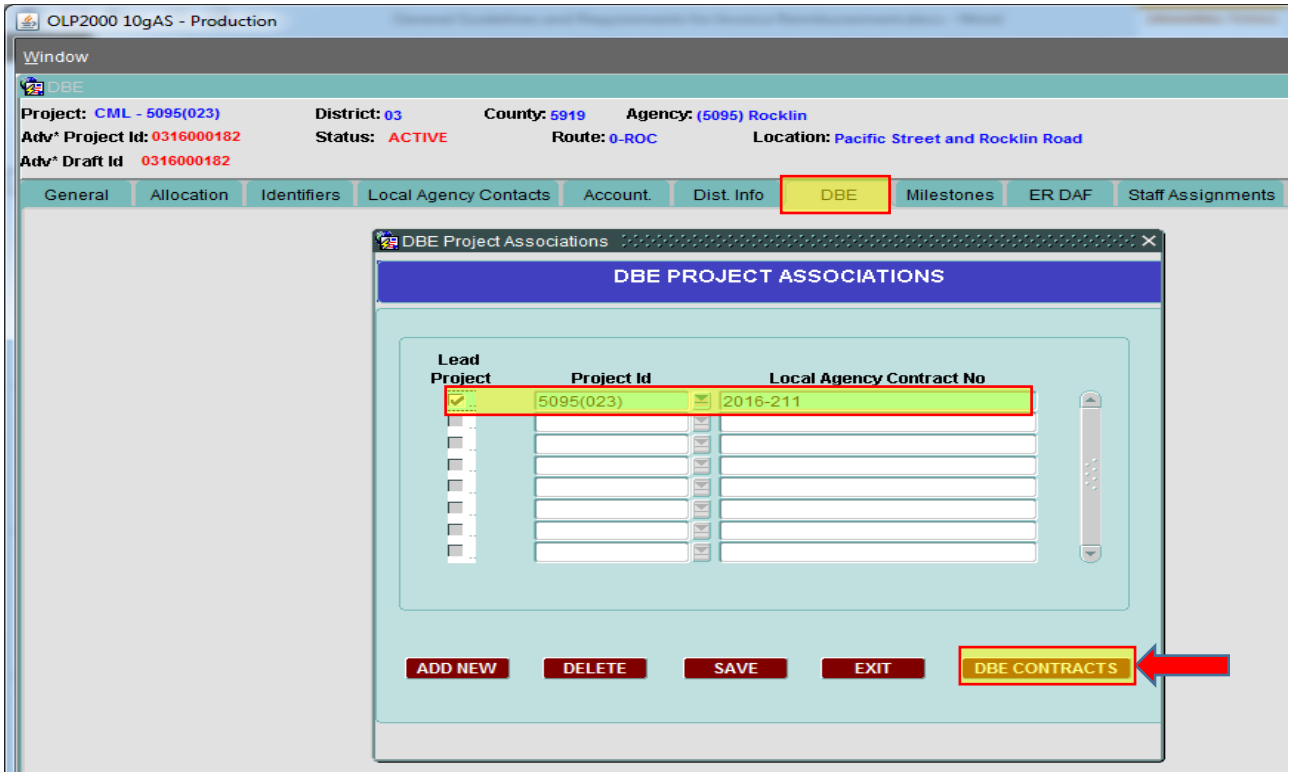
Local Agencies must have the following documents to get reimbursed for any consultant charges:

