Risk-Based Invoicing

PRESENTED BY:

District 4 Local Assistance

History

- Invoices Submitted Directly to LPA (Local Programs Accounting)
- Shifted Invoice Review to District
  - Added review for eligibility
- District and Local Agencies wanted an improved process to reduce effort, processing time, and rejection rate
- Risk-Based invoicing team was formed

RBI Goals

- Reduce the level of effort for Agencies, District and LPA in processing and reviewing invoices
- Create consistency statewide in Invoice processing

RBI Team

- HQ Division of Local Assistance
- District Local Assistance Engineers
- Local Programs Accounting
- Audits and Investigations
- Local Agencies
- RTPA/MPO
- FHWA

RBI References

- Local Assistance Procedures Manual (LAPM), Chapter 5 Accounting/Invoices
  http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm

- Division Local Assistance Office Bulletins, DLA-OB 14-05 - Risk-Based Invoicing
  http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/2014/ob14-05.pdf

Invoicing Process

- No changes to the process
  - Agency performs work
  - Agency submits Invoice to District
  - District reviews and submits approved invoice to LPA (Local Programs Accounting)
  - LPA reviews and submits processed invoice to SCO (State Controller's Office)
  - SCO issues warrant/EFT (Electronic Fund Transfer)

RBI Documents

- Invoice: LAPM Exhibit 5-A *Sample Federal Aid Invoice*, or equivalent (no change)
- Checklist: DLA-OB 14-05, Attachment A, *Local Agency Invoice Review Checklist* (RBI addition)
  - » Local Agency certifies the accuracy of the invoice
  - » District Engineer reviews and concurs with payment of invoice
- Summary: DLA-OB 14-05, Attachment B1-B4, *Billing Summary,* or equivalent (RBI addition/revision)
  - » Provide summary templates for statewide consistency
  - » Revise as necessary, without omitting required information
- Attachments: Attachments required by DLA-OB 14-05, Attachment A, *Local Agency Invoice Review* Checklist (if not previously submitted)

RBI Submittal Package

Documents	Progress Invoice	Final Invoice
Invoice	1 Original, 2 Copies	1 Original, 3 Copies
Local Agency Invoice Review Checklist	1 Original, 1 copy	1 Original, 2 copies
Billing Summaries	2 Copies	3 Copies

Local Agency Invoice Review Checklist

Division of Local Assistance - Office Bulletin
Office of Project Implementation

DLA-OB 14-05 – Attachment A
Revised – July 01, 2014

LOCAL AGENCY INVOICE REVIEW CHECKLIST[1]

District / Local Agency: ______________________ Invoice No. ______________

Federal / State Project Number: ______________________ NI Project : YES ☐ NO ☐

Local Project Number: ______________________ (Noninfrastructure Project; See DLA OB No. 11-08)

Project Description: ______________________

SECTION 1 - CHECKLIST ITEMS TO BE COMPLETED BY LOCAL AGENCY / CONCURRED BY CALTRANS
(Check applicable box for each item)

			Local Agency		Caltrans
		Frequency	Confirm	N/A	Concur
1	Verify project funding agreement (e.g., program supplement agreement) has been executed by Caltrans and Local Agency has received copy of executed agreement	1st Invoice for Phase of Work	☐	☐	☐
2	Local Agency Invoice Package format/content/support documentation is consistent with **DLA OB 14-05** and Chapter 5 "Accounting/Invoices" of Local Assistance Procedures Manual (LAPM)	All Invoices	☐	☐	☐
3	CTC Allocation (or SB184/LONP letter) and/or Federal Authorization to Proceed (E-76) is prior to beginning reimbursable work/advertising construction contract	1st Invoice for Phase of Work	☐	☐	☐
4	Work performed/costs invoiced are consistent with approved project scope/limits of CTC Allocation and/or E-76	All Invoices	☐	☐	☐
5	Phase(s) of work/fund types and amounts/reimbursement rates are consistent with state approved project Finance Letter	All Invoices	☐	☐	☐
6	Work performed in accordance with STIP Timely Use of Funds (TUF) deadlines, Invoice Package submitted to Caltrans in time (April 15 of fund reversion year) to comply with Department of Finance (DOF) fund reversion/Cooperative Work Agreement (CWA) deadlines	All Invoices	☐	☐	☐
7	All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 10:	1st New Consultant Invoice	☐	☐	☐
	• LAPM Exhibit 10-C, "Consultant Contract Reviewers Checklist", has been completed and is in the local agency project files.		☐	☐	☐
	• For contracts over $150,000, LAPM Exhibit 10-K(s) "Consultant Certification of Costs and Financial Management System" has been submitted to Caltrans A&I.		☐	☐	☐
	• For federally funded projects, LAPM Exhibits 10-O1 "Consultant Proposal DBE Commitment" and/or 10-O2 "Consultant Contract DBE Information", are also included in local agency project files.		☐	☐	☐
	• A copy of the executed consultant contract along with these exhibits have been forwarded to DLAE within 30 days of contract award or concurrent with first consultant invoice, whichever is earlier		☐	☐	☐
8	Construction Contract Award Package (see Chapter 15 LAPM) forwarded to DLAE within 60 days of award or concurrent with first construction invoice, whichever is earlier	1st Construction Invoice	☐	☐	☐
9	Construction Contract Change Orders (federally eligible, DLAE reviewed/concurred)	Construction Invoices	☐	☐	☐

