



Risk-Based Invoicing

PRESENTED BY:
District 4 Local Assistance

November 2014

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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

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RBI Goals

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

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RBI Team

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

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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

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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)

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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)

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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

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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

District / Local Agency: _____ Invoice No.: _____
 Federal / State Project Number: _____ All Project: YES NO
 Local Project Number: _____ (Infrastructure Project, see DLA-OB No. 14-06)
 Project Description: _____

SECTION 4 - CHECKLIST ITEMS TO BE COMPLETED BY LOCAL AGENCY / CONCURRED BY CALTRANS
 (Check applicable box for each item)

Frequency	Local Agency		Caltrans	
	Confirm	N/A		
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	<input type="checkbox"/>	<input type="checkbox"/>
2	Local Agency Invoice Package format/content/support documentation is consistent with DLA OB 14-05 and Chapter 9 "Accounting/Invoices" of Local Assistance Procedures Manual (LAPM).	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
3	CTC Allocation (or SBTA/ONP letter) and/or Federal Authorization to Proceed (E-76), is prior to beginning reimbursable work/starting construction contract.	1st Invoice for Phase of Work	<input type="checkbox"/>	<input type="checkbox"/>
4	Work performed/invoiced are consistent with approved project scope/terms of CTC Allocation and/or E-76.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
5	Percent of work/fund type and amount/disbursement rates are consistent with state approved project Finance Letter.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
6	Work performed in accordance with STIP Timely Use of Funds (TUF) guidelines; Invoice Package submitted to Caltrans no later than 15 of fund revision year) to comply with Department of Finance (DOF) fund revision/Cooperative Work Agreement (CWA) deadline.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
7	All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 20: * LAPM Exhibit 15-C "Consultant Contract Amendment Checklist" has been completed and is in the local agency project file. * For contracts over \$100,000, LAPM Exhibit 16-A(1) "Consultant Certification of Costs and Financial Management System" has been submitted to Caltrans A&E. * For Federally funded projects, LAPM Exhibit 10-C1 "Consultant Proposed DBE Commitment" and/or 10-C2 "Consultant Contract DBE Information" are also included in local agency project file. * A copy of the executed consultant contract along with these exhibits have been forwarded to DLAE within 30 days of contract award or concurred with first consultant invoice, whichever is earlier.	1st New Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>
8	Construction Contract Award Package (see Chapter 15 LAPM) forwarded to DLAE within 60 days of award or concurred with first construction invoice, whichever is earlier.	1st Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>
9	Construction Contract Change Orders (federally eligible, DLAE reviewed/concurred)	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>

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

Invoice Review Check List Continued

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Office of Project Implementation

DLA-OB 14-05 - Attachment A
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10	Level of work completed consistent with total federal/state funds invoiced?	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	Total invoiced funds do not exceed amounts allocated/authorized by the CTC and/or E-76 (less retention amount.)	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Submission of Local Agency Invoice, signed Local Agency Invoice Review Checklist, and Billing Summary with appropriate documentation	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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:

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

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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)

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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

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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

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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

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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

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

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

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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")

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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

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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	N/A
14 Invoice Package Received/Date stamped by District/Invoice Package Receipt Date signed into UF2000.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
15 Consultant Contract DBE Information Entered into UF2000 ¹	1 st Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>
16 Construction Contract Award Package 1) make adjustments as required through FADS (see LAFM Exhibit 5-G); 2) copy of LAFM Exhibit 15A, "Local Agency Contract Award Checklist" to LPA.	1 st Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>
17 Construction Contract Award DBE Information entered into UF2000 prior to submittal of Invoice Package documentation to LPA.	1 st Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>

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:

- This Local Agency Invoice Review Checklist acts as the Caltrans "receiving receipt" for this invoice.
- Local Agency cost documentation that completed construction work is consistent with the level of federal and/or state funds received (see Attachment B, "Billing Summary/Call to Date").
- 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 maximum of \$400,000 (unless otherwise authorized by the OAG), until after the local agency submits the final Report of Expenditures (RFE).
- A "Billing Summary" (see Attachment C) must be submitted with each Local Agency invoice unless an acceptable alternative is authorized by the OAG.
- Prior to submitting Local Agency Invoice to LPA for payment, OAG is to certify that DBE information has been entered into UF2000.
- Receipts or other local agency receipts must be retained promptly by the local agency to avoid incurring interest penalties. A Dispute Resolution Letter shall accompany all invoices submitted to the local agency. Update UF2000 accordingly.
- OAG is to bill forward the local agency invoice to LPA for payment or return it to the local agency within 30 days of receipt by Caltrans. LPA should process invoices for payment within 60 days of receipt by Caltrans. Invoices that are not paid by the LPA within 90 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								
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	

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Billing Summary R/W

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

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Billing Summary - Construction

Name of Agency Project Title																
Federal Project Number																
Appropriation Codes		<i>(Add lines as necessary for multiple appropriation codes)</i>														
Invoice Number																
Item	Description	Participating(Y/N)	Units	Estimated Quantity	Contract price	Total Authorized Amount	Previous Paid Amount			Invoice Amount			Total 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	\$ 0.00	\$ 3,520.00	20%		\$ 8.00	15%		\$ 1,200.00	50%		\$ 2,000.00	
3	Street Sweeping	Y	LS		\$ 25,000.00	\$ 15,000.00	30%		\$ 4,500.00	15%		\$ 2,250.00	45%		\$ 6,750.00	
4	Ditch Excavation	Y	CV	55	\$ 60.00	\$ 3,300.00	55%		\$ 60.00	0%		\$ 0.00	55%		\$ 3,300.00	
5	Cold Plane Asphalt Concrete Pavement	Y	CV	43,200	\$ 1.35	\$ 58,320.00	1796%		\$ 1.35	\$ 20,088.00	10000%	\$ 1.35	\$ 15,300.00	22960%	\$ 1.35	\$ 33,588.00
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			\$ 487,150.00			\$ 908,038.00	
CCO																
1	Maintain Traffic	Y	LS		\$ 15,000.00	\$ 15,000.00	30%		\$ 4,500.00	10%		\$ 1,500.00	40%		\$ 6,000.00	
2	Remove unsuitable material	Y	CV	200	\$ 45.00	\$ 9,000.00	200%		\$ 45.00	0%		\$ 0.00	200%		\$ 9,000.00	
3	Additional water pollution control	Y	LS		\$ 6,000.00	\$ 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	
Total for Items:						\$ 35,000.00			\$ 10,800.00			\$ 7,400.00			\$ 18,200.00	
Original Contract Amount:					\$ 1,433,780											
Contract Changes:					\$ 30,500											
Revised Contract Amount:					\$ 1,464,280											
Work Completed to Date (Amount or %)					\$ 928,238											
Retention Amount:					\$ -											
Non Participating amount:					\$ -											
Net Bill To Date:					\$ 411,488											
Amount Due this Invoice:					\$ 494,750											

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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: _____
 Invoice Number: _____
 Federal-aid Project Number: _____
 Tax Identification Number: _____
 Date Project Accepted by City/County: _____
 Project Location: _____
 Expenditure Authorization or Advantage Project Number: _____

1, 2, _____ or Final
 Local Agency's Invoice Number
 Public Project Number (if an Agreement #)
 Agency BRS ID Number
 Final Invoice "Outgoing" if not Final
 Project Links

