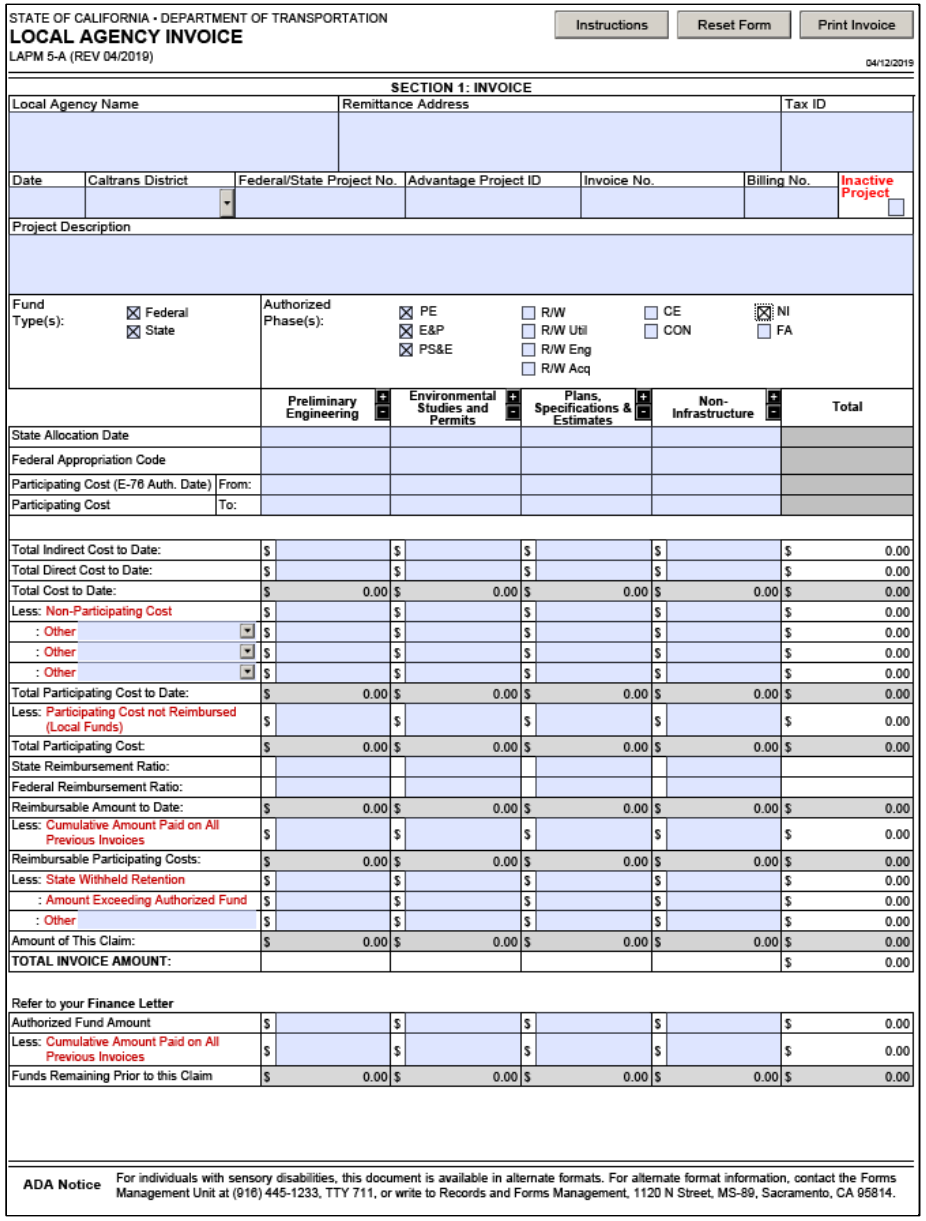
Local Agency Invoice Training

Training Topics

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



STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Instructions | Reset Form | Print Invoice

04/12/2019

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID

Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
						☐

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

		Preliminary Engineering	Environmental Studies and Permits	Plans, Specifications & Estimates	Non-Infrastructure	Total
State Allocation Date						
Federal Appropriation Code						
Participating Cost (E-76 Auth. Date)	From:					
Participating Cost	To:					
Total Indirect Cost to Date:		$	$	$	$	$ 0.00
Total Direct Cost to Date:		$	$	$	$	$ 0.00
Total Cost to Date:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
Less: Non-Participating Cost		$	$	$	$	$ 0.00
: Other		$	$	$	$	$ 0.00
: Other		$	$	$	$	$ 0.00
: Other		$	$	$	$	$ 0.00
Total Participating Cost to Date:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
Less: Participating Cost not Reimbursed (Local Funds)		$	$	$	$	$ 0.00
Total Participating Cost:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
State Reimbursement Ratio:						
Federal Reimbursement Ratio:						
Reimbursable Amount to Date:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
Less: Cumulative Amount Paid on All Previous Invoices		$	$	$	$	$ 0.00
Reimbursable Participating Costs:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
Less: State Withheld Retention		$	$	$	$	$ 0.00
: Amount Exceeding Authorized Fund		$	$	$	$	$ 0.00
: Other		$	$	$	$	$ 0.00
Amount of This Claim:		$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
TOTAL INVOICE AMOUNT:						$ 0.00

