MTC SPOC Training

Caltrans District 4 Office of Local Assistance

Division of Local Assistance Website

- http://www.dot.ca.gov/localassistance/
- http://www.dot.ca.gov/dist4/ola/

Speaker: Sylvia Fung

Division of Local Assistance Website

Division of Local Assistance

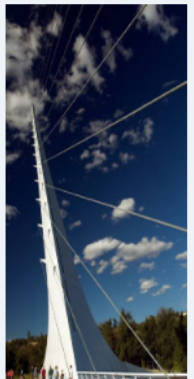
Share via:

Caltrans' Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services.

This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies.

Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects.

Welcome to the Division of Local Assistance



The Local Assistance Program, made up of the Division of Local Assistance in Headquarters and 12 District Local Assistance Offices, assist Local and Regional Agencies by ensuring specific program requirements are met, project applications are processed, and projects are delivered in accordance with Federal and State requirements.
The overhead associated with providing this support is only $27 M, or 2% of the capital funds that flow through to the local agencies.

Stay up-to-date by subscribing to the Division of Local Assistance Email Notifications list.

California's Governor

Edmund G. Brown Jr.

Visit His Webpage

Caltrans Director

Malcolm Dougherty

Caltrans

Acting Local Assistance Chief

John Hoole

Visit Website

Division Links

- Local Assistance Home Page
- DLA Sitemap
- Consultant Selection and Procurement
- Disadvantaged Business Enterprise
- Earmark Repurposing 2016
- E-76 Status
  - E-76 Waiting List
  - E-76 Obligated List
- Environmental

Speaker: Sylvia Fung

Division of Local Assistance Website – Cont'd

Announcements

- AB 1012 Balance Reports as of March 2017
- CMAQ/RSTP Monthly Activity Reports by Region as of March 2017
- Delivery Reports of Formula OA Funds as of March 2017
- Federal SRTS Project Delivery/Project Closeout Measures (March 2017)
- Safe Harbor Rate Test and Evaluation period has been extended to July 31, 2017 (PDF)
- Earmark Repurposing 2016 Updated September 14, 2016
- Division Chief's Letter to Local Agencies on 2016 Earmark Repurposing Information Update (PDF)
- Local Agency and Consulting Firm Conformance Review Process - Frequent Issues (PDF)
- CEAC Transportation Committee - 2013 Spring Conference
  - 2013 CEAC Conference Action Plan - Fact Sheet (DOCX)
  - 2013 CEAC Conference Action Plan - Status (XLSX)
  - 2013 CEAC Conference Action Plan - Team List (XLSX)
- Transportation Co-op Committee

Accessibility

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Local Assistance Contacts

LOCAL ASSISTANCE CONTACTS

Dist 1 | Dist 2 | Dist 3 | Dist 4 | Dist 5 | Dist 6 | Dist 7 | Dist 8 | Dist 9 | Dist 10 | Dist 11 | Dist 12

District 04 Local Assistance
Sylvia Fung
111 Grand Avenue (94612)
P. O. Box 23660
Oakland, CA 94623-0660
Public: (510) 286-5226, FAX: (510) 286-5705
Counties: Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, Sonoma

Office Directory

Office of Local Assistance		
SYLVIA FUNG	District Local Assistance Engineer (DLAE)	510-286-5226
Office Fax		510-286-5229
Peninsula and South Bay Region		
HIN KUNG	San Mateo, Santa Clara, San Francisco, DBE, State Programs, XCH, & FTA Programs Coordinator	510-622-5930
Marco Militante	San Mateo County	510-622-5919
Alan Wong	Santa Clara County, MTC & State Programs	510-286-5223
David Pneh	Santa Clara County	510-622-5909
Jimmy Panmai	San Francisco County	510-622-5910
East Bay Region		
JOHN BREWSTER	Alameda, Contra Costa, HSIP and ER Programs Coordinator	510-286-6485
Nam Nguygen	Alameda County	510-286-6372
Val Chauhan	Alameda County	510-286-5237
Robert Kroepfl	Contra Costa County	510-622-5921
Kevin Tran	Contra Costa County	510-622-5915
North Bay Region		
CHIEN WU	Solano, Napa, Sonoma, Marin, BART, GGBHTD, HBP Program Coordinator	510-286-5227
Thelma Riel	Project Support, E-76 Support, Invoice Support	510-286-5240
Johnson Lee	Solano County	510-286-5225
Ken Nguyen	Sonoma County	510-622-5916
Louis Schuman	GGBHTD, BART, Marin County	510-286-5232
Jae-Myung Lee	Napa County, Marin County	510-622-5917
XI ZHANG	ATP Coordinator, Env Support	510-622-5929
EPHREM MEHARENA	VTA Liason	510-286-5228
Construction Oversight		
MOE SHAKERNIA	Alameda, Contra Costa, Marin, Napa, Solano, Sonoma	510-286-5541
SIOBHAN SAUNDERS	San Francisco, San Mateo, Santa Clara	916-539-5081
Environmental		
TOM HOLSTEIN	Env. Coordinator	510-286-6371
Sophie Young	Alameda, Contra Costa, Solano, Special Projects	510-286-5250
Jose Reyes	Environmental Support, Local Agency Training, Invoice Support	510-286-5233
Hugo Ahumada	Marin, San Mateo, Sonoma	510-622-8790
Dan Rivas	Napa, San Francisco, Santa Clara	510-286-5743
KAREN(CARRIE) REICHARDT	Cultural Resources	510-286-5530
HAIYAN ZHANG	NEPA Delegation	510-286-5235

Roles of SPOC

Chien Wu
Senior Transportation Engineer

ATP –Active Transportation Program

Coordinator – Xi Zhang

Semi- annual reports from the agency

http://www.dot.ca.gov/hq/LocalPrograms/atp/proj_report.html

HSIP- Highway Safety Improvement Program

Coordinator – John Brewster

Alternate – Ephrem Meharena

Call for projects – once per year, periodic updates on the program, notices of non-delivery of projects

HBP – Highway Bridge Program

Coordinator – Chien Wu

Alternate – Jae-Myung Lee

Annual HBP surveys – September each year

2016 Federal Highway Bridge Program Survey

Return to CALTRANS, District Local Assistance by (email) COB, September 16, 2016

District: 04 Responsible Agency: Albany

Fed. Proj.:

Proj id: 4157 BRIDGE NO. 33C0184, BUCHANAN ST OVER UP RR, BNSF RY, & AMTRAK, NEAR I-80. Bridge preventive maintenance project.