Page 1 of 4

Footnote:
This Local Agency Invoice Review Checklist acts as the Caltrans "receiving record" for this invoice

Invoice Review Check List Continued

Division of Local Assistance - Office Bulletin
Office of Project Implementation

DLA-OB 14-05 – Attachment A
Revised – July 01, 2014

10	Level of work completed consistent with total federal/state funds invoiced[2]	Construction Invoices	☐	☐	☐
11	Invoiced amount shall be greater than 2% of the total federal and/or state funds or $1,000, whichever is greater, unless authorized by the DLAE (e.g., to prevent the loss of federal funds)	All Invoices	☐	☐	☐
12	Total invoiced funds do not exceed amounts allocated/authorized by the CTC and/or E-76 (less retention amount[3])	All Invoices	☐	☐	☐
13	Submittal of Local Agency Invoice, signed Local Agency Invoice Review Checklist, and Billing Summary[4] with appropriate documentation	All Invoices	☐	☐	☐

SECTION 2 - LOCAL AGENCY INVOICE CERTIFICATION / COMMENTS

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

______________________ ______________
Signature of Responsible Local Agency Representative **Date**

____
Printed Name and Title

For questions regarding this invoice, please contact:

______________________ ______________ ______________
Local Agency Contact Name **E-mail Address** **Phone No.**

Local Agency Comments:

____

Page 2 of 4

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

1. Verify project funding agreement (e.g., program supplemental agreement) has been executed by Caltrans and Local Agency has received copy of executed agreement

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

2. Local Agency Invoice Package format/content/support documentation is consistent with DLA OB 14-05 and Chapter 5 "Accounting/Invoices" of Local Assistance Procedures Manual (LAPM)

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

3. CTC Allocation (or SB184/LONP letter- Letter of No Prejudice) and/or Federal Authorization to Proceed (E-76) is prior to beginning reimbursable work/advertising construction contract

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

4. Work performed/costs invoiced are consistent with approved project scope/limits of CTC Allocation and/or E-76

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

5. Phase(s) of work/fund types and amounts/reimbursement rates are consistent with state approved project Finance Letter

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Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

6. Work performed in accordance with STIP Timely Use of Funds (TUF) deadlines, Invoice Package submitted to Caltrans in time (April 15 of fund reversion year) to comply with Department of Finance (DOF) fund reversion/Cooperative Work Agreement (CWA) deadlines

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Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

7. All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 10:
   - LAPM Exhibit 10-C, "Consultant Contract Reviewer's Checklist", has been completed and is in the local agency project files.