Refer to your **Finance Letter**

Authorized Fund Amount	$	$	$	$	$ 0.00
Less: Cumulative Amount Paid on All Previous Invoices	$	$	$	$	$ 0.00
Funds Remaining Prior to this Claim	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

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

Form Instructions

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

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Instructions | Reset Form | Print Invoice

04/12/2019

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Back to Form | Print Instructions

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

SECTION 1: INVOICE

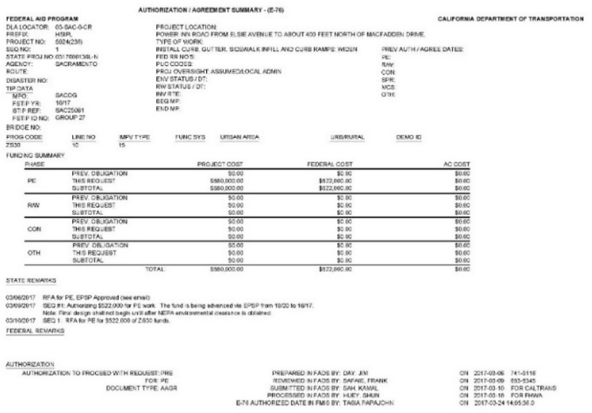
Field	Instructions
Local Agency Name	Enter your agency name.
Remittance Address	Enter your agency remittance address. **Note:** If Electronic Funds Transfer (EFT) payment is set up with Caltrans Local Program Accounting (LPA), use that address to avoid reimbursement delay. If there is a change of the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

Funding Source Documents

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

These source documents include:

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



AUTHORIZATION / AGREEMENT SUMMARY - (E-76)

FEDERAL AID PROGRAM — CALIFORNIA DEPARTMENT OF TRANSPORTATION

DLA LOCATOR: 03-SAC-0-CR
PREFIX: HSIPL
PROJECT NO: 5924(235)
SEQ NO: 1
STATE FED NO 03-7066136L-N
AGENCY: SACRAMENTO
ROUTE:
DISASTER NO:
TIP DATA
MPO: SACOG
FSTP YR: 16/17
STP REF: SAC25081
FSTP ID NO: GROUP 27
BR DOC NO:

PROJECT LOCATION
POWER INN ROAD FROM ELSIE AVENUE TO ABOUT 400 FEET NORTH OF MACFADDEN DRIVE
TYPE OF WORK:
INSTALL CURB, GUTTER, SIDEWALK INFILL AND CURB RAMPS IN/ON
FED RR NO'S:
PUC CODES:
PROJ OVERSIGHT ASSUMED:LOCAL ADMIN
ENV STATUS / DT:
RW STATUS / DT:
INV STE:
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
2530	12	15				

FUNDING SUMMARY

PHASE		PROJECT COST	FEDERAL COST	AC COST
PE	PREV OBLIGATION	$0.00	$0.00	$0.00
	THIS REQUEST	$580,000.00	$522,000.00	$0.00
	SUBTOTAL	$580,000.00	$522,000.00	$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	$580,000.00	$522,000.00	$0.00

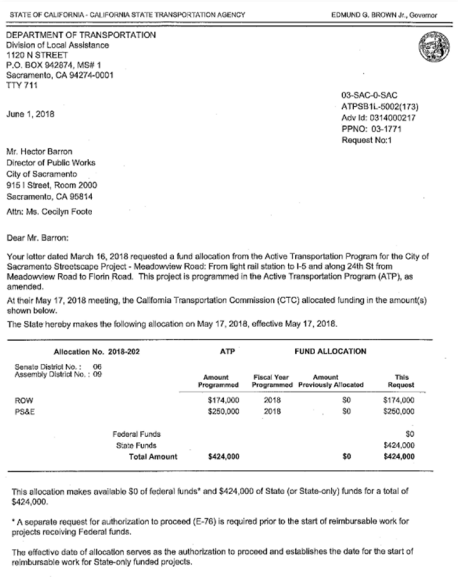
STATE REMARKS

03/06/2017 RFA for PE, EPSP Approved (see email)
03/09/2017 SEQ #1: Authorizing $522,000 for PE work. The fund is being advanced via EPSP from 16/20 to 16/17.
Note: Final design shall not begin until after NEPA environmental clearance is obtained.
03/10/2017 SEQ 1 RFA for PE for $522,000 of Z530 funds.