Do you request this project be removed from the FTIP? ☐ Yes ☐ No **If yes, please sign and date this form and skip the other information.**

Has Construction been authorized? ☐ Yes ☒ No **If "Yes," provide date:** _____ **PE Authorization Date:** _____

PE Time Extension exp. Date: _____

Is Environmental clear? YES, Date: _____ **or NO (Circle) If no, provide target date (Month/Year):** _____

Are permits executed? YES, Date: _____ **or NO (Circle) If no, provide target date (Month/Year):** _____

When will R/W be certified (Month/Year)? _____ **R/W Authorization Date:** _____

Is the construction E76 package (incl. PS&E Cert.) complete? ☐ Yes ☒ No **If no, provide target date (Month/Year):** _____

Are STIP funds providing the Local Match? ☐ Yes ☒ No

Please markup the below funding and schedule consistent with the above target dates. Provide TOTAL Costs (not federal share).
(Cost/schedule changes must be documented at a later time by an Exhibit 6D and approved by CALTRANS prior to obligation of federal funds.)

Provide Total Project Costs by FEDERAL Fiscal Year 10/1/xxxx thru 9/30/xxxx (HBP+matching funds, state or local match)

	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total Cost	
PE			40,000						40,000	
R/W					4,000				4,000	
Con								291,300	291,300	**Federal** Funds
Total			40,000		4,000			291,300	335,300	Oblig. to date:

Current year **Fed. $ Oblig:**

Prop 1B Seismic match: _____

Provide risk assessment to obtain Environmental clearance (including permits) or R/W clearance target dates. Describe issues:

_____

_____

_____

_____

Project Manager (Print): _____ Date: _____

Phone: _____

RETURN (email) this survey to CALTRANS District Local Assistance by COB September 16, 2016.

Caltrans, Division of Local Assistance 8/22/2016, 11:25 AM Survey2016 Page 1 of 1

2016 Federal Highway Bridge Program Survey

Return to CALTRANS, District Local Assistance by (email) COB, September 16, 2016

Fed. Proj.:

District: 04 Responsible Agency: Albany

Proj id: 4157 BRIDGE NO. 33C0184, BUCHANAN ST OVER UP RR, BNSF RY, & AMTRAK, NEAR I-80. Bridge preventive maintenance project.

Do you request this project be removed from the FTIP? ☐ Yes ☒ No **If yes, please sign and date this form and skip the other information.**

Has Construction been authorized? ☐ Yes ☒ No **If "Yes," provide date:** _____ **PE Authorization Date:** _____

PE Time Extension exp. Date: _____

Is Environmental clear? YES, Date: IN PROCESS **or NO (Circle)** **If no, provide target date (Month/Year):** OCTOBER 2016

Are permits executed? YES, Date: IN PROCESS **or NO (Circle)** **If no, provide target date (Month/Year):** DECEMBER 2016

When will R/W be certified (Month/Year)? DECEMBER 2016 **R/W Authorization Date:** _____

Is the construction E76 package (incl. PS&E Cert.) complete? ☐ Yes ☒ No **If no, provide target date (Month/Year):** _____

Are STIP funds providing the Local Match? ☐ Yes ☒ No

Please markup the below funding and schedule consistent with the above target dates. Provide TOTAL Costs (not federal share).
(Cost/schedule changes must be documented at a later time by an Exhibit 6D and approved by CALTRANS prior to obligation of federal funds.)

Provide Total Project Costs by FEDERAL Fiscal Year 10/1/xxxx thru 9/30/xxxx (HBP+matching funds, state or local match)

	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total Cost
PE			~~40,000~~	40,000					40,000
R/W				4000	~~4,000~~				4,000
Con					291,300			291,300	291,300
Total			~~40,000~~	44,000	~~4,000~~			291,300	335,300

Federal Funds Oblig. to date:

Current year Fed. $ Oblig: 291,300

Prop 1B Seismic match: _____

Provide risk assessment to obtain Environmental clearance (including permits) or R/W clearance target dates. Describe issues:

WE ARE CURRENTLY WORKING ON OBTAINING E-76 FOR DESIGN

Project Manager (Print): ALEIDA ANDRINO-CHAVEZ Date: 9/16/16

Phone: 510 528 5759

RETURN (email) this survey to CALTRANS District Local Assistance by COB September 16, 2016.

Caltrans, Division of Local Assistance 8/22/2016, 11:25 AM Survey2016 Page 1 of 1