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7. Continued

- For contracts over $150,000, LAPM Exhibit 10-K(s) "Consultant Certification of Costs and Financial Management System" has been submitted to Caltrans A&I:

  Department of Transportation
  Audits and Investigations, MS 2
  Attention: External Audit Manager
  P.O. Box 942874
  Sacramento, CA 94274-0001

- For federally funded projects, LAPM Exhibits 10-O1 "Consultant Proposal DBE Commitment" and/or 10-O2 "Consultant Contract DBE Information", are also included in local agency project files

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7. Continued

- A copy of the executed consultant contract along with these exhibits have been forwarded to DLAE within 30 days of contract award or concurrent with first consultant invoice, whichever is earlier

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

8. Construction Contract Award Package (see Chapter 15 LAPM) forwarded to DLAE within 60 days of award or concurrent with first construction invoice, whichever is earlier

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

9. Construction Contract Change Orders (federally eligible, DLAE reviewed/concurred)

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

10. Level of work completed consistent with total federal/state funds invoiced

Footnote:

Local Agency must demonstrate that completed construction work is consistent with the level of federal and/or state funds invoiced (see Attachment B-3, "Billing Summary/Cost to Date")

Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

11. Invoiced amount shall be greater than 2% of the total federal and/or state funds or $1,000, whichever is greater, unless authorized by the DLAE (e.g., to prevent the loss of federal funds)

Footnote:
Per *MTC Resolution 3606 Regional Project Delivery Policy Guidance* agencies must submit a valid invoice at least once every 6 months (also required in Master agreement and PSA with Caltrans) but should not submit an invoice more than quarterly

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Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

12. Total invoiced funds do not exceed amounts allocated/authorized by the CTC and/or E-76 (less retention amount)

Footnote:
For Construction phases, the state shall withhold the greater of two (2) percent of the total federal/state funds encumbered for each funding agreement, or a minimum of $40,000 (unless otherwise authorized by the DLAE), until after the Local Agency submits the Final Report of Expenditures (FROE)

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Section 1 – Checklist Items to be Completed by Local Agency / Concurred by Caltrans

13. Submittal of Local Agency Invoice, signed Local Agency Invoice Review Checklist, and Billing Summary with appropriate documentation

Footnote:
A "Billing Summary" (see Attachment B) must be submitted with each Local Agency invoice unless an acceptable alternative is authorized by the DLAE

Section 2 – Local Agency Invoice Certification / Comments

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

______________________ Signature of Responsible Local Agency Representative ______ Date

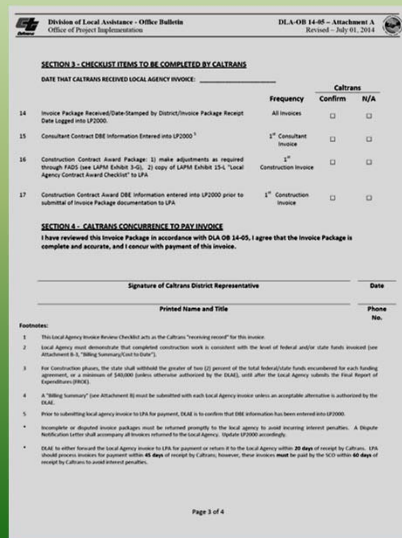
______________________ Printed Name and Title ______

For questions regarding this invoice, please contact:

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

Local Agency Comments:

Local Agency Invoice Review Checklist Page 3



Division of Local Assistance - Office Bulletin
Office of Project Implementation

DLA-OB 14-05 – Attachment A
Revised – July 01, 2014

SECTION 3 - CHECKLIST ITEMS TO BE COMPLETED BY CALTRANS

DATE THAT CALTRANS RECEIVED LOCAL AGENCY INVOICE: ____________________

		Frequency	Caltrans Confirm	Caltrans N/A
14	Invoice Package Received/Date-Stamped by District/Invoice Package Receipt Date Logged into LP2000.	All invoices	☐	☐
15	Consultant Contract DBE Information Entered into LP2000 [5]	1st Consultant Invoice	☐	☐
16	Construction Contract Award Package: 1) make adjustments as required through FADS (see LAPM Exhibit 3-G). 2) copy of LAPM Exhibit 15-L "Local Agency Contract Award Checklist" to LPA	1st Construction Invoice	☐	☐
17	Construction Contract Award DBE Information entered into LP2000 prior to submittal of Invoice Package documentation to LPA	1st Construction Invoice	☐	☐

SECTION 4 - CALTRANS CONCURRENCE TO PAY INVOICE

I have reviewed this Invoice Package in accordance with DLA OB 14-05, I agree that the Invoice Package is complete and accurate, and I concur with payment of this invoice.