FEDERAL REMARKS

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

PREPARED IN FACS BY: DAV JIM — ON 2017-03-06 741-5118
REVIEWED IN FACS BY: SAFAKE, FRANK — ON 2017-03-09 653-5345
SUBMITTED IN FACS BY: SAH, KAMAL — ON 2017-03-10 FOR CALTRANS
PROCESSED IN FACS BY: HUEY, SHUN — ON 2017-03-10 FOR FHWA
E-76 AUTHORIZED DATE IN FMIS BY: TASIA PAPAJOHN — ON 2017-03-24 14:05:36.0



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

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

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

June 1, 2018

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

Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

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

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

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

Allocation No. 2018-202 — ATP — FUND ALLOCATION

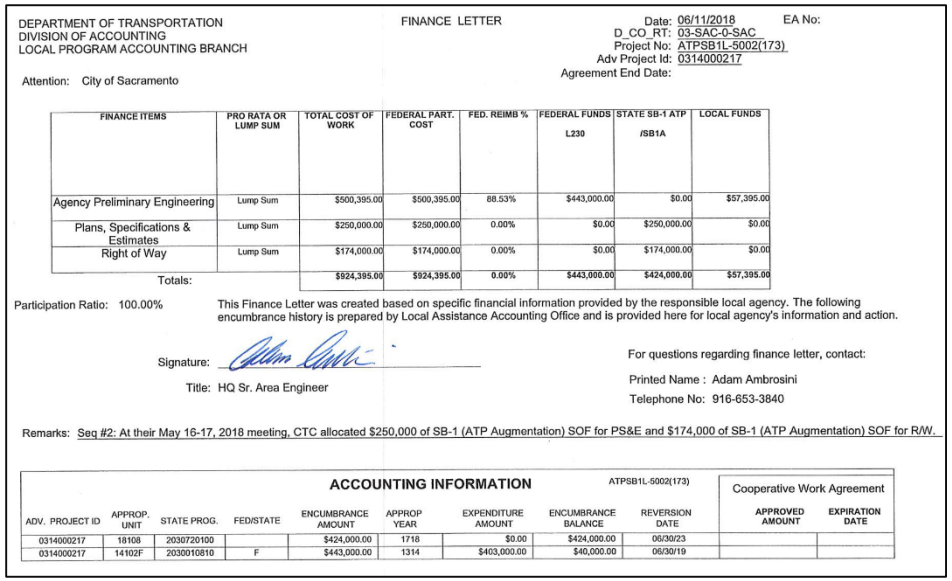
Senate District No. : 06
Assembly District No. : 09

	Amount Programmed	Fiscal Year Programmed	Amount Previously Allocated	This Request
ROW	$174,000	2018	$0	$174,000
PS&E	$250,000	2018	$0	$250,000
Federal Funds				$0
State Funds				$424,000
Total Amount	$424,000		$0	$424,000

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

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

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



DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

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

Attention: City of Sacramento

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

Participation Ratio: 100.00%

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

Signature:

Title: HQ Sr. Area Engineer

For questions regarding finance letter, contact:

Printed Name : Adam Ambrosini
Telephone No: 916-653-3840

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

ACCOUNTING INFORMATION — ATPSB1L-5002(173)

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
0314000217	18108	2030720100		$424,000.00	1718	$0.00	$424,000.00	06/30/23		
0314000217	14102F	2030010810	F	$443,000.00	1314	$403,000.00	$40,000.00	06/30/19		

Click on any document to see a larger image

Invoice Header

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Instructions | Reset Form | Print Invoice

04/12/2019

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID

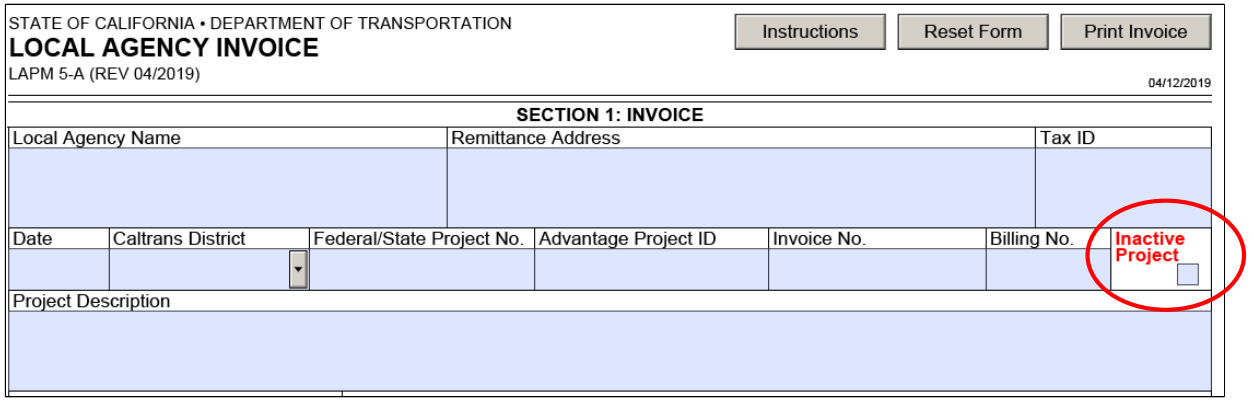
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project