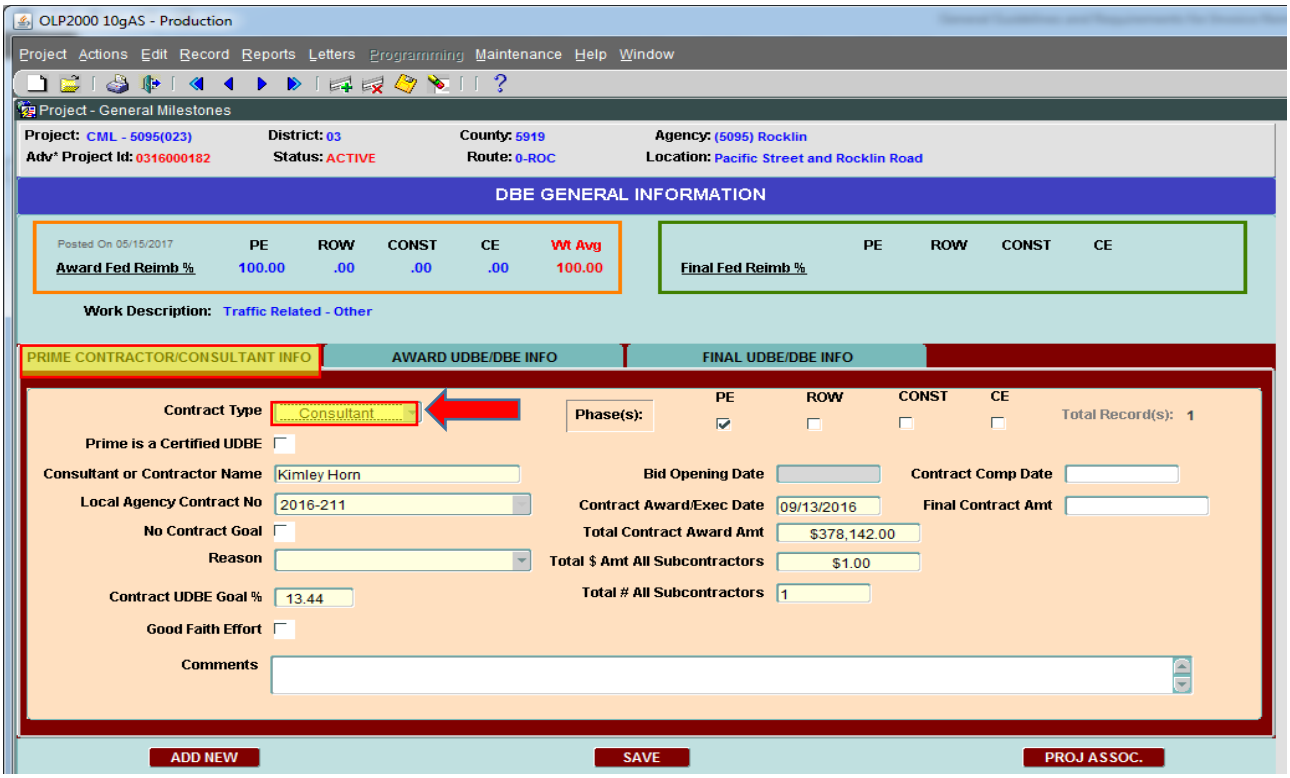
1. **Exhibit 10-C A&E Consultant Contract Reviewers Checklist:**
   Check the HQ database and verify if Exhibit 10-C has been received.
   1. Launch the DLA FileMaker Databases and click "**A&E Database.**" Sign in as a guest.
   2. Click "**Exhibit 10-C Summary"**
   3. To search for a particular Exhibit 10-C, click the **"Perform Find"** button
   4. Enter the Local Agency's locode in the "**Federal/ State #"** box
   5. Click "**Perform Find**" button



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.

   a. In LP2000, select the "**DBE**" tab and click "**DBE CONTRACTS**"
   b. View consultant info under the Consultant contract type in the PRIME CONTRACTOR/CONSULTANT INFO
   c. 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

Adv* 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

	PE	ROW	CONST	CE
Final Fed Reimb %				

Work Description: Traffic Related - Other

PRIME CONTRACTOR/CONSULTANT INFO | AWARD UDBE/DBE INFO | AL 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 Name	Phone	Ethn	Gend	Award Dollar Amt UDBE	DBE	Fed Reimb % Calc UDBE	DBE	Amt Per Sub $ RC	$ RN	Delete Row
2	SUB	30066	HAN-BIN LIANG	(925)941-0017	ASIAN PA(	M	$47,966.00	$.00	$47,966.00	$.00	$47,966.00	$.00	
1	SUB	42001	PATRICIA FERNANDE	(530)409-8612	HISPANIC	F	$16,500.	$.0(	$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