DBE- Disadvantaged Business Enterprise

Coordinator – Hin Kung

Alternate – Jimmy Panmai

Exhibit 9B – Due by June 30 each year for the following federal fiscal year

CWA – Cooperative Work Agreement

Coordinator – Hin Kung

Time extension requests between September and October

Approvals from Department of Finance in February of the following year

Request for Authorization (RFA) and CTC Allocation

Ephrem Meharena
Senior Transportation Engineer

Xi Zhang
Senior Transportation Engineer

Typical procedures for federal-aid projects

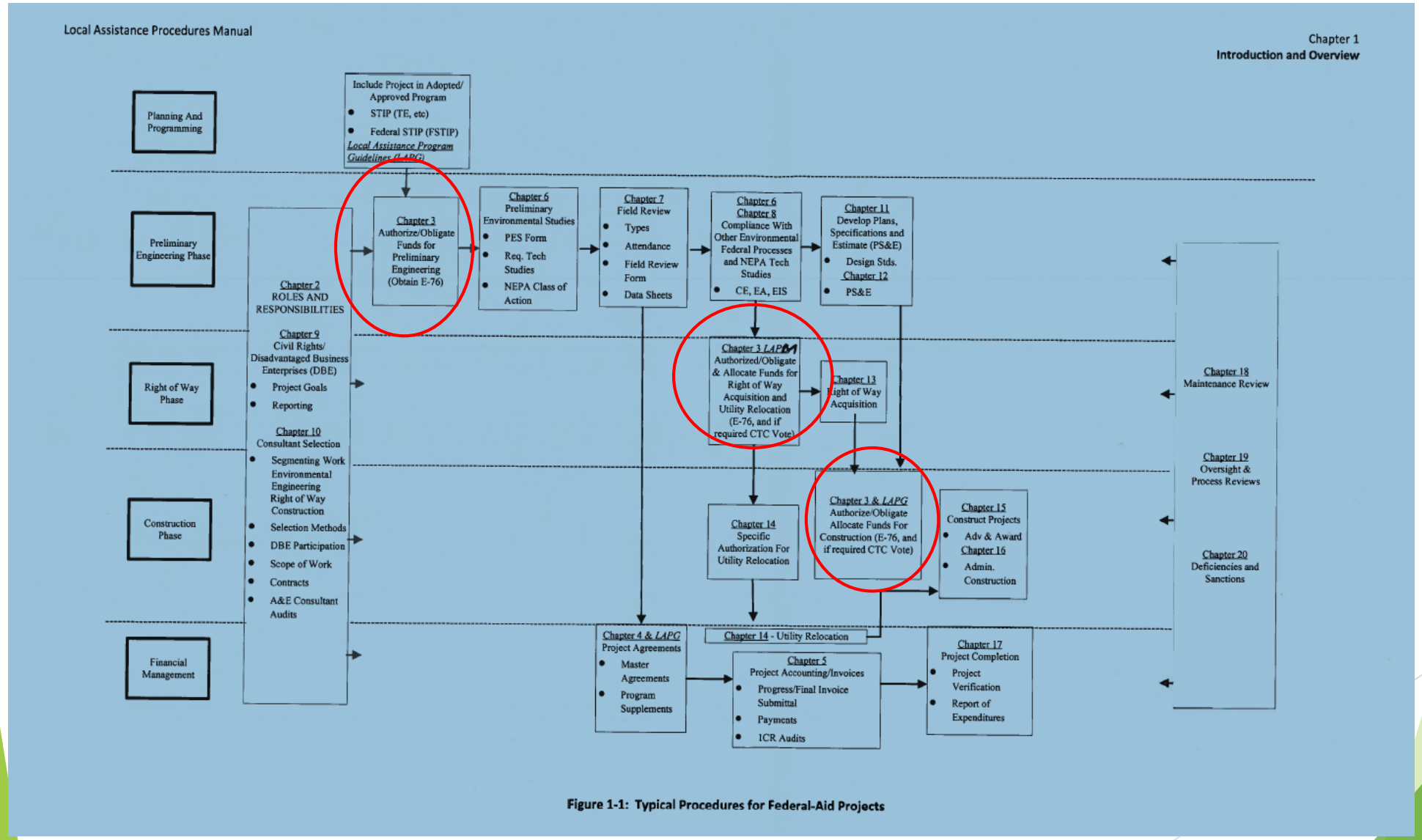

Figure 1-1: Typical Procedures for Federal-Aid Projects

PRIOR TO FEDERAL AUTHORIZATION

- All federally funded transportation projects must be included in the current federally approved Federal Transportation Improvement Program/Federal Statewide Transportation Improvement Program.

FTIP

Must Identify:

. Project Description

. Scope of Work & Project Limits

. Project Total Cost

. Project Implementing Agency

. Federally Funded Phases of Work

. Programmed FFY

. Types & Amounts of Federal Funds & Other Funds

FTIP: http://mtc.ca.gov/our-work/fund-invest

METROPOLITAN TRANSPORTATION COMMISSION

MTC is the transportation planning, financing and coordinating agency for the nine-county San Francisco Bay Area.

Search

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GETTING AROUND | WHAT'S HAPPENING | TOOLS + RESOURCES | OUR WORK | ABOUT MTC

HOME / OUR WORK / FUND + INVEST / TRANSPORTATION IMPROVEMENT PROGRAM (TIP)

Fund + Invest

- Fund + Invest
- Investment Strategies + Commitments
- Cap and Trade Funding
- Sales Tax and Gas Tax Funding
- Toll Funded Investments
- Federal Funding
- **Transportation Improvement Program (TIP)**
  - TIP Revisions
  - TIP Grouped Listings
  - TIP Appendices
  - 2017 TIP
  - Draft 2017 TIP
  - 2015 TIP Revisions
- Fund Management System
- Calls for Projects

Transportation Improvement Program

Draft TIP Revision 2017-14 and Draft Transportation-Air Quality Conformity Analysis: Draft Plan Bay Area 2040 and Amended 2017 TIP

The Metropolitan Transportation Commission has released the Draft Transportation Improvement Program (TIP) Amendment 2017-14 and Draft Transportation-Air Quality Conformity Analysis: Draft Plan Bay Area 2040 and Amended 2017 TIP for public review and comment. The Draft TIP Amendment 2017-14 serves to conform the 2017 TIP to the Draft Plan Bay Area 2040. In total, this amendment proposes to add, revise or remove 61 projects with a net increase in funding of approximately $3.8 billion. This amendment also includes a supplemental report that identifies Plan Bay Area 2040 projects that the remaining projects in the 2017 TIP rely on to be consistent with the Plan. Details of the amendment can be found on our website at mtc.ca.gov/our-work/fund-invest/tip/tip-revisions-and-amendments.

MTC has also prepared a Draft Transportation-Air Quality Conformity Analysis: Draft Plan Bay Area 2040 and Amended 2017 TIP. This Draft Transportation-Air Quality Conformity Analysis demonstrates that the TIP and Plan are consistent with ("conform to") the federal air quality plan known as the State Implementation Plan (SIP). The Conformity Analysis document may be found on our website at 2040.planbayarea.org/reports.

Speaker: Ephrem Meharena

Sample FTIP sheet:

Roadway Projects

Alameda County

State Highway Projects

TIP ID: **ALA070042** County: Alameda System: State Highway RTP ID: 22670 CTIPS ID: 20600003994

Sponsor: Alameda County Transportation Commission (ACTC) Implementing Agency: Caltrans

Project Name: I-880 SB HOV Lanes - Marina Blvd to Hegenberger

Description: I-880 Corridor: From Marina Blvd in San Leandro to Hegenberger in Oakland; Construct new SB HOV lanes and reconstruction of interchanges at Marina Blvd and Davis St. and soundwall construction.