Project Description

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

Inactive Projects

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


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

Instructions | Reset Form | Print Invoice

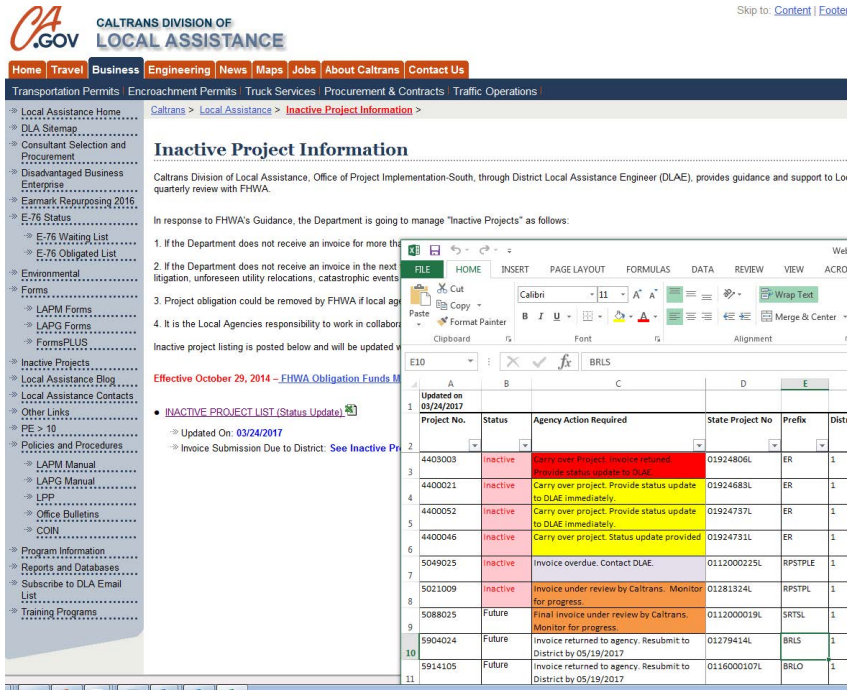
04/12/2019

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID

Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
						☐

Project Description


CA.GOV CALTRANS DIVISION OF LOCAL ASSISTANCE

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Caltrans > Local Assistance > Inactive Project Information >

Inactive Project Information

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

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

1. If the Department does not receive an invoice for more the
2. If the Department does not receive an invoice in the next litigation, unforeseen utility relocations, catastrophic events
3. Project obligation could be removed by FHWA if local ag
4. It is the Local Agencies responsibility to work in collabor

Inactive project listing is posted below and will be updated

Effective October 29, 2014 – FHWA Obligation Funds M

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

Updated on 03/24/2017

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

Fund Types and Phases of Work

1. Refer to the signed Finance Letter to find federal and/or state fund types. Then check the box(es) for the appropriate fund types on the invoice.

2. Refer to the signed Finance Letter to find the authorized phases of work under the Finance Items column. Then check the box(es) for the appropriate authorized phases on the invoice.

SECTION 1: INVOICE

Local Agency Name	Remittance Address	Tax ID
City of Sacramento	Engineering Services Division 915 I street, RM 1900 Sacramento, GA 59812	1354

Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
10/01/2018	D3 Marysville	ATPSB1L-5002(173)	0314000217	SAC_DOT_2	2	☐

Project Description
Streetscape Project on Meadowview Road: From light rail station to I-5 and along 24th St from Meadowview Road to Florin Road.

Fund Type(s): ☒ 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

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

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

Attention: City of Sacramento

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

State Allocation Date

1. Refer to the California Transportation Commission Allocation Letter to find the state allocation date.

2. Transfer that date into the state allocation date field on the invoice for the specified phases of work.

Fund Type(s):	☒ Federal ☒ State	Authorized Phase(s):	☐ PE ☐ E&P ☒ PS&E	☒ R/W ☐ R/W Util	☐ CE ☐ CON
		Plans, Specifications & Estimates	Right of Way	Total	
State Allocation Date					
Federal Appropriation Code					
Participating Cost (E-76 Auth. Date)	From:				
Participating Cost	To:				

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

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

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

June 1, 2018

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

Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

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

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

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

Allocation No. 2018-202 **ATP** **FUND ALLOCATION**

Senate District No. : 06
Assembly District No. : 09

	Amount Programmed	Fiscal Year Programmed	Amount Previously Allocated	This Request
ROW	$174,000	2018	$0	$174,000
PS&E	$250,000	2018	$0	$250,000
Federal Funds				$0
State Funds				$424,000
Total Amount	**$424,000**		**$0**	**$424,000**

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

Federal Appropriation Code

1. Refer to the signed Finance Letter for the federal appropriation code for the corresponding phases of work.

2. Transfer that code into the federal appropriation code field on the invoice.

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

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

Attention: City of Sacramento

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

Participation Ratio: 100.00%

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

Signature:

Title: HQ Sr. Area Engineer

For questions regarding financ

Printed Name : Adam Ambros

Telephone No: 916-653-3840

Fund Type(s):	☒ Federal ☒ State	Authorized Phase(s):	☒ PE ☐ E&P ☒ PS&E	☒ R/W ☐ R/W Util	☐ CE ☐ CON	☐ NI ☐ FA
		Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total	
State Allocation Date						
Federal Appropriation Code						
Participating Cost (E-76 Auth. Date)	From:					
Participating Cost	To:					

Participating Cost (E-76 Authorization) From Date

1. Refer to the E-76 to find the Approved in FMIS date.

2. Transfer this date to the Participating Cost (E-76 Auth. Date) From field on the invoice.

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

AUTHORIZATION / AGREEMENT SUMMARY - (E-76)

