



Project Completion



Project Completion: Objectives:



Be able to:

- Perform a Final Inspection
- Know When to Release Final Retention to Contractor
- Know When to Submit As-Built Plans
- Assemble a **Final Report of Expenditures** (Chapter 17 of LAPM)
- Understand the Consequences of Non-Compliance



Project Completion: Perform Final Inspection



All Federal-aid Projects

RE must perform final inspection:

- Document fulfillment of Environmental Mitigation Commitments (use ECR)
- Develop a punch list
- Verify corrective actions completed by Contractor
- Complete Items 1-10 of the **Final Inspection Form** (Exh. 17-C), signed by Responsible Person in Charge.
- Submit form to the Caltrans DLAE



Final Inspection Form

LAPM Exhibit 17-C (Handout Pg. 1)

EXHIBIT 17-C FINAL INSPECTION FORM

INSTRUCTIONS: Local agency is to complete Items 1-10. DLAE completes Items 11-13 and submits original plus two (2) copies to the Division of Local Assistance.

1. PROJECT NO.:	2. DIST-CO-RTE-AGENCY:	3. COMPLETION DATE:
4. LOCATION OF IMPROVEMENTS AS PROGRAMMED:		
5. TYPE OF WORK:		
6. CONTRACTOR'S NAME:		7. CONTRACT AMOUNT:
8. DATE OF CONTRACT ACCEPTANCE:		
9. FINAL INSPECTION: The above listed project was completed and a final inspection has been made. The project was completed as programmed and in compliance with all state and federal requirements. (Check appropriate box) <input type="checkbox"/> This project is Delegated and not subject to FHWA oversight. FHWA Final Inspection not required. <input type="checkbox"/> This project is an FHWA High Priority project. FHWA Final Inspection required. <div style="display: flex; justify-content: space-between;"><div>SIGNATURE (Local Agency Rep): _____</div><div>DATE: _____</div></div> <div style="display: flex; justify-content: center; margin-top: 10px;">TITLE: _____</div>		
10. REMARKS:		
11. DISTRICT REVIEW MADE BY (print name):		12. DATE OF PROJECT REVIEW:
13. PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. The person listed above has reviewed the job site and found the project constructed in accordance with the scope and description of the project authorization document and in reasonable conformance with the plans and specifications. SIGNATURE: _____ DATE: _____ District Local Assistance Engineer/ Oversight Engineer		

Distribution: (1) Local Agency - Retain a copy



Project Completion: Perform Final Inspection



DLAE performs project verification:

- Reviews the job site
- Verifies construction per scope and description
- Completes Items 11-13 (Exh. 17-C) and signs
- Provides signed copy to agency



Project Completion: Release Final Retention



Contractor has fulfilled Contract :

- All physical work including punch list is completed and accepted by Owner
- All certified payrolls are submitted /accepted
- Contractor submits and Owner approves

EXHIBIT 17-F FINAL REPORT-UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES (DBE) AND FIRST-TIER SUBCONTRACTORS

- Any other outstanding issues are resolved



Project Completion: Submit As-Built Plans



Complete and Submit to DLAE:

On State Highway System:

Submit full set of As-Built Plans

Off State Highway System:

Submit Structure As-Built Plans Only



Project Completion: Submit As-Built Plans



Caltrans Structure Maintenance and Investigations:

- Performs bridge inspections on all public bridges
- Makes repair recommendations
- Determines load capacity
 - 12,000 State Highway bridges
 - 12,200 Local Agency bridges



Project Completion: Submit As-Built Plans



Complete and Submit to DLAE:

1. Structure “As Builts” to DLAE
MUST be made by the engineer responsible for the Structures work
2. Cover Letter for the Report of Completion (Exh. 17-I)
3. Report of Completion of Structures (Exh. 17-J)



Local Assistance Procedures Manual	EXHIBIT 17-I Sample Cover Letter for Report of Completion of Structures												
SAMPLE COVER LETTER FOR THE REPORT OF COMPLETION OF STRUCTURES													
<div style="display: flex; justify-content: space-between;"><div style="width: 60%;"><p>Chief, Office of Structures Maintenance and Investigations Caltrans Engineering Service Center, Mail Station 9 P. O. Box 942874 Sacramento, CA 94274-0001</p><p>Attention: _____ Structures Local Assistance Engineer</p><p>Dear: _____</p><p>Submitted herewith is the REPORT OF COMPLETION OF STRUCTURES ON LOCAL STREETS AND ROADS for the structures listed below:</p><table border="0" style="width: 100%; margin-top: 20px;"><tr><td style="width: 33%; text-align: center;">_____ Bridge Name (future intersected)</td><td style="width: 33%; text-align: center;">_____ Road Name (facility carried)</td><td style="width: 33%; text-align: center;">_____ State Bridge No.</td></tr><tr><td colspan="3" style="height: 20px;"></td></tr><tr><td colspan="3" style="height: 20px;"></td></tr><tr><td colspan="3" style="height: 20px;"></td></tr></table><p>_____ Contractor</p><p>_____ Bridge Resident Engineer</p></div><div style="width: 35%; text-align: right; vertical-align: top;"><p>_____ Type of Funding</p><p>_____ Dist. - Co. - Rte.</p><p>_____ State Contract No.</p><p>_____ Fed. Project No.</p><p>_____ Date:</p></div></div>		_____ Bridge Name (future intersected)	_____ Road Name (facility carried)	_____ State Bridge No.									
_____ Bridge Name (future intersected)	_____ Road Name (facility carried)	_____ State Bridge No.											
<p>Distribution: (1) Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements) (2) Copy-retained by local agency</p>													
<p>Page 17-27 February 1, 1998</p>													