Air Quality Exempt Code: NON-EXEMPT

Route: 880 Post Mile From: 22.6 Post Mile To: 25.5 Toll Credits:

All funding in thousands of dollars

Phase	Fund Source	Prior Years	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	Future Years	Total Programmed
ENV	OTHER LOCAL	$ 2,096						$ 2,096
PE	CMAQ	$ 7,582						$ 7,582
PE	OTHER LOCAL	$ 4,120						$ 4,120
PE	SALESTAX-MEASURE	$ 55						$ 55
PE	STP	$ 198						$ 198
PSE	RIP-TE	$ 400						$ 400
ROW	OTHER LOCAL	$ 1,603						$ 1,603
CON-CT	OTHER LOCAL	$ 620						$ 620
CON-CT	PROP	$ 10,900						$ 10,900
CON	EARMARK		$ 540					$ 540
CON	OTHER LOCAL	$ 4,800	$ 500					$ 5,300
CON	PROP	$ 83,700						$ 83,700
Total Programmed Funding:			$ 1,040					$ 117,114

Grouped Listing:

Non capacity increasing projects must be included in the respective grouped Project Listing:

- Highway Bridge Program.(HBP) (Non-capacity increasing)
- Highway Safety Improvement Program (HSIP)
- Don’t forget: Back-up List of Projects

Example of back-up listing:

2014/15-2019/20 Highway Bridge Program

See the appropriate FTIP/FSTIP for current funding commitments. This listing provides the backup project information to support the lump sum amounts programmed in the FTIP.

District: 04 County: Santa Clara

Responsible Agency	HBP-ID	Project Description
Santa Clara County	189	BRIDGE NO. 37C0172, NEW AVE, OVER RED FOX CREEK, 1.6 MI N LEAVESLY ROAD. Bridge Replacement 4/5/2010: Toll Credits programmed for PE & Con. 10/3/2011: Toll credits used for R/W. Replace two-lane with two-lane bridge.

Project #: 5937(182)

Phase Summary:	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total
PE	500,000			500,000					1,000,000
R/W							25,000		25,000
CON								3,800,000	3,800,000
Total	500,000			500,000			25,000	3,800,000	4,825,000

Fund Source Summary:	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total
Fed $	500,000			500,000			25,000	3,800,000	4,825,000
Local Match									
LSSRP Bond									
Local AC									
Total	500,000			500,000			25,000	3,800,000	4,825,000

PE Summary:	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total
Fed $	500,000			500,000					1,000,000
Local Match									
LSSRP Bond									
Local AC									
Total	500,000			500,000					1,000,000

R/W Summary:	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total
Fed $							25,000		25,000
Local Match									
LSSRP Bond									
Local AC									
Total							25,000		25,000

CON Summary:	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Beyond	Total
Fed $								3,800,000	3,800,000
Local Match									
LSSRP Bond									
Local AC									
Total								3,800,000	3,800,000

Speaker: Ephrem Meharena

PRIOR TO FEDERAL AUTHORIZATION

DBE

- Local agency must have a signed and accepted DBE Implementation Agreement (Ex-9A)
- Approved DBE Annual Submittal Form (Ex-9B) for current federal fiscal year.
- Annual ADA Certification Form (Ex-9C)(Submit to Hin Kung)

CTC Allocation for ATP/STIP Funds (if any)

- Must be submitted concurrently with the E-76 request.

PROJECT AUTHORIZATIONS

- **QAP- Quality Assurance Plan:** Current local agency approved QAP prior to RFA (Construction) submittal (Valid for 5 years).

Project authorization is the process that allows the Local Agency to:

- Begin reimbursable work on federal-aid projects
- Advertise for construction contracts

Submittal of RFA Package:

All E-76 Request for authorization packages need to be mailed to Thelma Riel who is the primary contact for E-76.

Thelma Riel

Office of Local Assistance, District 4

111 Grand Avenue, MS 10B

Oakland, CA 94612

E-mail: thelma.riel@dot.ca.gov

Phone : 510-286-5240

AUTHORIZATION PROCESS

- Local Agency submits hard copy request to DLAE
- DLAE reviews request for completeness and accuracy and submits E76 (FADS) with back up documentation to HQ
- HQ reviews and submits E76 and support documentation to FHWA
- FHWA authorizes and obligates the federal funds
- DLAE issues Notice to Proceed to Local Agency

THE E-76

- Written confirmation of authorization
- Establishes effective date of phase authorization
- Reflects federal funds obligated
- Establishes federal share of project cost
- Establishes scope and limits of project

RFA PACKAGES by Phase

	Document	PE	ROW	Con	NI
	RFA to Proceed	3A	3B	3D	3Q
	FTIP/FSTIP	√	√	√	√
	Finance Letter	3O	3O	3O	3O
	Data Sheets	3E	3E	3E	3E
	Field Review Form	7B	7B *	7B *	7B *
	NEPA		√	√	√
	Engineer's Estimate		√	√	√
	PS&E Certificate			12C	
	PS&E Checklist			12D	
	Right of Way Certificate			13A/13B	
	Local Agency Construction Checklist			15A	
	PS &E Package			√	
	Work Plan				3R/22R*

* - required if not previously submitted Exhibit 3R on LAPM, Exhibit 22R on LAPG

PE Authorization to Proceed

- Exhibit 3-E (Data Sheets)
- FSTIP/FTIP Reference
- Agency Finance Letter
- Complete Field Review Form

- Covers Preliminary Engineering work associated with Environmental studies, NEPA approval, and Final Design-Plans, Specifications and Estimates, PS&E.
- Final Design can begin only after NEPA clearance.
- May include preliminary R/W activities necessary to develop project alternatives.

PE Over 10 Years

http://www.dot.ca.gov/hq/LocalPrograms/pe_over_10yrs.html

CALTRANS DIVISION OF LOCAL ASSISTANCE

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Caltrans > Local Assistance > PE Phase Over 10 Years >

Preliminary Engineering Phase Over 10 Years

Headquarters, Division of Local Assistance (DLA), Office of Project Delivery and Accountability, in coordination with District Local Assistance Engineers (DLAEs), reviews and prepares Time Extension Requests for all projects that have not proceeded out of the Preliminary Engineering Phase within 10 years of the initial project authorization. DLA monitors and reports annually to FHWA concerning progress.

Code of Federal Regulations 23 CFR 630.112 (C)(2)

United States Code Title 23 Section 102(b)

In the event that right-of-way acquisition for, or actual construction of, the road for which this preliminary engineering is undertaken is not started by the close of the tenth fiscal year following the fiscal year in which the project is authorized, the STD will repay to the FHWA the sum or sums of Federal funds paid to the transportation department under the terms of the agreement. The State may request a time extension for any preliminary engineering project beyond the 10-year limit with no repayment of Federal funds, and the FHWA may approve this request if it is considered reasonable.