Signature of Caltrans District Representative — Date

Printed Name and Title — Phone No.

Footnotes:

1 This Local Agency Invoice Review Checklist acts as the Caltrans "receiving record" for this invoice.

2 Local Agency must demonstrate that completed construction work is consistent with the level of federal and/or state funds invoiced (see Attachment B-3, "Billing Summary/Cost to Date").

3 For Construction phases, the state shall withhold the greater of two (2) percent of the total federal/state funds encumbered for each funding agreement, or a minimum of $40,000 (unless otherwise authorized by the DLAE), until after the Local Agency submits the Final Report of Expenditures (FROE).

4 A "Billing Summary" (see Attachment B) must be submitted with each Local Agency invoice unless an acceptable alternative is authorized by the DLAE.

5 Prior to submitting local agency invoice to LPA for payment, DLAE is to confirm that DBE information has been entered into LP2000.

* Incomplete or disputed invoice packages must be returned promptly to the local agency to avoid incurring interest penalties. A Dispute Notification Letter shall accompany all invoices returned to the Local Agency. Update LP2000 accordingly.

* DLAE to either forward the Local Agency invoice to LPA for payment or return it to the Local Agency within **20 days** of receipt by Caltrans. LPA should process invoices for payment within **45 days** of receipt by Caltrans; however, these invoices **must** be paid by the SCO within **60 days** of receipt by Caltrans to avoid interest penalties.

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Billing Summary Support Phases

				Name of Agency				
				Project Title				
			Federal Project Number:					
			Appropriation Codes:					
				Labor Costs				
Date From	**Date To**	**Name**	**Title/Classification**	**Hours**	**TOTAL LABOR (participating)**	**PE**	**ROW Support**	**CE**
5/15/14	5/15/14	John Smith	Project Manager	8	1497.17	1497.17		
5/1/14	5/31/14	Brenda Jones	Senior Engineer	151	8138.54	8138.54		
4/1/14	6/30/14		Assistant Engineer	322	7230.25	7230.25		
4/16/14	6/15/14		Engineering Tech	76	3744.04	3398.72	345.32	
6/16/14	6/30/14		Office Assistant	10.5	216.11	216.11		
				Subtotal Labor	**$20,826.11**	**$20,480.79**	**$345.32**	**$0.00**
				Direct Costs				
							Participating Amount	
Date From	**Date To**	**Vendor Name**	**Description**	**Invoice No.**	**Invoice Total**	**PE**	**ROW Support**	**CE**
6/16/14	6/30/14	Publication A	RFP		71.65	7.65		
4/1/14	4/30/14	USPS	postage		65.00	45.00		
1/1/14	3/30/14	Consultant A	Design Services		12209.91	3995.26		
1/15/14	3/15/14	Consultant B	Biological Studies		5123.45	2913.54		
5/1/14	5/31/14	Consultant C	Material Testing		1957.32			1957.32
1/1/14	6/30/14	Consultant D (DBE)	Project Mangement		1241.22	1241.22		
				Subtotal Direct Costs		**$8,202.67**	**$0.00**	**$1,957.32**

Billing Summary R/W

Name of Agency Project Title				
	Federal Project Number:			
	Appropriation Codes:		*(Add lines as necessary for multiple appropriation codes)*	
Date	**Description**	**TOTAL**	**Non-Participating Amount**	**Participating Amount**
	Acquired Parcels			
	RAP (Family)			
	RAP (Business)			
	Last Resort Housing/Hardship			
	Utilities			

Billing Summary - Construction

Name of Agency
Project Title

Federa Project Number
Appropriation Codes
Invoice Number

(Add lines as necessary for multiple appropriation codes)