Cover Letter Report of Completion of Structures

LAPM Exhibit 17-I (Handout Pg. 2)

REPORT OF COMPLETION OF STRUCTURES
ON LOCAL STREETS AND ROADSA. Description of Bridge WorkB. Contract Chronology

Structure Work Completed on: _____

C. Final Photographs

Attach two photographs of completed structure, side view and roadway view. Photographs should show pertinent features both over and under the bridge i.e. channel profile, roadways, railroads etc.

D. Site Map

Include an 8 1/2 X 11" reproduction of the work location site map.

E. Attachments

1. As Built Plans.
2. Stream Flow record (high water during construction).
3. Shop plan microfilms, pre-stress, structural steel, pumping plants, movable bridges.

Distribution: (1)Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements)
(2) Copy-retained by Local Agency

Report of Completion of Structures on Local Streets and Roads

LAPM Exhibit 17-J (Handout Pg. 3)



Project Completion: Assemble Report of Expenditures



“Federal Report of Expenditure” =

**Collection of Final Project Report Documents
Required for Federal-Aid Projects**

- Agency submits to DLAE
- Within **6 months** after project completion
- Signed by **Person in Responsible Charge**
- DLAE reviews and forwards to Caltrans Local Programs Accounting (CLPA) for processing



Project Completion: Assemble Report of Expenditures



Report of Expenditures must include:

1. Cover Letter and Federal Report of Expenditures Checklist (Exh. 17-A)
2. Final Inspection Forms (Exh. 17-C)
3. Final Detailed Estimate
4. Final Invoice Package
5. Change Order Summary
6. Final Report of DBE Utilization (Exh. 17-F and 17-F1)
7. DBE Status Change (Exh. 17-O)
8. Materials Certificate (Exh. 17-G)
9. Cover Letter and Structures Completion (Exh. 17-I and 17-J)
10. Sample Report of Completion R of W Expenditures (Exh. 17-K)



1. Report of Expenditures Cover Letter

LAPM Exh. 17-A (Handout Pg. 4)

Local Assistance Procedures Manual	Exhibit 17-A Sample Cover Letter and Federal Report of Expenditures Checklist
Exhibit 17-A Cover Letter & Federal Report of Expenditures Checklist	
Project No: STPL-9999(S01)	
Mrs. Jane Doe District Director of Transportation Caltrans - Local Assistance P. O. Box 007 Pickett, CA 90000-0007	
Attention:	Mr. Roland N. DeMoney District Local Assistance Engineer
Dear Mrs. Doe:	
Submitted for your consideration is:	
FEDERAL REPORT OF EXPENDITURES LOCAL AGENCY AWARDED CONTRACT (COUNTY OF SOMEWHERE)	
PROJECT:	Sawpit Avenue, PM 13.2-14.5
CONTRACTOR:	A thru Z Contractors
RESIDENT ENGINEER:	Sam Strait
Sincerely,	
_____ Local Agency Representative	
Reviewed by:	
_____ District Local Assistance Engineer	
Page 1 of 3 January 2020	



1. Report of Expenditures Cover Letter

LAPM Exh. 17-A (Handout Pg. 5)

Local Assistance Procedures Manual		Exhibit 17-A
Sample Cover Letter and Federal Report of Expenditures Checklist		
COVER LETTER-CONTINUED		
Federal Project No.: STPL-5920(001)		
<u>Description of Project</u>		
The work done consisted, in general, of asphalt concrete overlays on Sawpit Avenue, asphalt concrete replacement, cold planning performed, and shoulder backing and pavement markers and metal beam guardrail installed. Other misc. items and details shown in the project plans, Standard Specifications, and Special Provisions were installed.		
<u>Contract</u>		
<u>Chronology</u>		
<input type="checkbox"/>		
1.	Bids Opened	03/30/2013
2.	Contract Approved by local agency	04/27/2013
3.	First chargeable working day	05/21/2013
4.	Contract Time (Working Days)	40
5.	Unworkable Days - weather	0
6.	Time Extensions - CCOs	0
7.	Time Extensions - other	0
8.	Number of working days suspended	0
9.	Extended Date of Completion	07/30/2013
10.	Date work accepted by Resident Engineer	09/21/2013
11.	Liquidated damage days charged (calendar or working days)	0
12.	Date accepted by <u>implementing agency's governing board</u>	09/21/2013
<input type="checkbox"/>		
Page 2 of 3 January 2020		