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Reset Form

SECTION 4: CHECKLIST

Local Agency Name: _____

Billing No: _____ Federal / State Project No: _____

		Frequency	Local Agency Confirm	Local Agency N/A	Caltrans Concur
1	**Executed Program Supplement Agreement (PSA) on file with Local Agency.**	All Invoices	☐		
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	☐		☐
3	Reimbursable work claimed is after E-76 (Federal Authorization to Proceed) date and/or California Transportation Commission (CTC) State Allocation date.	All Invoices	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
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	☐		☐
9A	All consultant agreements / amendments must follow the Caltrans procurement and oversight processes outlined in Local Assistance Procedures Manual Chapter 10.	All Invoices	☐	☐	☐
	The following Exhibits must be sent to and received by the appropriate entities prior to invoicing:				
	• Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight	All First Consultant Invoices	☐	☐	☐
	• Submit Exhibits 10-O1 and 10-O2 to DLAE	First Federal Consultant Contracts	☐	☐	☐
	• Submit Exhibit 10-K to Independent Office of Audits and Investigations	All Consultant Contracts > $150K	☐	☐	
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.		☐	☐	☐
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	☐	☐	☐
11	Submit contractor pay estimate with Billing Summary.	Construction Invoices	☐	☐	☐

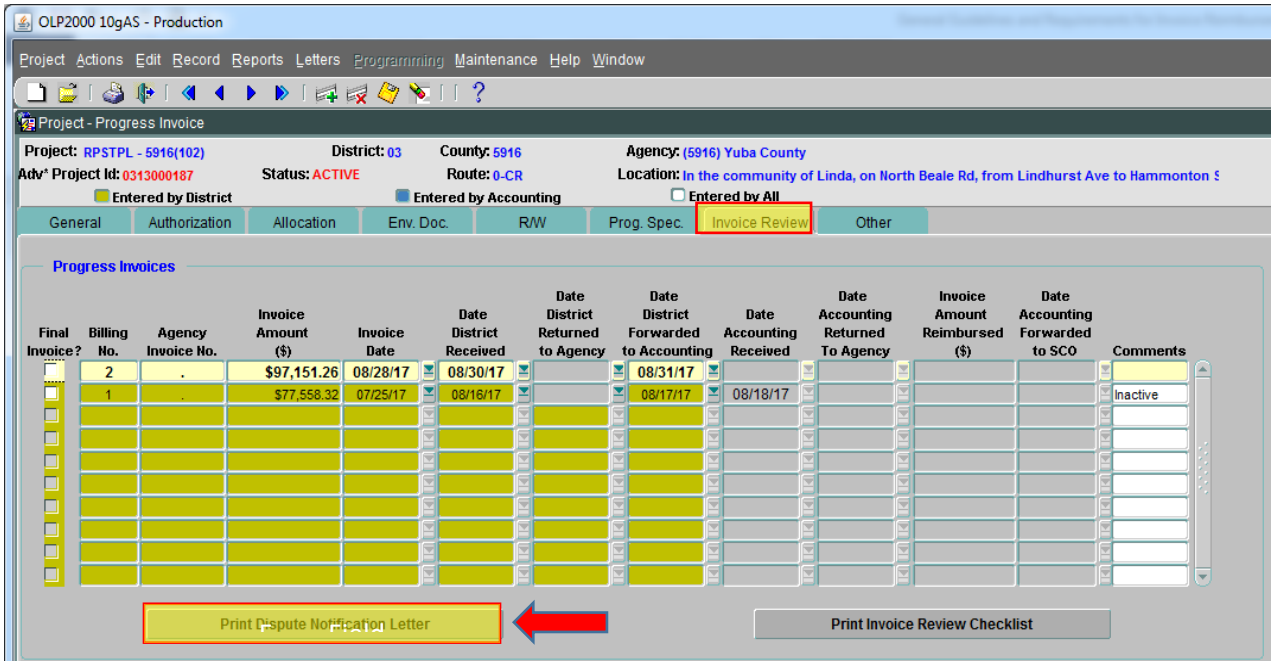
Signature of Local Agency Representative _____ Date _____ Print Name and Title _____

Signature of Caltrans District Reviewer _____ Date _____ Print Name/Title/Phone Number _____