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

Federal Appropriation Code	Preliminary Engineering Q24-31D	Construction Engineering Q24-31D	Right of Way Acquisition Q24-31D	Construction Contract Q24-31D	Total Q24-31D
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	5/15/14	5/15/14	6/30/14	8/26/14	
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:					
Unliquidated Drawings					\$20,000.00
Nonreimbursable Costs	(3,750.00)	(8,840.00)	(81,200.00)	(315,300.00)	(520,090.00)
Total Federal Participating Costs to Date	\$4,475.60	\$9,425.80	\$7,090.00	\$144,652.00	\$135,643.40
Less Participating Costs on Previous Invoice	\$2,220.95	\$6,350.20	\$0.00	\$98,231.00	\$106,702.15
Change in Participating Costs	\$2,254.65	\$3,075.60	\$7,090.00	\$46,421.00	\$28,941.25
Federal Reimbursement Ratio State	88.53	88.53	88.53	88.53	
Reimbursement Ratio (if applicable) Amount of this Claim	\$2,084.57	\$2,722.82	\$6,276.77	\$44,537.51	\$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	21%	25%
Subtotal****	\$602.64	\$232.36
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	21%	25%
Subtotal****	\$1,014.43	\$291.07
Total Indirect Costs to Date for Construction Engineering \$1,965.49 (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 contracts. 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.

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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

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District 4 Tracking Database

The screenshot shows the 'D4 Local Assistance Database System' interface. The main content area is titled 'Invoices' and displays a table of invoice records. The table has the following columns: Actions, Engineer, Prefix, FNI, Date Received, Invoice ID, Agency Invoice ID, Date Subjected, Date To Accounting, Invoice Amount, Is Final Invoice, Final Inspection Date, Comment, Invoice Date, Days in Process, and Status. The data includes entries for various agencies like STPL, HPLUL, and HSPIL, with dates ranging from 2014-10-27 to 2014-10-29. The status of these invoices varies, including 'Approved', 'Pending', and 'Final'.

Actions	Engineer	Prefix	FNI	Date Received	Invoice ID	Agency Invoice ID	Date Subjected	Date To Accounting	Invoice Amount	Is Final Invoice	Final Inspection Date	Comment	Invoice Date	Days in Process	Status
	Liara Schuman	SRLO	5176005	2014-10-27	261	2		2014-10-29	\$3,440	N			2014-10-24	2	Approved
	Alan Wang	STPL	8084180	2014-10-27	3	AR0230		2014-10-29	\$1,000	N			2014-10-24	2	Approved
	Johnson Lee	HPLUL	5223095	2014-10-29	12	14033			\$637	N			2014-10-24	1	Pending
	Johnson Lee	HPLUL	5923098	2014-10-29	12	14-034			\$1,583	N			2014-10-24	5	Pending
	Johnson Lee	SRLO	5223087	2014-10-29	26	14-023			\$342,050	N			2014-10-24	1	Pending
	Vai Chauhan	HSPIL	5323036	2014-10-29	Final	AR229822			\$6,919	Y			2014-10-24	5	Pending
	Johnson Lee	SRLO	5223034	2014-10-30	23	14-023			\$19,695	N			2014-10-24	1	Pending
	Johnson Lee	STPL	8523167	2014-10-30	Final	54-029			\$41,771	Y			2014-10-24	4	Pending
	Hsianping Tang	MWPL	5270261	2014-10-31	32	32			\$31,426	N			2014-10-24	3	Pending
	Vai Chauhan	STPLCM	8485006	2014-10-29	1	2654		2014-10-29	\$279,982	N			2014-10-27	1	Approved

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Local Programs Accounting Tracking

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

The screenshot shows the 'Vendor Payment History' page on the California Department of Transportation website. The page includes a navigation menu with links for Home, Travel, Business, Engineering, News, Maps, Jobs, About Caltrans, and Contact Us. The main content area is titled 'Vendor Payment History' and contains a welcome message and instructions on how to use the site. A red arrow points to a link that says 'CLICK HERE'.

Vendor Payment History

Welcome to the Department of Transportation's Vendor Payment History.

The information on this website contains payment history for payments issued within the past 18 months to all Department of Transportation external vendors except major construction contractors.

To use the Vendor Payment History site, users may search for payments based on Vendor Name, Contract or Purchase Order Number, Project Name, Invoice Date, and/or Invoice Number.