Project Completion: Assemble Report of Expenditures



2. Final Inspection Forms (Exh. 17-C)

3. Final Detailed Estimate (Exh. 15-M)

- Total of previous progress payments plus the final invoice
- Prepared only after claims are resolved
- Must agree with the Final Invoice



Project Completion: Assemble Report of Expenditures



4. Final Invoice Package

- Must conform to format(s) and requirements of LAPM Chapter 5 and agree with Final Detailed Estimate
- Must include RBI (Risk-Based Invoicing) Local Agency Invoice Review Checklist and Project Cost Summaries conforming to LAPM Chapter 5



Project Completion: Assemble Report of Expenditures



4. Final Invoice Package (cont.)

Per Chapter 5: What may be reimbursable?

- **Construction Engineering Costs**, *if listed on the "Authorization to Proceed"*.

Salaries and wages, related to:

- Supervising and inspecting construction activities
- Staking
- Testing material
- Checking shop drawings
- Preparation of pay estimates, etc.



Project Completion: Assemble Report of Expenditures



4. Final Invoice Package (cont.)

Per LAPM Chapter 5: What may be reimbursable?

- **Construction Costs**
 - Actual costs to construct the facility
 - Removal, adjustment or demolition of buildings/structures
 - Utilities or railroad work that is a part of the physical construction of the project
- **Administrative Settlement Costs:**
 - Related to the review and defense of claims

All costs must be broken down into eligible direct and/or indirect cost components.

4. Federal-Aid Final Invoice

Page 1

LAPM Chapter 5 (Handout Pgs. 6-19)

Project closeout requires submittal of the Final Invoice and related exhibits. For specifics, refer to the LAPM or contact your Area Engineer.

FINAL CLOSEOUT PACKAGES:

- One (1) Original Invoice – (1) dated, signed (blue ink) printed on agency letterhead, formatted as required:
[HTTP://WWW.DOT.CA.GOV/HQ/LOCALPROGRAMS/LAM/FORMS/LAPMFORMS.HTM](http://www.dot.ca.gov/hq/localprograms/lam/forms/lapmforms.htm)
- Two (2) copies of Invoice
- Two (2) Exhibit 5-J – Local Agency Invoice Review Checklist
- Two (2) Exhibit Project Expense Summary(ies)
 - Support expense summary (i.e., PE, CE, ROW E&A)
 - Capital expense summary (CON and ROW Acquisition)
- Final Report of Expenditures, etc..., as noted per LAPM

MAIL INVOICE PACKAGE TO:

District DLAE, Caltrans Local Assistance (address particular to your agency's District Local Assistance office)

EXHIBIT 5-A FEDERAL-AID INVOICE
(Except for STIP and ATP Projects)

Date of Invoice: _____
Name of DLAE _____ District Local Assistance Engineer
California Department of Transportation
District Local Assistance

Billing Number: _____
Invoice Number: _____
Federal-aid Project Number: _____
Tax Identification Number: _____
Date Project Accepted by City/County: _____
Project Location: _____
project location

1, 2, ..., or Final
Local Agency's Invoice Number
Prefix Project Number (Fed. Agreement #)
Agency IRS ID Number
Accepted Date or "Ongoing" if not Final

Expenditure Authorization or Advantage Project Number: _____

Reimbursement for Federal funds is claimed pursuant to Local Agency's Agreement No. _____, executed on _____, Supplement No. _____

	Planning Engineering	Construction Engineering	Right of Way Acquisition	Construction Contract	Total
Federal Appropriations Code					
Federal Authorization Date					
Federal/State Participating Costs From					
To					
Total Indirect Costs to Date	\$ 0.00	\$ 0.00			\$ 0.00
Total Direct Costs to Date					\$ 0.00
Less Retention					\$ 0.00
Less Liquidated Damages					\$ 0.00
Less Nonparticipating Costs					\$ 0.00
Total Federal Participating Costs to Date	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Less Participating Costs on Previous Invoice					\$ 0.00
Change in Participating Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Federal Reimbursement Ratio/State	0.00%	0.00%	0.00%	0.00%	
Reimbursement Ratio (if applicable)	0.00%	0.00%	0.00%	0.00%	
Amount of this Claim	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
TOTAL INVOICE AMOUNT					\$ 0.00



Project Completion: Federal Aid Final Invoice

•4. Federal-Aid Final Invoice Page 2

LAPM Chapter 5 (Handout Pgs. 6-19)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
LOCAL AGENCY INVOICE
LAPM 5-A (REV 08/2020)

Instructions

Reset Form

Print Invoice

Billing No:

SECTION 2: INDIRECT COST CALCULATION

Indirect Cost:

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

Phase	PE	PA&ED	E&P	PS&E	R/W	CE	NI	FA
Total Indirect Cost to Date	\$0.00	\$0.00	\$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 cost 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.