FEDERAL AID PROGRAM — **CALIFORNIA DEPARTMEN**

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

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

PREV AUTH / AGREE DATES:
PE:
R/W:
CON:
SPR:
MCS:
OTH:

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

FUNDING SUMMARY

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

STATE REMARKS

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

Final design shall not start until NEPA is approved.
04/11/2014 Project limits: Meadowview Rd from the light rail station to I-5 and along 24th St from Meadowview Rd to Florin Rd

FEDERAL REMARKS

AUTHORIZATION
AUTHORIZATIO

PREPARED IN FADS BY: BATATAN, FERDINAND ON 04/01/2014 741-5704
REVIEWED IN FADS BY: YANG, ALBERT ON 04/11/2014 651-0015
SUBMITTED IN FADS BY: VONGJESDA, SUNATE ON 04/12/2014 FOR CALTRAN
PROCESSED IN FADS BY: HUEY, SHUN ON 04/15/2014 FOR FHWA
APPROVED IN FMIS BY: TASIA PAPAJOHN ON 04/15/2014

Participating Cost To Date

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

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

Allocation Letter

For This Allocation :

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

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

FINANCE LETTER

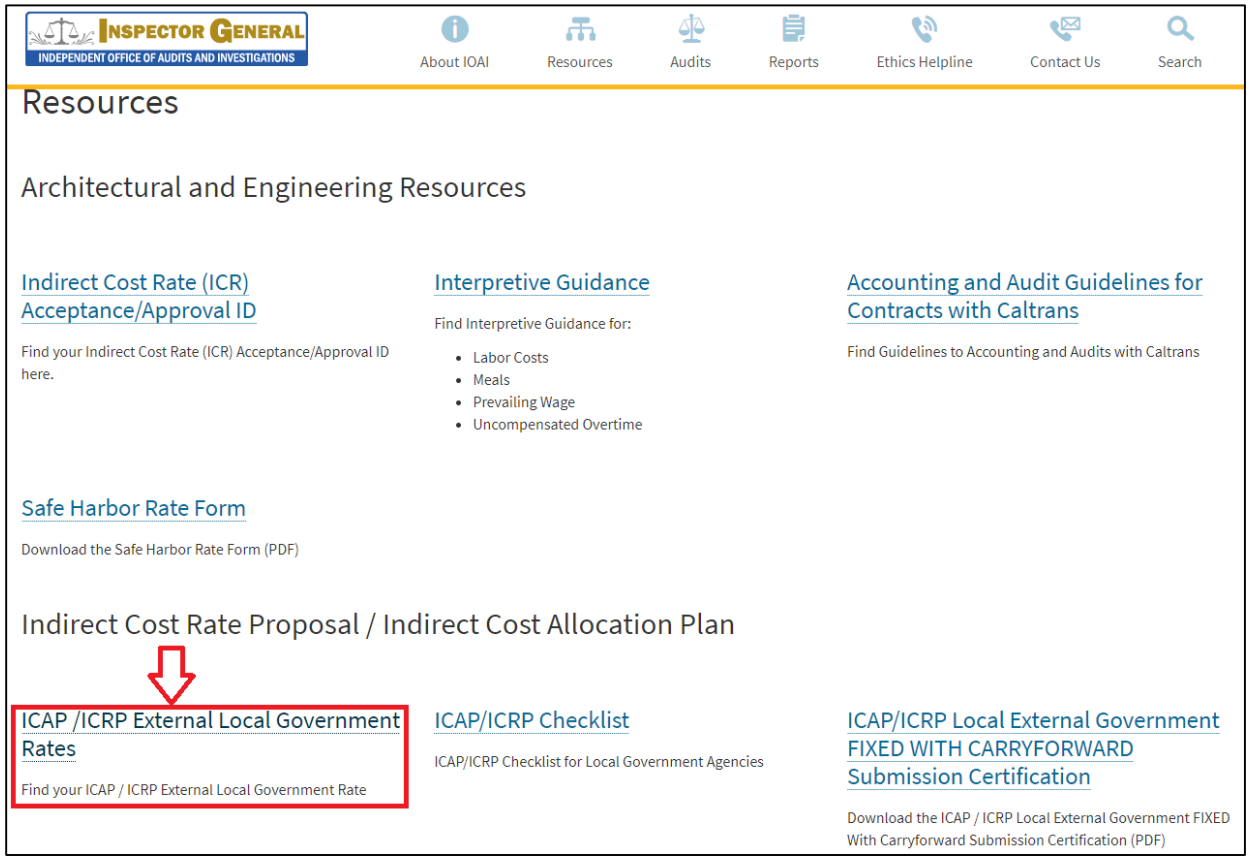
Date: 10/30/2018
D_CO_RT: 03-SAC-0-SAC
Project No: ATPSB1L-5002(173)
Adv Project Id: 0314000217
Agreement End Date: 12/30/2020

ACCOUNTING INFORMATION ATPSB1L-5002(173)

ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	Cooperative Work Agreement APPROVED AMOUNT	Cooperative Work Agreement EXPIRATION DATE
$424,000.00	1718	$0.00	$424,000.00	06/30/23		
$443,000.00	1314	$443,000.00	$0.00	06/30/19		

Indirect Cost

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



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

Indirect Cost (continue)

- Enter the phase, year, charges, and the appro
- Transfer this total amo the invoice by phase.

