



# 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](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

<b>Documents</b>	<b>Progress Invoice</b>	<b>Final Invoice</b>
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<sup>1</sup>

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: \_\_\_\_\_

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

	Frequency	Local Agency		Caltrans	
		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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Work performed/costs invoiced are consistent with approved project scope/limits of CTC Allocation and/or E-76	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	Phase(s) of work/fund types and amounts/reimbursement rates are consistent with state approved project Finance Letter	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 10: <ul style="list-style-type: none"> <li>• LAPM Exhibit 10-C, "Consultant Contract Reviewers Checklist", has been completed and is in the local agency project files.</li> <li>• For contracts over \$150,000, LAPM Exhibit 10-K(s) "Consultant Certification of Costs and Financial Management System" has been submitted to Caltrans A&amp;I.</li> <li>• 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.</li> <li>• 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</li> </ul>	1st New Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Construction Contract Change Orders (federally eligible, DLAE reviewed/concurred)	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Footnote:

This Local Agency Invoice Review Checklist acts as the Caltrans "receiving record"

November 2014  
for this invoice

# Invoice Review Check List Continued

 <b>Division of Local Assistance - Office Bulletin</b> <b>Office of Project Implementation</b>		<b>DLA-OB 14-05 – Attachment A</b> <b>Revised – July 01, 2014</b> 			
10	Level of work completed consistent with total federal/state funds invoiced <sup>2</sup>	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 <sup>3</sup> )	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	Submittal of Local Agency Invoice, signed Local Agency Invoice Review Checklist, and Billing Summary <sup>3</sup> with appropriate documentation	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>SECTION 2 - LOCAL AGENCY INVOICE CERTIFICATION / COMMENTS</u></b>					
<p>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.</p>					
_____ 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

# 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

# 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

# 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.

# 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

# 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

# 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)

# 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.

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Signature of Responsible Local Agency Representative

Date

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Printed Name and Title

For questions regarding this invoice, please contact:

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Local Agency Contact Name

E-mail Address

Phone No.

Local Agency Comments:

# Local Agency Invoice Review Checklist

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	<b>Division of Local Assistance - Office Bulletin</b> Office of Project Implementation	<b>DLA-OB 14-05 – Attachment A</b> Revised – July 01, 2014
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**SECTION 3 - CHECKLIST ITEMS TO BE COMPLETED BY CALTRANS**

DATE THAT CALTRANS RECEIVED LOCAL AGENCY INVOICE: \_\_\_\_\_

		Caltrans	
	Frequency	Confirm	N/A
14 Invoice Package Received/Date-Stamped by District/Invoice Package Receipt Date Logged into LP2000.	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>
15 Consultant Contract DBE Information Entered into LP2000 <sup>5</sup>	1 <sup>st</sup> Consultant Invoice	<input type="checkbox"/>	<input type="checkbox"/>
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	1 <sup>st</sup> Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>
17 Construction Contract Award DBE Information entered into LP2000 prior to submittal of Invoice Package documentation to LPA	1 <sup>st</sup> 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:**

- 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		
<b>Subtotal Labor</b>					<b>\$20,826.11</b>	<b>\$20,480.79</b>	<b>\$345.32</b>	<b>\$0.00</b>
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		
<b>Subtotal Direct Costs</b>						<b>\$8,202.67</b>	<b>\$0.00</b>	<b>\$1,957.32</b>

# Billing Summary R/W

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

# 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	43,200	\$ 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 \_\_\_\_\_.

	<b>Preliminary Engineering</b>	<b>Construction Engineering</b>	<b>Right of Way Acquisition</b>	<b>Construction Contract</b>	<b>Total</b>
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
<b>TOTAL INVOICE AMOUNT</b>					<b>\$25,621.67</b>



# 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

D4 Local Assistance Database System - Invoice - Windows Internet Explorer

http://10.32.17.55/invoice/index

File Edit View Favorites Tools Help

☆ Favorites D4 Local Assistance Database System - Invoice


Welcome, please log in. [Login](#)

D4 Local Assistance Database System

Home Car Reservations **Invoice** Field Review Log E76s Environmental Project List About

[Home](#) » Invoices

## Invoices

Last Import on 2014-10-31 18:01:17

Show Aging Invoices

Displaying 5361-5381 of 5381 results.

Actions	Engineer	Prefix	FPN	Date Received	Invoice ID	Agency Invoice ID	Date Rejected	Date To Accounting	Invoice Amount	Is Final Invoice	Final Inspection Date	Comment	Invoice Date	Days in Process	Status
	Louis Schuman	BRLO	5176(008)	2014-10-27	2nd	2		2014-10-29	\$8,440	N			2014-10-24	2	Approved
	Alan Wong	STPL	6084(180)	2014-10-27	3	AR0230		2014-10-29	\$1,000	N			2014-10-24	2	Approved
	Johnson Lee	HPLUL	5923(095)	2014-10-29	12	14-033			\$837	N			2014-10-24	5	Pending
	Johnson Lee	HPLUL	5923(098)	2014-10-29	12	14-034			\$1,583	N			2014-10-24	5	Pending
	Johnson Lee	BRLO	5923(067)	2014-10-29	26	14-058			\$842,080	N			2014-10-24	5	Pending
	Val Chauhan	HSIPL	5322(036)	2014-10-29	Final	AR225622			\$6,019	Y			2014-10-24	5	Pending
	Johnson Lee	BRLS	5923(024)	2014-10-30	28	14-059			\$19,689	N			2014-10-24	4	Pending
	Johnson Lee	STPL	5923(107)	2014-10-30	3Final	14-029			\$41,771	Y			2014-10-24	4	Pending
	Hsien-Ping Tang	NMPTL	5927(051)	2014-10-31	30	30			\$91,028	N			2014-10-24	3	Pending
	Val Chauhan	STPLCML	6480(006)	2014-10-28	1	2654		2014-10-29	\$570,062	N			2014-10-27	1	Approved

# Local Programs Accounting Tracking

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

Division of Accounting - Search payment history - Windows Internet Explorer

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

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## 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(086) or simply 5012(086).