NOTE: *All approved Preliminary Engineering Time Extension Requests may be de-obligated for any unexpended balances that are not invoiced within the time frames designated in 23 CFR 630.106*

- PE Phase Over 10 Years (PE 10) - PROJECT LIST (Status Update) NEW
  - Updated On: 04/26/2017
  - Submission Deadlines: see PE Phase Over 10 Years Project List above
  - **NOTE:** This Project List contains Current PE>10 AND all projects that will reach PE>10 within the next two years.

Speaker: Ephrem Meharena

R/W Authorization to Proceed

- If Federal reimbursement is sought for any phase of the project, all R/W activities must confirm to federal requirements.
- NEPA Environmental clearance required prior to Authorization.
- Must be obtained prior to negotiation with owners.
- Complete Field Review ***(unless previously submitted)***

Construction Authorization to Proceed:

- Required prior to Advertising Construction Contract.
- NEPA Clearance required prior to Federal Authorization.
- R/W Certification required.

Note: Projects advertised prior to federal authorization are not eligible for federal reimbursement.

RFA-NI (Non-Infrastructure) Typical Documentation

- Exhibit 3-E (Data Sheets)
- FSTIP/FTIP Reference Sheet
- Agency Finance Letter 3-O
- NI Project Work Plan / ATP – Exhibit 22R on LAPG
- Complete Field Review Form ***(unless previously submitted) 7-B***
- Approved NEPA Environmental Document
- **NO R/W Certification Required**

PROJECT AUTHORIZATION- RECAP

- Only for federally funded projects
- For each federally funded phase of work
- Work done prior to authorization is ineligible for reimbursement
- Do not advertise prior to receipt of a written Notice to Proceed

Sample E-76 PAGE 1/2

AMENDMENT MODIFICATION SUMMARY - (E-76)

FEDERAL AID PROGRAM | **CALIFORNIA DEPARTMENT OF TRANSPORTATION**

DLA LOCATOR: 04-SCL-0-CR
PREFIX: STPCML
PROJECT NO: 5937(196)
SEQ NO: 2
STATE PROJ NO: 0414000214L-N
AGENCY: SANTA CLARA
ROUTE:
DISASTER NO:
TIP DATA
MPO: MTC
FSTIP YR: 16/17
STIP REF: 206-0000-5638
FSTIP ID NO: SCL130037
BRIDGE NO:

PROJECT LOCATION:
CAPITOL EXPRESSWAY: SOUTH CAPITOL AVE TO ROUTE 87
TYPE OF WORK:
UPGRADE TRAFFIC SIGNALS
FED RR NO'S:
PUC CODES:
PROJ OVERSIGHT: ASSUMED/LOCAL ADMIN
ENV STATUS / DT: DELEG TO STATE USC 326/SEC 6004 04/20/2016
RW STATUS / DT: 1 12/30/2016
INV RTE:
BEG MP:
END MP:

PREV AUTH / AGREE DATES:
PE: 2014-02-07 00:00:00.0
R/W:
CON:
SPR:
MCS:
OTH:

PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID
M003	10	15				
Z003	30	24				
Z003	31	17				
Z240	30	24				
Z240	31	17				

FUNDING SUMMARY

PHASE		PROJECT COST	FEDERAL COST	AC COST
PE	PREV. OBLIGATION	$1,434,000.00	$1,269,000.00	$0.00
	THIS REQUEST	$0.00	$0.00	$0.00
	SUBTOTAL	$1,434,000.00	$1,269,000.00	$0.00
R/W	PREV. OBLIGATION	$0.00	$0.00	$0.00
	THIS REQUEST	$0.00	$0.00	$0.00
	SUBTOTAL	$0.00	$0.00	$0.00
CON	PREV. OBLIGATION	$0.00	$0.00	$0.00
	THIS REQUEST	$7,028,299.00	$6,222,152.00	$0.00
	SUBTOTAL	$7,028,299.00	$6,222,152.00	$0.00
OTH	PREV. OBLIGATION	$0.00	$0.00	$0.00
	THIS REQUEST	$0.00	$0.00	$0.00
	SUBTOTAL	$0.00	$0.00	$0.00
	TOTAL:	$8,462,299.00	$7,491,152.00	$0.00

STATE REMARKS

01/27/2014 Project limit: Capitol Expressway (South Capitol Avenue to SR87)
Low Risk ITS
01/30/2014 * SEQ 1: Authorizing federal funds for PE
* Final design is not to start until the environmental document (NEPA) is completed.
* Emisions Reduction Benefit (kg/day) - VOC: 132.22, PM25:P 4.53, CO: 746.83, NOX: 83.74, PM10: 6.43, CO2: 56367.5
02/07/2017 * SEQ 2: Authorizing federal funds for CON & CENG

FEDERAL REMARKS

Speaker: Ephrem Meharena

E-76 Sample PAGE 2/2

AUTHORIZATION

AUTHORIZATION TO PROCEED WITH REQUEST: CON
FOR: CON & CENG
DOCUMENT TYPE: AMOD

PREPARED IN FADS BY: MEHARENA, EPHREM ON 2017-02-06 286-5228
REVIEWED IN FADS BY: HOANG, KHA B ON 2017-02-07 653-6460
SUBMITTED IN FADS BY: ANDERSON, PETER ON 2017-02-09 FOR CALTRANS
PROCESSED IN FADS BY: HUEY, SHUN ON 2017-02-09 FOR FHWA
E-76 AUTHORIZED DATE IN FMIS BY: TASIA PAPAJOHN ON 2017-02-10 16:27:11.0

SIGNATURE HISTORY FOR PROJECT NUMBER 5937(196) AS OF 05/05/2017

FHWA FMIS SIGNATURE HISTORY

MOD #	SIGNED BY	SIGNED ON
1	SHUN HUEY	02/10/2017
	LANH PHAN	02/10/2017
	TASIA PAPAJOHN	02/10/2017
0	SHUN HUEY	02/05/2014
	PETER M. PANGILINAN	02/07/2014
	TASIA PAPAJOHN	02/07/2014

FHWA FMIS 3.0 SIGNATURE HISTORY

CALTRANS SIGNATURE HISTORY

DOCUMENT TYPE	SIGNED BY	SIGNED ON
AMEND/MOD	ANDERSON, PETER	02/09/2017

E-76 Status

http://www.dot.ca.gov/hq/LocalPrograms/E-76-status.php | Federal Aid Data System | E-76 List Search

