

# 3 Invoicing

# Invoicing

## EXHIBIT 5-A: REQUIREMENTS PRIOR TO FIRST INVOICE

1. Executed PSA
2. Award Package and a copy of consultant agreements (including DBE for federal projects)
3. Common Delays include missing one or multiple of the following:
  - a. Exhibit 10-C (online database)
  - b. 10-0's (award docs)
  - c. 10-K (both Prime and sub consultants)
  - d. And task orders, etc
4. [LAPM Chapter 5](#) is the best resource for invoicing.
5. [LAPM Chapter 10](#)

## SECTION 4: CHECKLIST

Local Agency Name: \_\_\_\_\_

Billing No: \_\_\_\_\_ Federal / State Project No: \_\_\_\_\_

	Frequency	Local Agency		Caltrans
		Confirm	N/A	Concur
1 Executed Program Supplement Agreement (PSA) on file with Local Agency.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
2 Submittal of one signed original and one copy of completed Local Agency Invoice (LAPM 5-A) which includes Section 1: Invoice, Section 2: Indirect Cost Calculation, Section 3: Billing Summary (submit contractor pay estimate for construction invoices), and Section 4: Checklist.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
3 Reimbursable work claimed is after E-76 (Federal Authorization to Proceed) date and/or California Transportation Commission (CTC) State Allocation date.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
4 Work performed is prior to any lapsing / expiring funds. <ul style="list-style-type: none"> <li>• Check Finance Letter Reversion Date (Federal)</li> <li>• Verify Cooperative Work Agreement Approval (Federal / State)</li> <li>• CTC State Allocation Letter Fund Expiration Deadline (State)</li> </ul>	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
5 Invoice is consistent with current approved Finance Letter. <ul style="list-style-type: none"> <li>• Phases of Work</li> <li>• Fund Types (e.g., CMAQ, RSTP, etc.)</li> <li>• Reimbursement Ratios</li> <li>• Available Balance of Federal / State Funds</li> <li>• Cost Incurred prior to authorized Agreement End Date (AED)</li> </ul>	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
6 Invoiced amount shall be greater than 2% of the total Federal and/or State funds or \$1,000, whichever is greater, unless authorized by District Local Assistance Engineer (DLAE) to prevent inactivity.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
7 Percentage of work complete is consistent with total Federal / State funds invoiced (i.e., project should not be 80% expended if only 20% complete).	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
8 Remaining balance should not be less than Caltrans required retention (\$40,000 or 2% of the Federal / State funds, whichever is greater).	All Invoices prior to Final Invoice	<input type="checkbox"/>		<input type="checkbox"/>
9A All consultant agreements / amendments must follow the Caltrans procurement and oversight processes outlined in Local Assistance Procedures Manual Chapter 10. The following Exhibits must be sent to and received by the appropriate entities <u>prior to invoicing</u> : <ul style="list-style-type: none"> <li>• Submit Exhibit 10-C to Division of Local Assistance HQ – Office of Guidance and Oversight</li> <li>• Submit Exhibits 10-O1 and 10-O2 to DLAE</li> <li>• Submit Exhibit 10-K to Independent Office of Audits and Investigations</li> </ul>	All Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9B <ul style="list-style-type: none"> <li>• Submit copy of executed contract to the DLAE within 30 days of contract award or concurrently with first invoice, whichever is earlier.</li> <li>• For on-call contracts, submit copy of issued task order and Exhibit 10-O2 for the task order.</li> </ul>	All First Consultant Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 Verification of Project Award: Attach LAPM Exhibit 15-L (Federal projects), LAPG Exhibit 22-A (State ATP projects), and/or LAPM Exhibit 23-A (STIP projects).	First Construction Invoice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11 Submit contractor pay estimate with Billing Summary.	Construction Invoices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature of Local Agency Representative	Date	Print Name and Title
Signature of Caltrans District Reviewer	Date	Print Name/Title/Phone Number

Comments

# Invoicing

- ATP progress invoicing follows the same requirements as any State or Federal Program.
- Final Reports of Expenditures (FROE) follow the same requirements as any State or Federal Program. The only difference is the required :
  - FROE = Sent to the Districts
  - Completion Reports = Submitted at time of FROE, via CalSMART
  - Final Reports = Submitted via CalSMART
  - Supplemental documents submitted to [atpfinalreporting@dot.ca.gov](mailto:atpfinalreporting@dot.ca.gov)