SECTION 2: INDIRECT COST CALCULATION

Indirect Costs:

Phase	FY	Office/Department	Direct Cost Base Expense	Approved Indirect Cost Rate	Subtotal
PE	2013-14	Public Works	$ 3,709.24	% 98.35	$ 3,648.03
PE	2014-15	Public Works	$ 26,863.39	% 98.38	$ 26,428.20
PE	2015-16	Public Works	$ 25,018.69	% 100.79	$ 25,216.33
PE	2016-17	Public Works	$ 11,342.90	% 116.27	$ 13,188.38

Phase	PE	E&P	PS&E	R/W	CE	NI
Total Indirect Costs to Date	$68,480.94	$0.00	$0.00	$0.00	$0.00	$0.00

Fund Type(s): ☒ Federal ☒ State

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

		Preliminary Engineering	Plans, Specifications & Estimates	Right of Way	Total
State Allocation Date					
Federal Appropriation Code					
Participating Cost (E-76 Auth. Date)	From:				
Participating Cost	To:				
Total Indirect Cost to Date:		$	$	$	$ 0.00
Total Direct Cost to Date:		$	$	$	$ 0.00
Total Cost to Date:		$ 0.00	$ 0.00	$ 0.00	$ 0.00

Direct Costs and Billing Summary

Total Direct Cost For Current Invoice Period Only.

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

SECTION 3: BILLING SUMMARY

Federal/State Project No. ATPSB1L-5002(173)

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
Staff Time, Permits, Postage	04/15/2014	09/14/2018	N/A	$47,982.04		$47,982.04
Consultant (Environmental) Invoice	04/15/2014	09/14/2018	EE-102333	$106,829.30		$106,829.30
				$154,811.34	$0.00	$154,811.34

Plans, Specifications & Estimates

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
Staff Time	05/17/2018	09/14/2018	N/A	$38,402.56		$38,402.56
				$38,402.56	$0.00	$38,402.56

Right of Way

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
Staff Time	05/17/2018	09/14/2018	N/A	$16,466.29	$0.00	$16,466.29
				$16,466.29	$0.00	$16,466.29

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

First Consultant Contract Invoice

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

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

SECTION 3: BILLING SUMMARY

Federal/State Project No. ATPSB1L-5002(173)

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
Staff Time, Permits, Postage	04/15/2014	09/14/2018	N/A	$47,982.04		$47,982.04
Consultant (Environmental) Invoice	04/15/2014	09/14/2018	EE-102333	$106,829.30		$106,829.30
				$154,811.34	$0.00	$154,811.34

Local Assistance Procedures Manual

EXHIBIT 10-C
Consultant Contract Reviewers Checklist

EXHIBIT 10-C A&E CONSULTANT CONTRACT REVIEWERS CHECKLIST

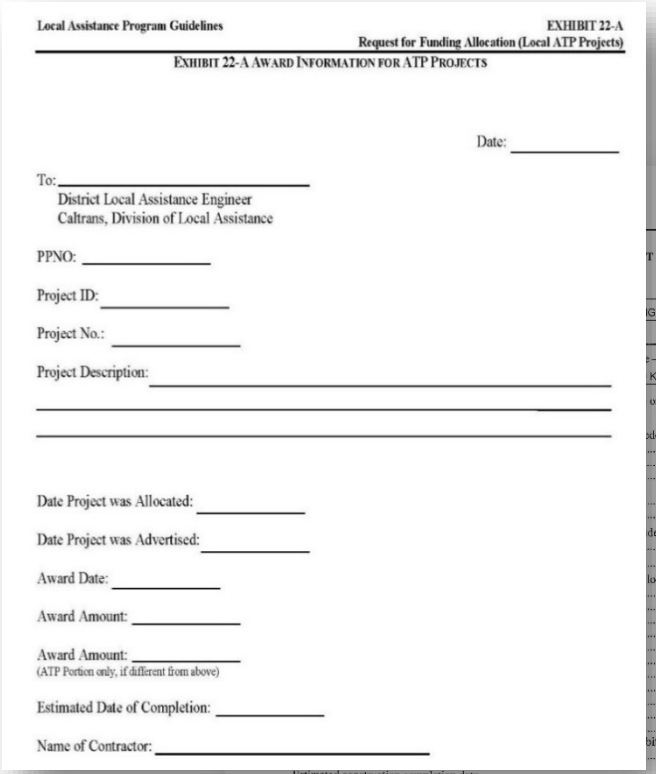
Date: 07/23/2018 **Amendment:** ☑ **District:** 3
Agency Name: City of Sacramento
Federal or State Project Number: 5002(173)
Local Agency Contract Number/Solicitation Number: 2015-0010
Consultant Name: Bennett Engineering Services, Inc.
Original Contract Period: **Begin:** 01/08/2015 **End:** 12/31/2017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

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

First Construction Contract Invoice

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

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



Local Assistance Program Guidelines

EXHIBIT 22-A
Request for Funding Allocation (Local ATP Projects)