Comments

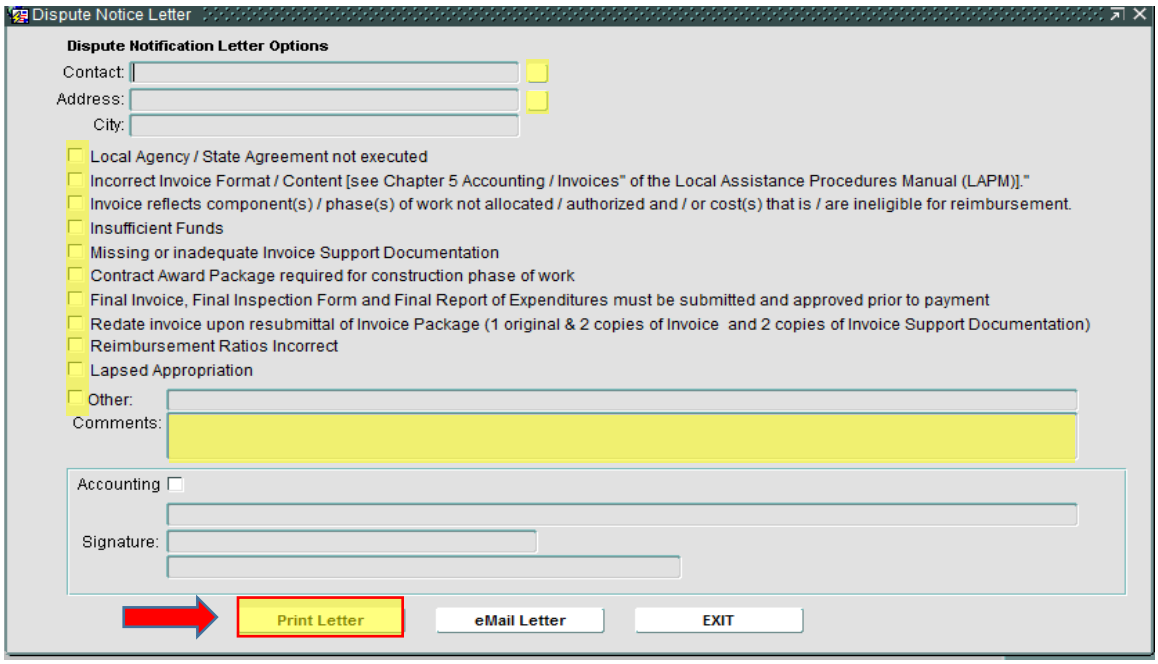
15. Dispute Invoices (if applicable)

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.**"



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



Local Agency Invoice
Dispute Notification Letter

Local Agency:	Yuba County	Date:	09/05/17
Attention:	Tim Young	Dist - Co - Rte:	03-5916-0-CR
Address:	915 8th Street, Suite 123	Project Number:	5916(102)
		Invoice Number:	2
City, State, Zip:	Marysville, CA 95901	Invoice Amount:	$97,151.26

- ☐ 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: identtify 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.