File Edit View Favorites Tools Help

Page Safety Tools

ttp://www.dot.ca.gov/hq/LocalPrograms/E-76-status.php

Skip to: Content |

CA.GOV CALTRANS DIVISION OF LOCAL ASSISTANCE

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- DLA Sitemap
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- Disadvantaged Business Enterprise
- Earmark Repurposing 2016
- E-76 Status
  - E-76 Waiting List
  - E-76 Obligated List
- Environmental
- Forms
  - LAPM Forms
  - LAPG Forms
  - FormsPLUS
- Inactive Projects
- Local Assistance Blog

Caltrans > Local Assistance >**E-76 Status**

E-76 Waiting List

E-76, formally called an "Authorization to Proceed", is a federal authorization of funds to estab
request is required for preliminary engineering (PE), right of way, utility relocation, and constru

This **E-76 Waiting List** provides the information for **all waiting E-76s** as well as **E-76s obligat**
since 2014 (01/01/2014--end of last month), please visit the following website at:

http://www.dot.ca.gov/hq/LocalPrograms/E-76-status3.php

User can use Firefox, Chrome or Avant to review the report. Some versions of Internet E:

Search by project ID -- *Example:* **5908** *or* **5908(031)**

5937(210) Search

Or Search by agency name --Example "**sacramento county**"

Sample status search result:

http://www.dot.ca.gov/hq/LocalPrograms/E-76-status.php | Federal Aid Data System | dot.ca.gov

File Edit View Favorites Tools Help

Page Safety Tools

E-76 status data updated at 2017-05-08 7:30 AM

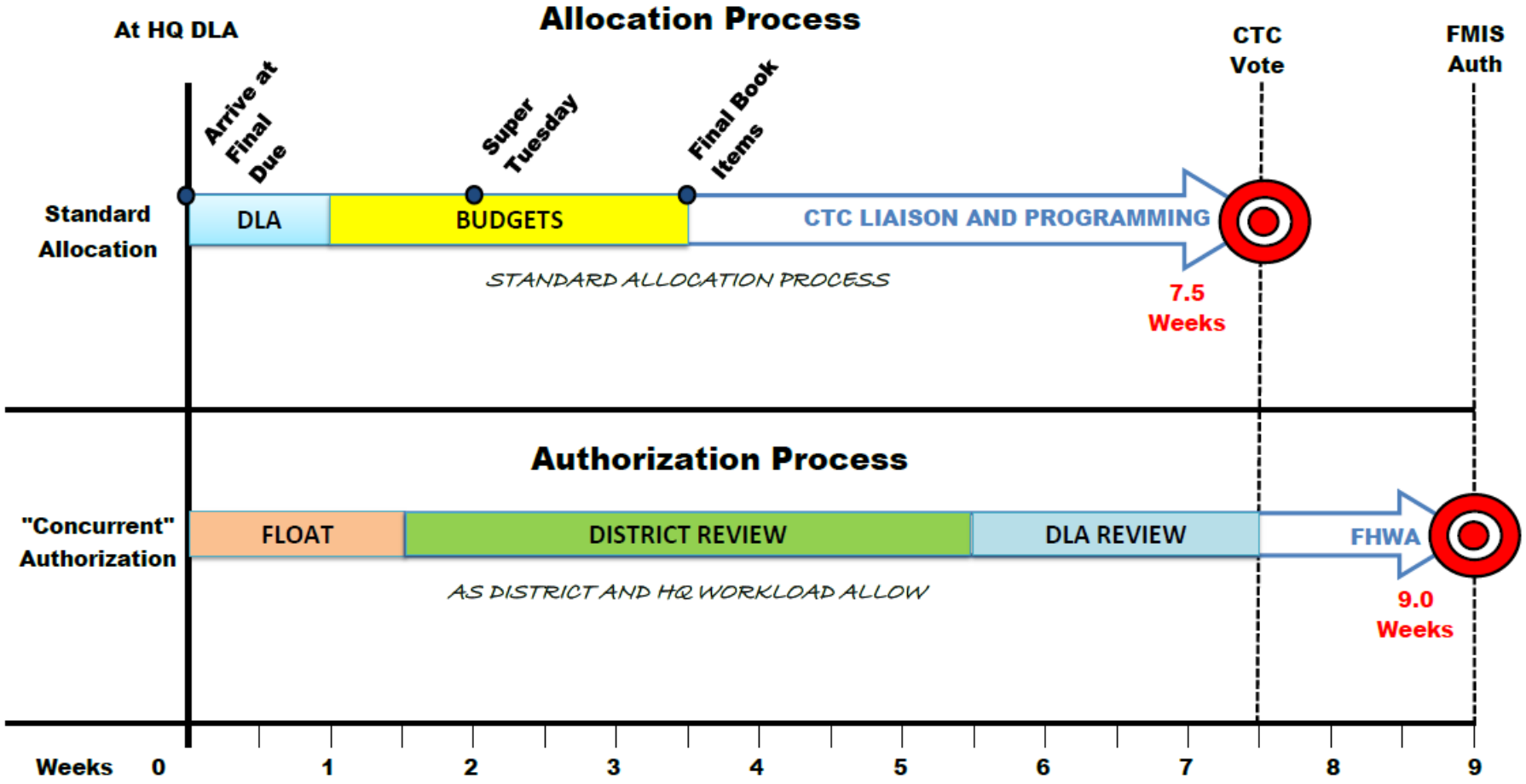
Prefix	Project No	FTIP No	Agency	Location	Type of Work	Dist Create Date	Dist Processing Days	To HQ Date	HQ Processing Days	To FHWA Date	FHWA Processing Days	To FMIS Date	E-76 is at	Dist	Fed Amount	AC Amount	Total Amount	Comment
BRLO	5937 (210)	NA	Santa Clara County	Alamitos Road Over Herbert Creek (br 37c0501)	Bridge Replacement (tc)	2017-05-01	3	2017-05-04	1	2017-05-05	NA	NA	FHWA	04	580000	0	580000	..

1 records found for project(s) '5937(210)'.
If you cannot find a particular project, the project is either processed through FMIS before last month or is not processed by district yet.
Refresh page to start new search.

Goals (in Calendar days) District 28 days, HQ 14 days, FHWA 10 days.