EXHIBIT 22-A AWARD INFORMATION FOR ATP PROJECTS

Date: _____

To: _____
District Local Assistance Engineer
Caltrans, Division of Local Assistance

PPNO: _____

Project ID: _____

Project No.: _____

Project Description: _____

Date Project was Allocated: _____

Date Project was Advertised: _____

Award Date: _____

Award Amount: _____

Award Amount: _____
(ATP Portion only, if different from above)

Estimated Date of Completion: _____

Name of Contractor: _____

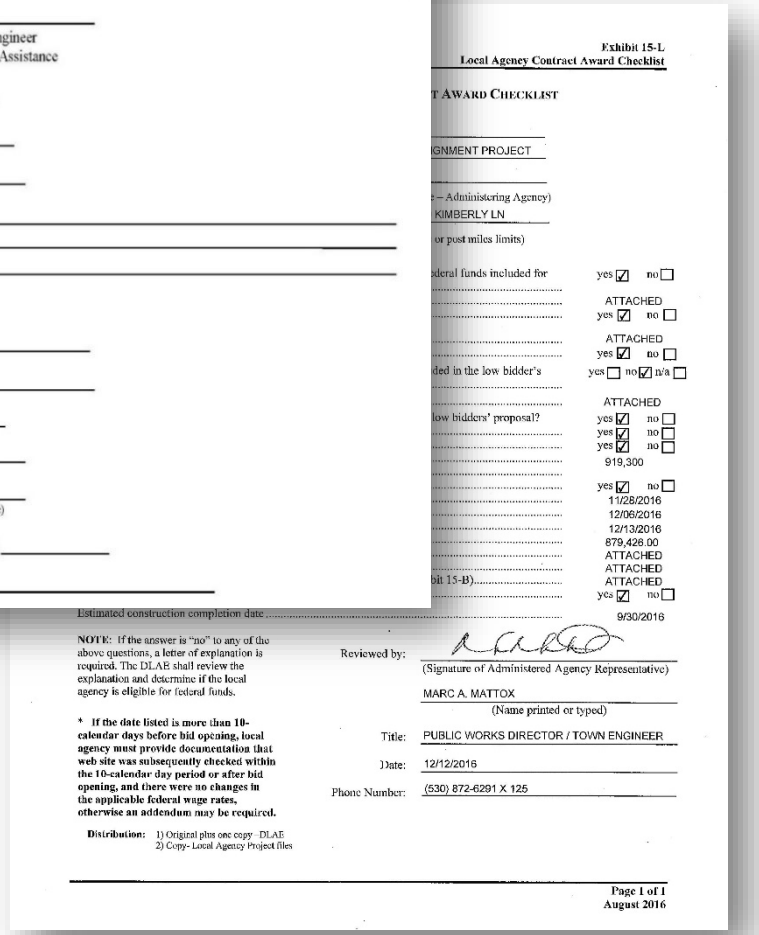


Exhibit 15-L
Local Agency Contract Award Checklist

T AWARD CHECKLIST

GNMENT PROJECT

– Administering Agency)
KIMBERLY LN

or post miles limits)

deral funds included for yes ☑ no ☐

ATTACHED
yes ☑ no ☐

ATTACHED
yes ☑ no ☐

ded in the low bidder's yes ☐ no ☑ n/a ☐

ATTACHED
low bidders' proposal? yes ☑ no ☐
yes ☑ no ☐
yes ☑ no ☐
919,300

yes ☑ no ☐
11/28/2016
12/06/2016
12/13/2016
879,428.00
ATTACHED
ATTACHED
ATTACHED
bit 15-B)
yes ☑ no ☐

Estimated construction completion date 9/30/2016

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)

MARC A. MATTOX
(Name printed or typed)

Title: PUBLIC WORKS DIRECTOR / TOWN ENGINEER

Date: 12/12/2016

Phone Number: (530) 872-6291 X 125

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

Page 1 of 1
August 2016

Click on the images to go to internet file

Billing Summary (Contractor Pay Estimate)

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

NOTES:

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

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

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

Reimbursement Ratios

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

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

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

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

Cumulative Amount Paid on All Previous Invoices

Direct Cost to Date (Previous Invoice prior to reimbursement rate):
$229,026.94
Direct Cost To Date (Billing Summary):
+$209,680.19
Equals Current Direct Cost to Date =
$438,707.13

Direct Cost to Date(Previous Invoice $229,026.94 after reimbursement rate): X 0.8853
= $202,757.55

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

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

Refer to your **Finance Letter**

Authorized Fund Amount	$ 443,000.00	$ 250,000.00	$ 174,000.00	$ 867,000.00
Less: Cumulative Amount Paid on All Previous Invoices	$ 202,757.55	$ 0.00	$ 0.00	$ 202,757.55
Funds Remaining Prior to this Claim	$ 240,242.45	$ 250,000.00	$ 174,000.00	$ 664,242.45

Less State Withheld Retention

Per Master Agreement with the State:

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

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

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

Signatures & Checklist

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

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

LOCAL AGENCY INVOICE

LAPM 5-A (REV 04/2019)

Instructions | Reset Form | Print Invoice

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

Disputed Invoices

1. Agencies will receive a Dispute Notification Letter if the invoice contains errors.

2. When re-submitting the corrected invoice to the District, re-date and re-number the amended invoice (if it was #1, it is now 1A).