			Bid Amount				Previous Paid Amount			Invoice Amount			Total Amount		
Item	Description	Participating(Y/N)	Units	Estimated Quantity	Contract price	Total Authorized Amount	Qty or %	Unit Price	Amount	Qty or %	Unit Price	Amount	Qty or %	Unit Price	Amount
1	Progress Schedule(Critical path method)	Y	LS		$ 4,000.00	$ 4,000.00	30%		$ 1,200.00	10%		$ 400.00	40%		$ 1,600.00
2	Temporary Fence (Type CL-6)	Y	LF	440	$ 8.00	$ 3,520.00	200	$ 8.00	$ 1,600.00	150	$ 8.00	$ 1,200.00	350	$ 8.00	$ 2,800.00
3	Street Sweeping	Y	LS		$ 15,000.00	$ 15,000.00	30%		$ 4,500.00	15%		$ 2,250.00	45%		$ 6,750.00
4	Ditch Excavation	Y	CY	55	$ 60.00	$ 3,300.00	55	$ 60.00	$ 3,300.00	0	$ 60.00	0	55	$ 60.00	$ 3,300.00
5	Cold Plane Asphalt Concrete Pavement	Y	CY	41,200	$ 1.55	$ 66,960.00	12960	$ 1.55	$ 20,088.00	10000	$ 1.55	$ 15,500.00	22960	$ 1.55	$ 35,588.00
6	Hot Mix Asphalt	Y	Ton	17,000	$ 78.00	$ 1,326,000.00	5000	$ 78.00	$390,000.00	6000	$ 78.00	$468,000.00	11000	$ 78.00	$858,000.00
	Total for Items:					$ 1,418,780.00			$420,688.00			$487,350.00			$908,038.00
CCO															
1	Maintain Traffic	Y	LS			$ 15,000.00	30%		$ 4,500.00	10%		$ 1,500.00	40%		$ 6,000.00
2	Remove unsuitable material	Y	CY	100	45	$ 4,500.00	100%		$ 4,500.00	0	45	$ -	100%	45	$ 4,500.00
3	Additional water pollution control	Y	LS			$ 6,000.00	30%		$ 1,800.00	15%		$ 900.00	45%		$ 2,700.00
4	Loop detector sensor units	Y	EA	2	2500	$ 5,000.00	0%		$ -	2	2500	$ 5,000.00	2	2500	$ 5,000.00
						$ 30,500.00			$ 10,800.00			$ 7,400.00			$ 18,200.00

Original Contract Amount:	$ 1,418,780
Contract Changes:	$ 30,500
Revised Contract Amount:	$ 1,449,280
Work Completed to Date (Amount or %)	$ 926,238
Retention Amount:	$
Non Participating amount:	$
Net Billed To Date:	$ 431,488
Amount Due this Invoice:	$ 494,750

Non-Infrastructure Projects

- The Non-Infrastructure project Billing Summary is similar to the Support Phases Summary. However, the difference is that each charge needs to be tied to a Task identified in the work plan
- NI Eligible costs guidance:

  http://www.dot.ca.gov/hq/LocalPrograms/saferoutes/SRTS-NI-ELIGIBLE-COSTS-Guidance.pdf

Invoice Template

Exhibit 5-A SAMPLE FEDERAL-AID INVOICE
(Except for STIP Projects)

(PREPARE ON LETTERHEAD OF LOCAL AGENCY)

Date of Invoice:
Name, District Local Assistance Engineer:
Department of Transportation:
District Local Assistance:
Street/P.O. Box:
City, CA, Zip Code:
Billing Number: **1, 2……, or Final**
Invoice Number: **Local Agency's Invoice Number**
Federal-aid Project Number: **Prefix Project Number (Fed. Agreement #)**
Tax Identification Number: **Agency IRS ID Number**
Date Project Accepted by City/County: **Final Date or "Ongoing" if not Final**
Project Location: **Project Limits**
Expenditure Authorization or Advantage Project Number:

Reimbursement for Federal funds is claimed pursuant to Local Agency-State Agreement No. ____________, Program Supplement No. ________________, executed on date ______________.