When entering data, be specific. The system will provide search results based on data that is inputted. For example, if Sacramento is entered into the Vendor Name field, results will identify the City of Sacramento, County of Sacramento, Sacramento Air Quality Management District, Sacramento Area Council of Government, AREF Sacramento LP, California State University Foundation, Future Ford of Sacramento, etc.

If a local agency is searching for payments for a locally administered project, input either the local assistance Project Number or the Federal-Aid Number in the Project Name field. For example: CML-5012(088) or simply 5012(088).

All payments are displayed by invoice date. If an invoice is paid by warrant, please allow the State Controller's Office (SCO) 10 to 15 days from the "Date To SCO" field to issue the warrant. If the payment was made by Electronic Funds Transfer (EFT), please allow the SCO 4 to 6 days to complete the transfer.

If an invoice was disputed through the Department's financial management system, a Dispute Reason will be provided.

If users wish to conduct additional searches, click the Search Again link.

Enter the [Vendor Payment History site](#).

Enter the [Contract Payments and Information site](#).

CLICK HERE

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

Payment History Search

Required Search Criteria
Enter one or more criteria to search on. The more criteria entered, the narrower the result.

Vendor Name:
 Contract P/O Number:
 Project Name:
Optional Search Criteria
 Invoice From Date: (DDMMYYYY)
 Invoice To Date: (DDMMYYYY)
 Invoice Number:

Back to Top | Contact Us | Site Map
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Type FPN in **Project Name** field
 Example: 6264(050)

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List of Invoice Payments

Payment History Search Results

search again

Vendor Name	Contract P/O 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	HP/LUL-6264(050)	126264050	EFT	Partial	\$31022.85	05/27/2014	05/19/2014			06/28/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HP/LUL-6264(050)	136264050	EFT	Partial	\$24358.28	06/20/2014	06/17/2014			07/26/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HP/LUL-6264(050)	146264050	EFT	Partial	\$83921.21	07/21/2014	07/14/2014			08/28/2014
SANTA CLARA VALLEY TRANS AUTH	046264015N	HP/LUL-6264(050)	156264050	EFT	Partial	\$83520.48	08/26/2014	08/21/2014			10/17/2014
TOTAL						\$222,822.82					

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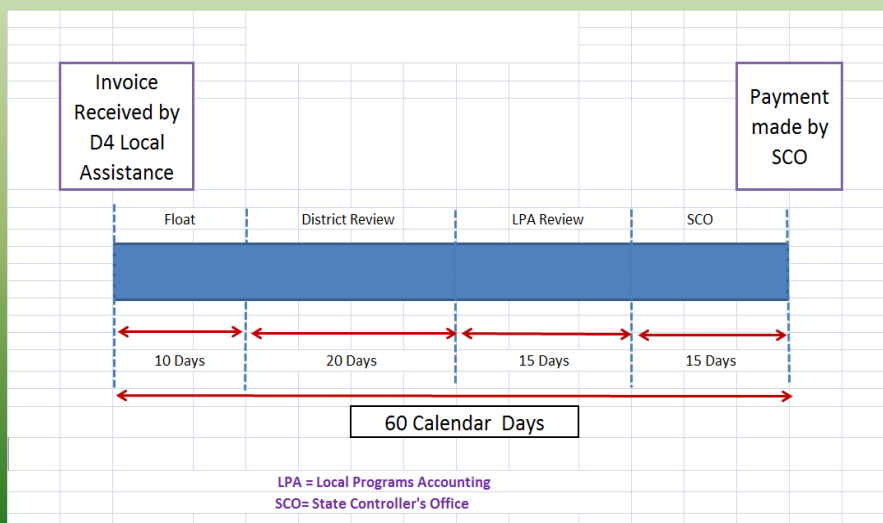
Use this cover page shown below for inactive projects



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Time Line for Invoice Processing



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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"

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Questions



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