Local Agency Invoice
Dispute Notification Letter

Local Agency:	Sacramento	Date:	10/31/18
Attention:	Hector Barron	Dist - Co - Rte:	03-5924-0-SAC
Address:	915 I Street, Room 2000	Project Number:	5002(173)
		Invoice Number:	13
City, State, Zip:	Sacramento, CA 95814	Invoice Amount:	$40,000.00

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

References

LAPM 5-A Local Agency Invoice:

- https://forms.dot.ca.gov/v2Forms/servlet/FormRenderer?frmid=LAPM5A

Caltrans/Local Assistance Procedures Manual, Chapter 5: Invoicing

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

Caltrans/Local Assistance Forms:

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

Independent Office of Audits and Investigations

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

Questions
&
Answers

Thank You for Attending Local Agency Invoice Training

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

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

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

June 1, 2018

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

Attn: Ms. Cecilyn Foote

Dear Mr. Barron:

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

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

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

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

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

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

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

CTC Allocation Letter (Page 1)

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For This Allocation :

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

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

After award of the contract, the Agency has up to 36 months to complete the construction or vehicle purchase contract.

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

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

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

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

Sincerely,

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

CTC Allocation Letter (Page 2)

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AUTHORIZATION / AGREEMENT SUMMARY - (E-76)

FEDERAL AID PROGRAM

CALIFORNIA DEPARTMENT OF TRANSPORTAT

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

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

PREV AUTH / AGREE DATES:
PE:
R/W:
CON:
SPR:
MCS:
OTH:

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

FUNDING SUMMARY

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

STATE REMARKS

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

Final design shall not start until NEPA is approved.
04/11/2014 Project limits: Meadowview Rd from the light rail station to I-5 and along 24th St from Meadowview Rd to Florin Rd

FEDERAL REMARKS

AUTHORIZATION

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

PREPARED IN FADS BY: BATATAN, FERDINAND ON 04/01/2014 741-5704
REVIEWED IN FADS BY: YANG, ALBERT ON 04/11/2014 651-0015
SUBMITTED IN FADS BY: VONGJESDA, SUNATE ON 04/12/2014 FOR CALTRANS
PROCESSED IN FADS BY: HUEY, SHUN ON 04/15/2014 FOR FHWA
APPROVED IN FMIS BY: TASIA PAPAJOHN ON 04/15/2014

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DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

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

Attention: City of Sacramento

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

Participation Ratio: 100.00%

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

Signature:

Title: HQ Sr. Area Engineer

For questions regarding finance letter, contact:

Printed Name : Adam Ambrosini

Telephone No: 916-653-3840

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

ACCOUNTING INFORMATION ATPSB1L-5002(173)

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
0314000217	18108	2030720100		$424,000.00	1718	$0.00	$424,000.00	06/30/23		
0314000217	14102F	2030010810	F	$443,000.00	1314	$403,000.00	$40,000.00	06/30/19		

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DON'T LOSE YOUR FEDERAL MONEY

Top FIVE LOCAL AGENCY ISSUES

1. **Improper Procurement Practices**- Failure to follow required consultant contract procurement process per federal regulations and outlined in Caltrans Local Assistance Procedures Manual. Significant violations include:
   - Missing key documents in project procurement file, i.e. proof of advertising, all score sheets, profit negotiations, cost estimates etc.
   - Selection criteria's weighted values are not included in the RFPs/RFQs.
   - Selection of consultant was not based on the RFP/RFQ stated selection criteria and stated selection criteria's weighted values.
   - A detailed Independent cost estimate was not prepared before proposals are received.
   - Profit was not negotiated as a separate cost item.

2. **Contract Administration for Consultant's Services Contracts**- Failure to maintain contract administration systems and proper management to ensure consultants perform in accordance with the terms and conditions of contracts. Significant violations include:
   - Amending an expired contract.
   - Making significant changes to the original scope of a contract.
   - Charging rates not consistent with the contract cost proposal.
   - Making changes in key personnel without prior approval.
   - Adding classifications or personnel without prior approval.
   - Method of payment is inconsistent with method of payment stated in the RFP and the signed contract.

3. **Contract Administration for Construction Contracts –** Failure to maintain a contract administration system to ensure payments to contractors are supported by project records. Significant violations include:
   - Line Item quantities are not supported by project records
   - Construction Change Orders (CCO) are not supported by independent cost estimates, were not properly approved and/or costs claimed are not properly documented.
   - CCO's work is not within the scope of the original contract, i.e. Contractor caused damage and repair.

4. **Conflict of Interest**- Agency employees and consultants potentially violate conflict of interest laws and regulations by making decisions for which the Agency employee, or consultant acting on behalf of the Agency, could benefit financially.

5. **Improper Charge of Indirect Costs**- You are in violation when you charge indirect costs without an approved Indirect Cost Rate from Caltrans Audits & Investigations. This includes any indirect cost charged by the Agency, or Division/Department etc. of the Agency. This also includes any Cognizant approved rates received by the Agency from someone other than Caltrans Audits & Investigations.

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

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