	Preliminary Engineering	**Construction Engineering**	**Right of Way Acquisition**	**Construction Contract**	**Total**
Federal Appropriations Code	Q24/33D	Q24/33D	Q24/33D	Q24/33D	Q24/33D
Federal Authorization Date	5/12/14	5/12/14	5/12/14	5/12/14	
Federal/State Participating Costs From	5/15/14	5/15/14	5/15/14	5/25/14	
To	7/15/14	7/15/14	6/30/14	8/30/14	
Total Indirect costs to Date	$825.00	$1,865.50			$2,690.50
Total Direct Costs to Date	$4,000.60	$8,400.30	$8,290.00	$150,652.00	$171,342.90
Less Retention				($20,000.00)*	($20,000.00)
Liquidated Damages				$0.00**	$0.00
Nonparticipating Costs	($350.00)	($840.00)	($1,200.00)	($16,000.00)	($18,390)
Total Federal Participating Costs to date	$4,475.60	$9,425.80	$7,090.00	$114,652.00	$135,643.40
Less Participating Costs on Previous Invoice	$2,120.95	$6,350.20	$0.00	$98,231.00	$106,702.15
Change in Participating Costs	$2,354.65	$3,075.60	$7,090.00	$16,421.00	$28,941.25
Federal Reimbursement Ratio State Reimbursement Ratio (if applicable)	88.53	88.53	88.53	88.53	
Amount of this Claim	$2,084.57	$2,722.82	$6,276.77	$14,537.51	$25,621.67
TOTAL INVOICE AMOUNT					**$25,621.67**

Invoice Template

INDIRECT COST CALCULATION

Preliminary Engineering Indirect Costs:

	Fiscal Year 2012-2013	Fiscal Year 2013-2014
Direct Cost Base Expense	$1,994.00	$673.82
Approved Indirect Cost Rate	31%	33%
Subtotal****	$602.64	$222.36

Total Indirect Costs to Date for Preliminary Engineering **$825.00** (this Amount is carried to the front of the invoice under the Preliminary Engineering column)

Construction Engineering Indirect Costs:

	Fiscal Year 2012-2013	Fiscal Year 2013-2014
Direct Cost Base Expense	$4,756.23	$1,185.07
Approved Indirect Cost Rate	31%	33%
Subtotal****	$1,474.43	$391.07

Total Indirect Costs to Date for Construction Engineering **$1,865.50** (this Amount is carried to the front of the invoice under the Construction Engineering column)

I certify that the work covered by this invoice has been completed in accordance with approved plans and specifications; the costs shown in this invoice are true and correct; and the amount claimed, including retention as reflected above, is due and payable in accordance with the terms of the agreement.

Signature, Title and Unit of Local Agency Representative Phone No.

For questions regarding this invoice, please contact:

Name Phone No.

* Total retention amount withheld from contractor. At the end of the project and after all retention has been released, this amount should be zero.

** Show "liquidated damages" amount on final invoice.

*** Total must be rounded down to the lowest cent. Federal rules do not allow rounding up.

**** • Indirect cost for this project equals the direct cost base expense (i.e., direct salaries & wages plus fringe benefits) for this project multiplied by the approved indirect cost rate.
• Indirect cost reimbursement will not apply to direct costs, i.e., payment of construction contracts and right of way purchases, not included in the direct cost base.
• An indirect rate must be approved by Caltrans every fiscal year to be used for only those costs incurred for that year.

Invoice Submittal

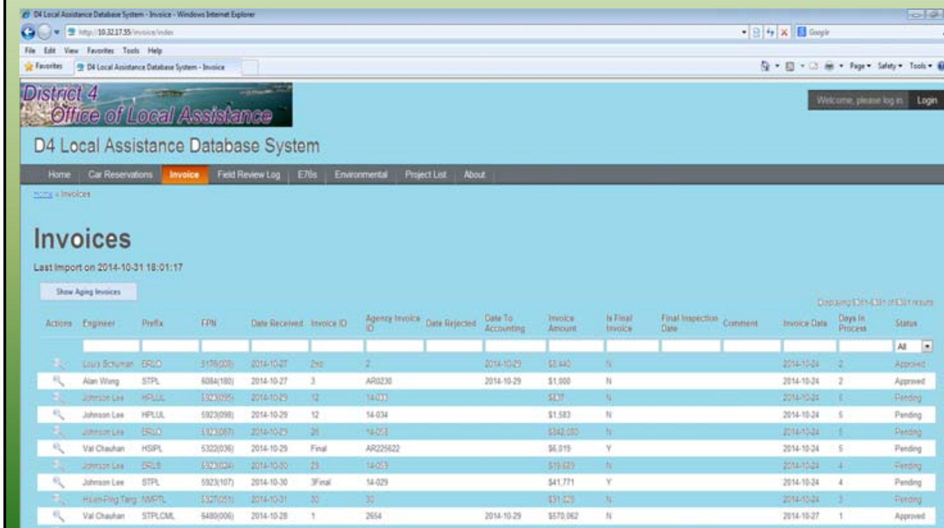
- Invoices should be submitted to:

Name of Caltrans Area Engineer
Attn: Bakari Akil
California Dept. of Transportation
Office of Local Assistance
P.O.Box 23660,MS 10-B
Oakland, CA 94612-0660

Tips:

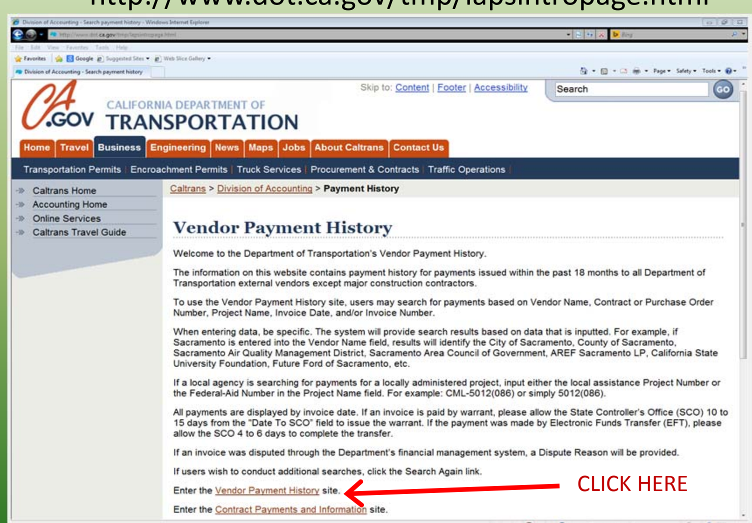
- Use USPS standard first class mail
- Express courier services are not recommended; they are higher in cost and often take longer to arrive at your DLAE inbox
- Do not Send Invoices to the District Director