CTC Allocation

- Required for ATP and STIP projects
- Concurrent Allocation and E76 submittal (required by MTC / D4)



Speake

Standard Allocation - 7.5 weeks (minimum)
Concurrent Authorization Process - adds 1.5 weeks
(Note - "Sequential" Authorization Process would add 7.5 weeks)

CTC Meeting Agenda and Submittal Deadline

- CTC Meeting Agenda (http://www.catc.ca.gov/meetings/schedules/2017_Meeting_Schedule_102016.pdf)
- Two-months lead time for allocation/extension requests

  http://www.dot.ca.gov/hq/transprog/ctcliaison.htm

2017 MEETING SCHEDULE
CALIFORNIA TRANSPORTATION COMMISSION

Updated October 20, 2016

JANUARY 18(W) – 19(TH), 2017 – SACRAMENTO

FEBRUARY 2017 – NO REGULARLY SCHEDULED COMMISSION MEETING

MARCH 15(W) – 16(TH), 2017 – SOUTHERN CALIFORNIA

March 15 – Commission Retreat, Southern California

APRIL 2017 – NO REGULARLY SCHEDULED COMMISSION MEETING

April 12 & 13 – Town Hall Meeting - Imperial County

MAY 17(W) – 18(TH), 2017 – SAN DIEGO

JUNE 28(W) – 29(TH), 2017 – SACRAMENTO

JULY 2017 – NO REGULARLY SCHEDULED COMMISSION MEETING

AUGUST 16(W) – 17(TH), 2017 – BAY AREA

SEPTEMBER 2017 – NO REGULARLY SCHEDULED COMMISSION MEETING

September 13 & 14 – Town Hall Meeting - Mono County

OCTOBER 18(W) – 19(TH), 2017 – MODESTO

October 18 – Commission Retreat, Modesto

NOVEMBER 2017 – NO REGULARLY SCHEDULED COMMISSION MEETING

DECEMBER 6(W) – 7(TH), 2017 – INLAND EMPIRE

2017 PREPARATION SCHEDULE

CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS

AGENDA ITEM(S) DUE DATES

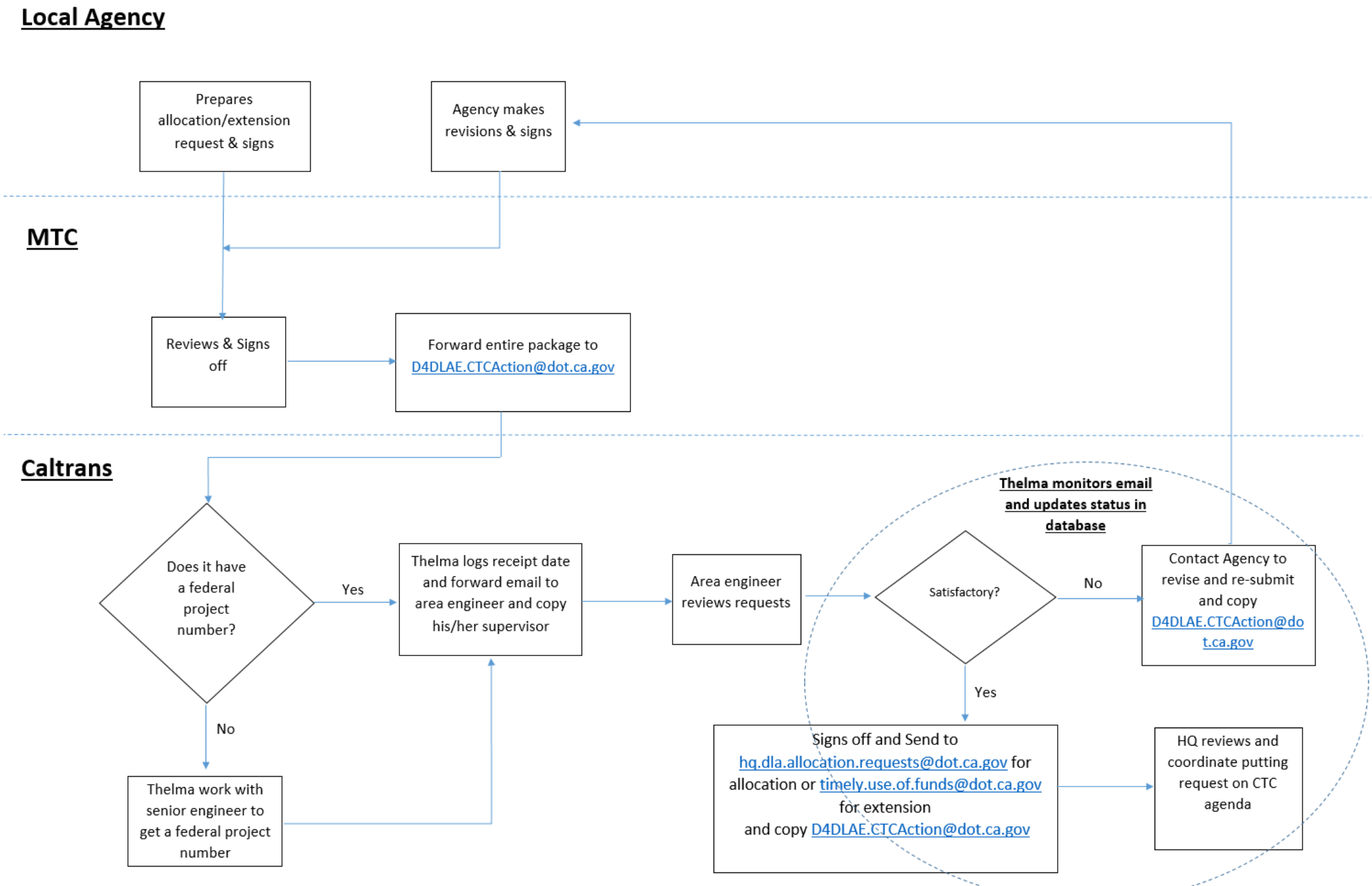
Prepared by:
OFFICE OF CTC LIAISON
DIVISION OF TRANSPORTATION PROGRAMMING
CALIFORNIA DEPARTMENT OF TRANSPORTATION
http://www.dot.ca.gov/hq/transprog/ctcliaison.htm