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. **CLICK HERE**

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

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

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

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### 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/PO Number

Project Name

**Optional Search Criteria**

Invoice From Date  (DD/MM/YYYY)

Invoice To Date  (DD/MM/YYYY)

Invoice Number

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Type FPN in **Project Name** field  
Example: 6264(050)

# List of Invoice Payments

Division of Accounting - Search payment history - Windows Internet Explorer

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

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## Payment History Search Results

[search again](#)

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					

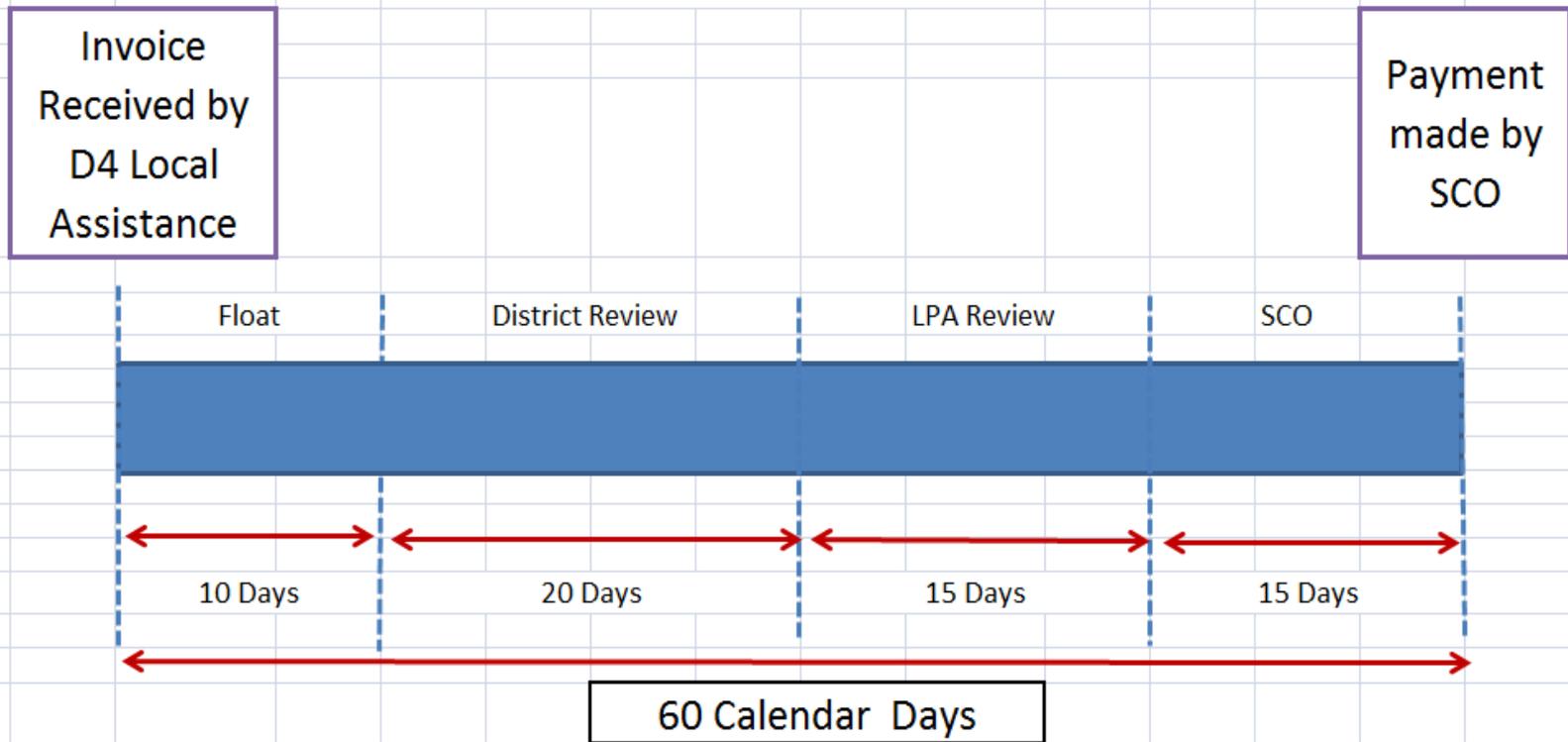
Internet | Protected Mode: On 160%

Use this cover page shown below for inactive projects

**INVOICE FOR  
INACTIVE PROJECT  
PLEASE  
EXPEDITE!**



# Time Line for Invoice Processing



LPA = Local Programs Accounting  
SCO= State Controller's Office

# 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