District 4 Tracking Database

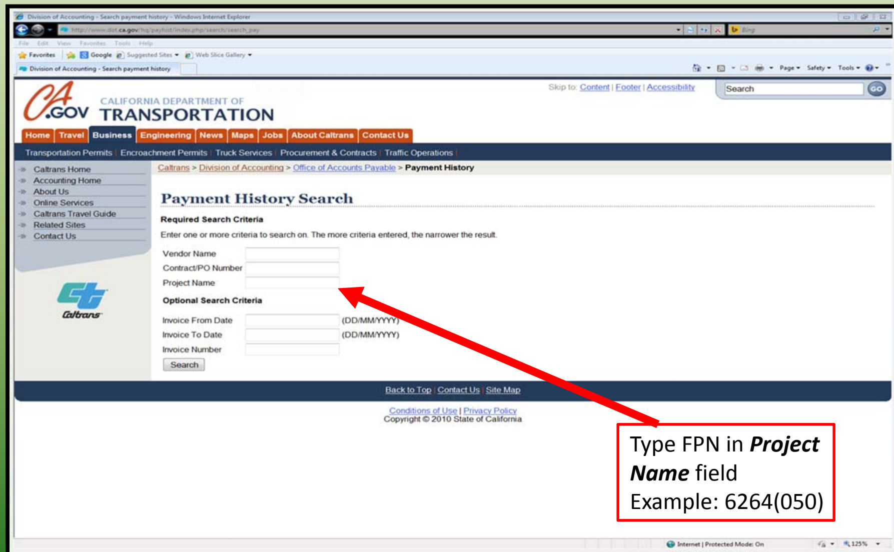


Local Programs Accounting Tracking

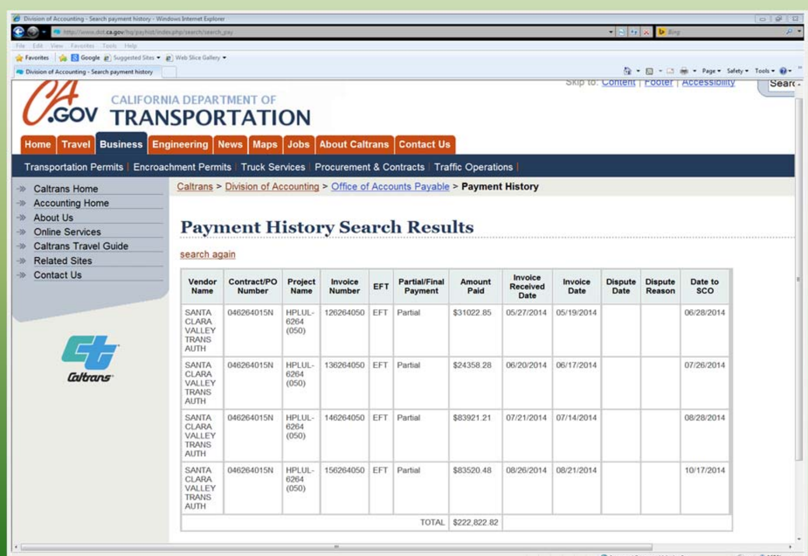
http://www.dot.ca.gov/tmp/lapsintropage.html



http://www.dot.ca.gov/hq/payhist/index.php/search/search_pay



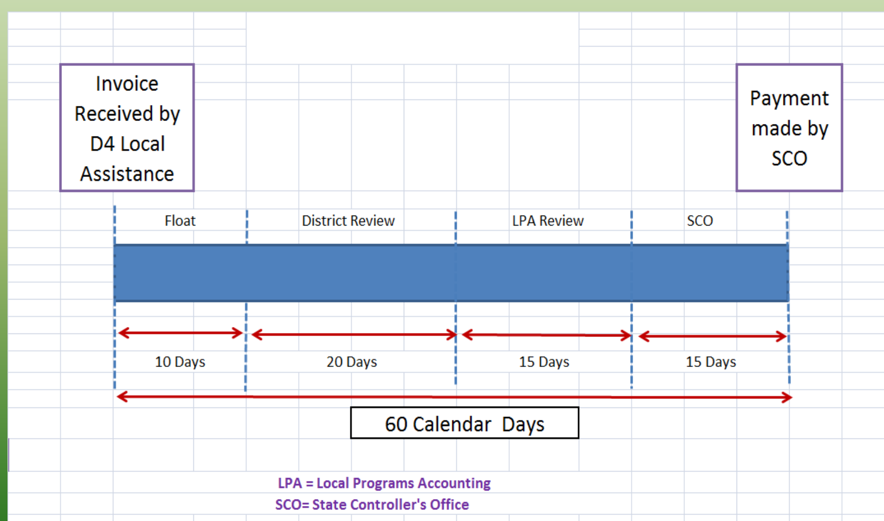
List of Invoice Payments



Vendor Name	Contract/PO Number	Project Name	Invoice Number	EFT	Partial/Final Payment	Amount Paid	Invoice Received Date	Invoice Date	Dispute Date	Dispute Reason	Date to SCO
SANTA CLARA VALLEY TRANS AUTH	046264015N	HPLUL-6264 (050)	126264050	EFT	Partial	$31022.85	05/27/2014	05/19/2014			06/28/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HPLUL-6264 (050)	136264050	EFT	Partial	$24358.28	06/20/2014	06/17/2014			07/26/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HPLUL-6264 (050)	146264050	EFT	Partial	$83921.21	07/21/2014	07/14/2014			08/28/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HPLUL-6264 (050)	156264050	EFT	Partial	$83520.48	08/26/2014	08/21/2014			10/17/2014
					TOTAL	$222,822.82					

Use this cover page shown below for inactive projects

Time Line for Invoice Processing



Tips: Submittals to Remember

Federally Funded **Consultant Service Contracts**: Submit the following within 30 days of contract award.

1. Copy of executed consultant agreement(s).
2. Exhibit 10C “Consultant contract reviewers checklist
3. Exhibit 10-O1 “ Consultant proposal DBE commitment”
4. Exhibit 10-O2 “Consultant contract DBE Information”
5. Consultant contracts > $150,000, Agency submits Exhibit 10-K to Caltrans Audits and Investigations.

Federally funded **construction contracts**: Submit the following with in 60 days of contract award.

1. Exhibit 15-L “ Local agency contract award checklist”.
2. Exhibit 15-M “Detail Estimate”
3. Exhibit 15-N “ Finance Letter”
4. Exhibit 15-B “Resident Engineer’s construction contract administration checklist”
5. Exhibit 15-G “Copy of the local agency bidder DBE information”

Questions

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