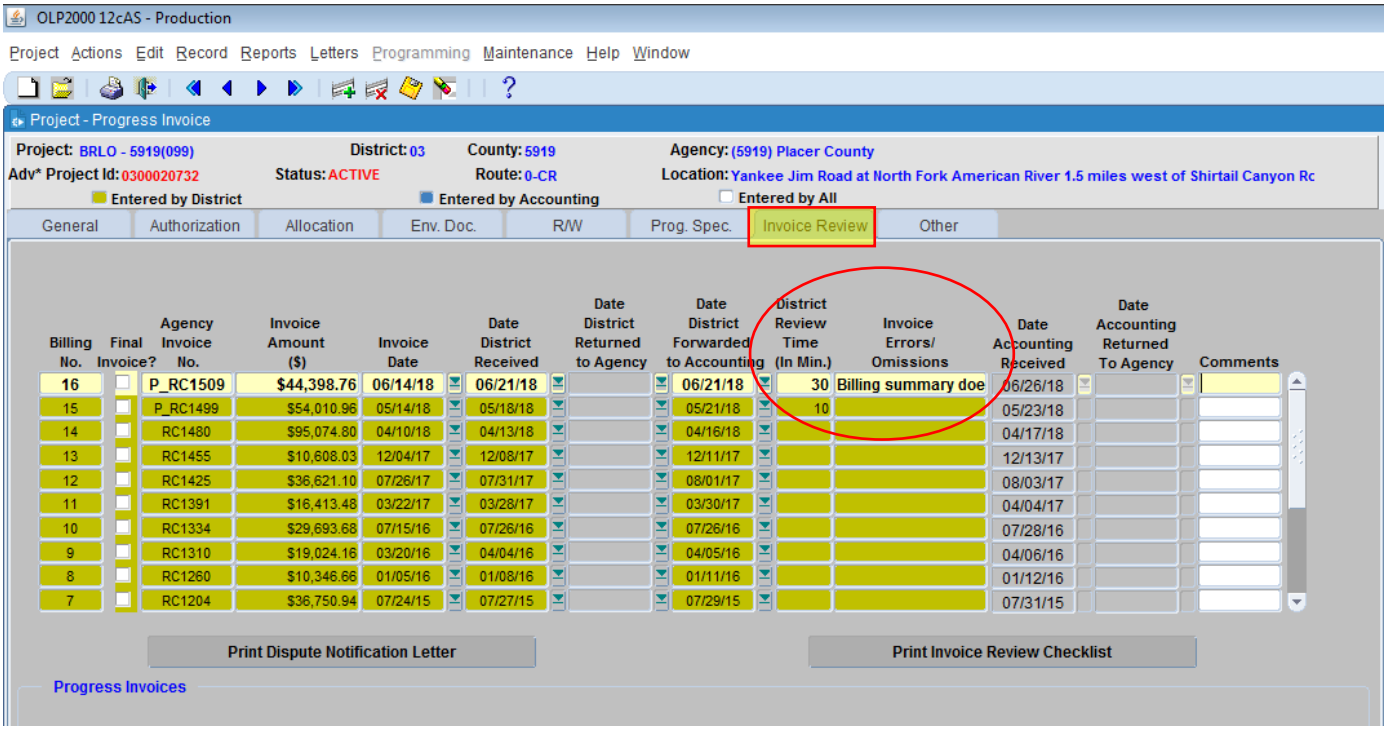
Ferdinand Batatan

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.**

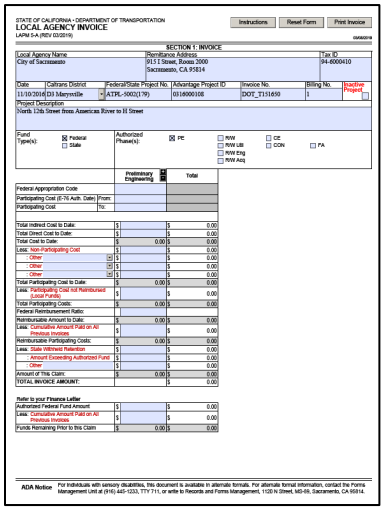


Billing No.	Final Invoice?	Agency Invoice No.	Invoice Amount ($)	Invoice Date	Date District Received	Date District Returned to Agency	Date District Forwarded to Accounting	District Review Time (In Min.)	Invoice Errors/ Omissions	Date Accounting Received	Date Accounting Returned To Agency	Comments
16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

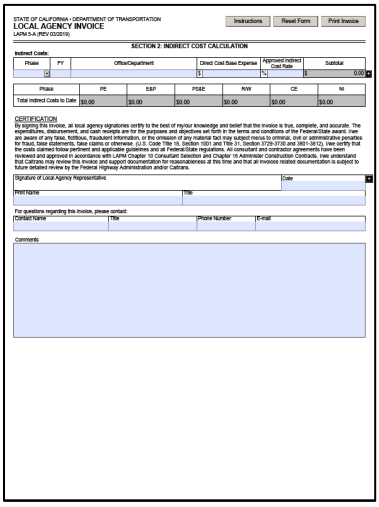
17. Scan, Save, and Mail LAPM 5-A and Applicable Documents to Local Program Accounting (LPA)

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.

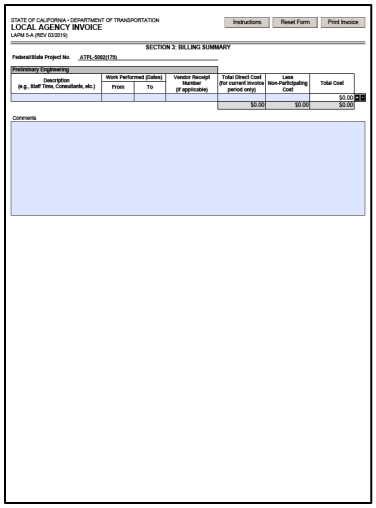
LAPM 5-A (Four Sections)