Add Signature

Signature of Local Agency Representative	Date
Print Name	Title

For questions regarding this invoice, please contact:

Contact Name	Title	Phone Number	E-mail
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Comments

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17-D Superseded by LAPM 5-A as of October 15, 2019



Project Completion: Assemble Report of Expenditures



5. Change Order Summary

- List must conform to sample form Exh. 17-E
- If no CCOs written, write “none”
- Include following additional information:
 - Liquidated Damages:
 - Number of LD days
 - Amount per day
 - Total amount LD charged
 - If no LDs charged, note “none”
 - Contractor’s Claims
 - If no contractor’s claims, note “none”
 - Date of acceptance



Project Completion: Assemble Report of Expenditures



- 6. Final Report – Utilization of Disadvantaged Business Enterprises (DBE) (Exh. 17-F and 17-F1)**
- 7. Disadvantaged Business Enterprises (DBE) Certification Status Change (Exh. 17-O)**
 - If no changes, state “Not Applicable”



Project Completion: Assemble Report of Expenditures



8. Materials Certificate

- Use Exh. 17-G
- Documentation must be attached including explanations and change orders allowing acceptance of nonconforming materials

9. Report of Completion of Right of Way Expenditures

- Use Exh. 17-K
- Submitted when final R/W costs are known



Project Completion: Assemble Report of Expenditures



Special Cases:

- State Funded Projects – Complete the “Final Project Expenditure Report” (Exh. 17-M)
 - Attach final invoice package (formatted as per LAPM Chapter 5, Exhs. 5-A)



Project Completion: Noncompliance and Consequences



- Failure to submit Final Report of Expenditure
= **Sanctions**
- Final Invoice and Final Detail Estimate do not match
= **Delayed payment**
- Previously billing for
 - items not reimbursable by the FHWA; and
 - amounts exceeding the final quantities= State will bill you for **re-payment**



[Home](#) | [Programs](#) | [Local Assistance](#) | [Project Implementation](#) | [Inactive Projects](#)

Inactive Projects

Caltrans Division of Local Assistance, Office of Project Implementation-South, through District Local Assistance Engineer (DLAE), provides guidance and support to Local Agencies in managing the inactive projects, and participate in the quarterly review with FHWA.

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

1. If the Department does not receive an invoice for more than six months, the project will be posted on the Department's website.
2. If the Department does not receive an invoice in the next five months (11 months without invoicing), the Department will work with local agency to provide proper justification for inactivity (causes beyond the control of the agency such as litigation, unforeseen utility relocations, catastrophic events that delay the project or unforeseen environmental concerns) and establishing time frame for invoicing.
3. **Project obligation could be removed by FHWA if local agency does not provide proper justification or invoice within specified and agreed upon timeframe.**
4. It is the Local Agencies responsibility to work in collaboration with their respective District Local Assistance Engineers (DLAEs) to ensure their projects are invoiced timely.

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

Effective May 23, 2018 - [FHWA Obligation Funds Management Guide](#)

[RTPA/MPO Focus Meeting on Addressing Inactivity Fact Sheet, dated June 14, 2018](#)

[Inactive Project List \(Status Update\)](#)

- Updated on: **11/20/2020**
- Invoice Submission Due to District: **See Inactive Project List above**

Please feel free to send comments regarding this web site to the [DLA Webmaster](#).

<https://dot.ca.gov/programs/local-assistance/projects/inactive-projects>



Project Completion: Noncompliance and Consequences



Project Deficiencies:

1. Procedural:

- Local Agency procedures do not follow LAPM
- Correctable

2. Major:

- Violates state or federal state law or regulation
- If uncorrected, would prevent federal or state participation in all or a portion of the project

3. Unrecoverable:

- Such magnitude as to create doubt that the policies and objectives of Title 23 of the USC will be accomplished by the project
- Project beyond point that the deficiency can be corrected
- Loss of all or a portion of the federal and/or state funds



Project Completion: Noncompliance and Consequences



- **Sanctions**

- Freeze future programming
- Freeze progress payments
- Withdraw % of project funds
- Withdraw all the project funds

**A Local Assistance Dispute Resolution
Process exists for you to appeal the sanctions.**



Project Completion: Construction Records and Accounting



Project Records Retention:

- Required by law: 23 CFR 710
- 3 years date of *final voucher approved*
- All records