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

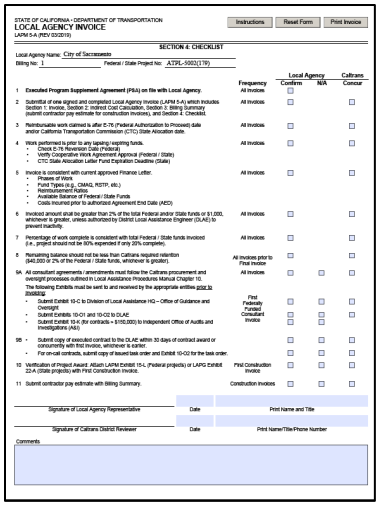
SECTION 1: INVOICE


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

SECTION 2: INDIRECT COST CALCULATION

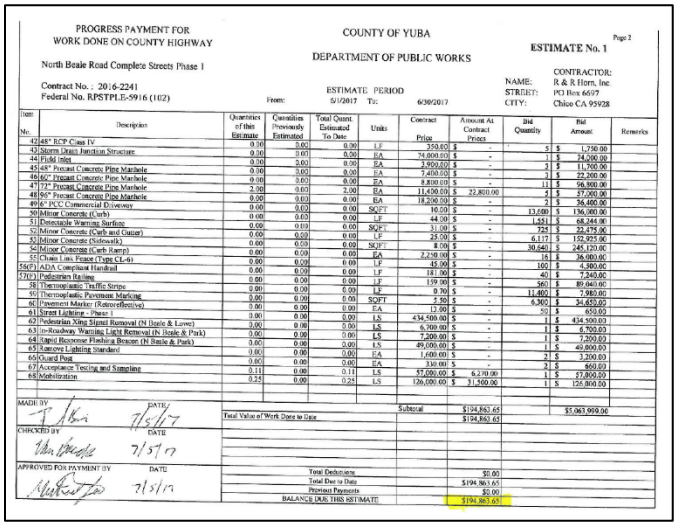

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
LOCAL AGENCY INVOICE
LAPM 5-A (REV 03/2019)

SECTION 3: BILLING SUMMARY


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

SECTION 4: CHECKLIST

Contractor Pay Estimate Example (for construction invoices)


PROGRESS PAYMENT FOR
WORK DONE ON COUNTY HIGHWAY

North Beale Road Complete Streets Phase 1

Contract No. : 2016-2241
Federal No. RPSTPLE-5916 (102)

COUNTY OF YUBA

DEPARTMENT OF PUBLIC WORKS

ESTIMATE No. 1

Page 2

ESTIMATE PERIOD
From: 5/1/2017 To: 6/30/2017

CONTRACTOR:
NAME: R & R Horn, Inc.
STREET: PO Box 6607
CITY: Chico CA 95928

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 **Finance Letter** to verify Authorized Phases, Appropriation Codes, Reimbursement Ratios, and Authorized Funds
3	Launch **E-76 Project Authorization** from FADS
4	Use the **E-76** to verify Participating Cost "From" Date on the Invoice **is** the E-76 Authorization Date. Work Performed "From" Dates on the Billing Summary are **On or After** the E-76 Authorization Date
5	Use the **Finance Letter** to verify Participating Cost "To" Date on the Invoice and Work Performed "To" Dates on the Billing Summary are **On or Before** the Agreement End Date
6	Use the **Cooperative Work Agreement (CWA) Information in LP2000 Database** to verify possible Expired/Lapsed/De-obligated Funds
7	For State Funded Projects: Use the **CTC Allocation Letter** to verify State Allocation Date and Available Funds
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
9	Use the **Current and Previous Invoices** to verify Inactive Project, Sequential Billing Number, Total Participating Costs to Date, and Funds Remaining
10	For Billing #1: Use the Current Invoice and Billing Summary to cross check the amounts claimed (for reference only) For Subsequent Billing #s: Use the Current Invoice, Previous Invoice, and Billing Summary to cross check the amounts claimed
11	For First Construction and/or Consultant Invoices Only: Verify **Award Information in LP2000 Database**
12	For First Construction Invoices Only: Ensure **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
13	For First Consultant Invoices Only: Verify **Exhibit 10-C, Exhibit 10-01, and Exhibit 10-02** are Received **Before** Invoicing
14	Review **Checklist** for Concurrence
15	Create Invoice **Dispute Letter** if applicable
16	Log Invoice Information in **LP2000**
17	Scan, Save, and Mail Original LAPM 5-A and Required Documentation to Local Program Accounting