Effective:
February 2017

2017 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts (and CTC Staff for Prop 116 Rail)	District Submits Off System and On System Requests to HQ Divisions	HQ Divisions Submit Final Off System and On System Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions/ Funds Request email	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
Jan 18-19 - Sacramento Area	Mon, Nov 21, 16	Mon, Nov 28, 16	Mon, Dec 5, '16	Wed, Dec 14, '16	Thu, Dec 22, '16
March 15-16 - Los Angeles	Tue, Jan 17, 17	Mon, Jan 23, 17	Mon, Jan 30, '17	Wed, Feb 8, '17	Thu, Feb 16, '17
May 17-18 - San Diego	Mon, Mar 20, 17	Mon, Mar 27, 17	Mon, Apr 3, '17	Wed, Apr 12, '17	Thu, Apr 20, '17
June 28-29 - Sacramento Area	Mon, May 1, 17	Mon, May 8, 17	Mon, May 15, '17	Wed, May 24, '17	Thu, Jun 1, '17
August 16-17- Bay Area	Mon, Jun 19, 17	Mon, Jun 26, 17	Mon, Jul 3, '17	Wed, Jul 12, '17	Thu, Jul 20, '17
October 18-19 - Modesto	Mon, Aug 21, 17	Mon, Aug 28, 17	Tue, Sep 5, '17	Wed, Sep 13, '17	Thu, Sep 21, '17
December 6-7 - Inland Empire	Mon, Oct 9, 17	Mon, Oct 16, 17	Mon, Oct 23, '17	Wed, Nov 1, '17	Thu, Nov 9, '17
	Holiday - MLK		Holiday - July 4 Holiday - Labor Day		

** No Scheduled Meeting in: February, April, July, September and November*

Updated: 1/26/2017 - Change to meeting locations for May, August & October


Local Agency
Prepares allocation/extension request & signs
Agency makes revisions & signs
MTC
Reviews & Signs off
Forward entire package to D4DLAE.CTCAction@dot.ca.gov
Caltrans
Does it have a federal project number?
Yes
No
Thelma work with senior engineer to get a federal project number
Thelma logs receipt date and forward email to area engineer and copy his/her supervisor
Area engineer reviews requests
Thelma monitors email and updates status in database
Satisfactory?
No
Contact Agency to revise and re-submit and copy D4DLAE.CTCAction@dot.ca.gov
Yes
Signs off and Send to hq.dla.allocation.requests@dot.ca.gov for allocation or timely.use.of.funds@dot.ca.gov for extension and copy D4DLAE.CTCAction@dot.ca.gov
HQ reviews and coordinate putting request on CTC agenda

New CTC Allocation / Extension Process

- Fully electronic, no hardcopy required
- Centralized email address for receiving requests

  D4DLAE.CTCAction@dot.ca.gov
- Quality control
- Tracking and status update

	Alloc. Request	Alloc. Chklst	Finance Letter	FTIP/FSTIP Sht.	CEQA	NEPA *1	ROW Cert
PA&ED	■	■	■	■			
PS&E	■	■	■	□	■		
RW	■	■	■	□	■	■	
CON	■	■	■	□	□	□	■

LEGEND

■ = Required Document

□ = Req'd if not submit previously or have significant change since previous submittal

*1 = Required if Federal Funds involved

Timely Use of Funds (TUFs)

- Allocation

Funds need to be allocated in the same State fiscal year that they are programmed.

- Award

Construction contract needs to be awarded within 6 months from CON allocation date.

- Expenditure

Funds allocated for PA&ED, PS&E or R/W must be expended by the end of the 2nd fiscal year following the fiscal year in which the funds were allocated.

- Completion

After the award of a contract, the implementing agency has up to 36 months to complete (accept) the contract.

Best Practices and Fatal Flaws

- E76 before
  - starting any reimbursable work phase
  - construction is advertised
  - hiring consultants paid with federal $
- NEPA approval before final design
- Coordination of Design and R/W work
- TIP amendment request before E76
- Submit approved R/W cert with CON RFA
- Work within project limits (NEPA & R/W cert)
- Buy America

Environmental

Tom Holstein
Senior Environmental Planner

ENVIRONMENTAL PHASE

- NEPA Local Assistance requirements
- Common challenges and solutions (CEQA/NEPA/Permits)
- Post-Environmental Phase activities

NEPA Local Assistance Requirements

- Every Federally Funded Project requires NEPA Clearance
- Every NEPA Clearance requires a PES form or a PES (NI) form (Handout)
- Upon local agency request, Caltrans OLA sets up field review
- Dedicated Environmental Planner for each County
- Local Agency submits studies for review
- Caltrans OLA writes and issues NEPA document

Keep OLA informed of project description updates!

Common Challenges and Solutions: CEQA/NEPA

- Caltrans is the NEPA Lead/Local Agency is the CEQA Lead
- FAST ACT Section 109 – Program for eliminating duplication of environmental reviews
- Timing – CEQA & NEPA together?
- Co-ordination of Studies
- Some federal regulations are substantially different (eg Cultural, Biology, Noise, Air Quality Conformity, Section 4(f))
- Higher Level NEPA Document – combine CEQA/NEPA?

Common Challenges and Solutions: Permits

- USACE, RWQCB, CDFW, BCDC, USBR, USCG Permits
- Permit applications typically after NEPA Clearance
- Overlap with regulatory consultations
- Additional project or mitigation requirements
- Send OLA a copy of each permit

Start early! cc OLA Environmental Planner

Post-Environmental Phase Activities

- Revalidations
  - - Change in Project Scope
  - - Next Major federal milestone (eg E-76 for Construction)

- Mitigation & Environmental Commitments
  - Local Agency prepares list of mitigation, certify they are in PS&E, and included in construction contract
  - Caltrans OLA prepares Environmental Commitment Record for environmentally sensitive projects. This is attached to the NEPA document. The Local Agency with Caltrans OLA help completes it during PS&E & Construction.

Speaker: Tom Holstein

Local Assistance NEPA Permits & Environmental Commitment Record

Project Name _____ **Name of Local Agency** _____

Federal Aid Number _____ **Local Agency Contact and Phone** _____

Project Description

PERMITS REQUIRED	DATE OF PERMIT	DATE RECEIVED BY CALTRANS

CALTRANS SITE VISIT – DATE	PERSONNEL

NOTE: This following table is intended as a summary guide to environmental commitments. It does not replace or supercede any environmental commitments made in technical studies or correspondence prior to NEPA clearance. If there are any discrepancies between this table and technical studies/correspondence then the technical studies/correspondence take precedence

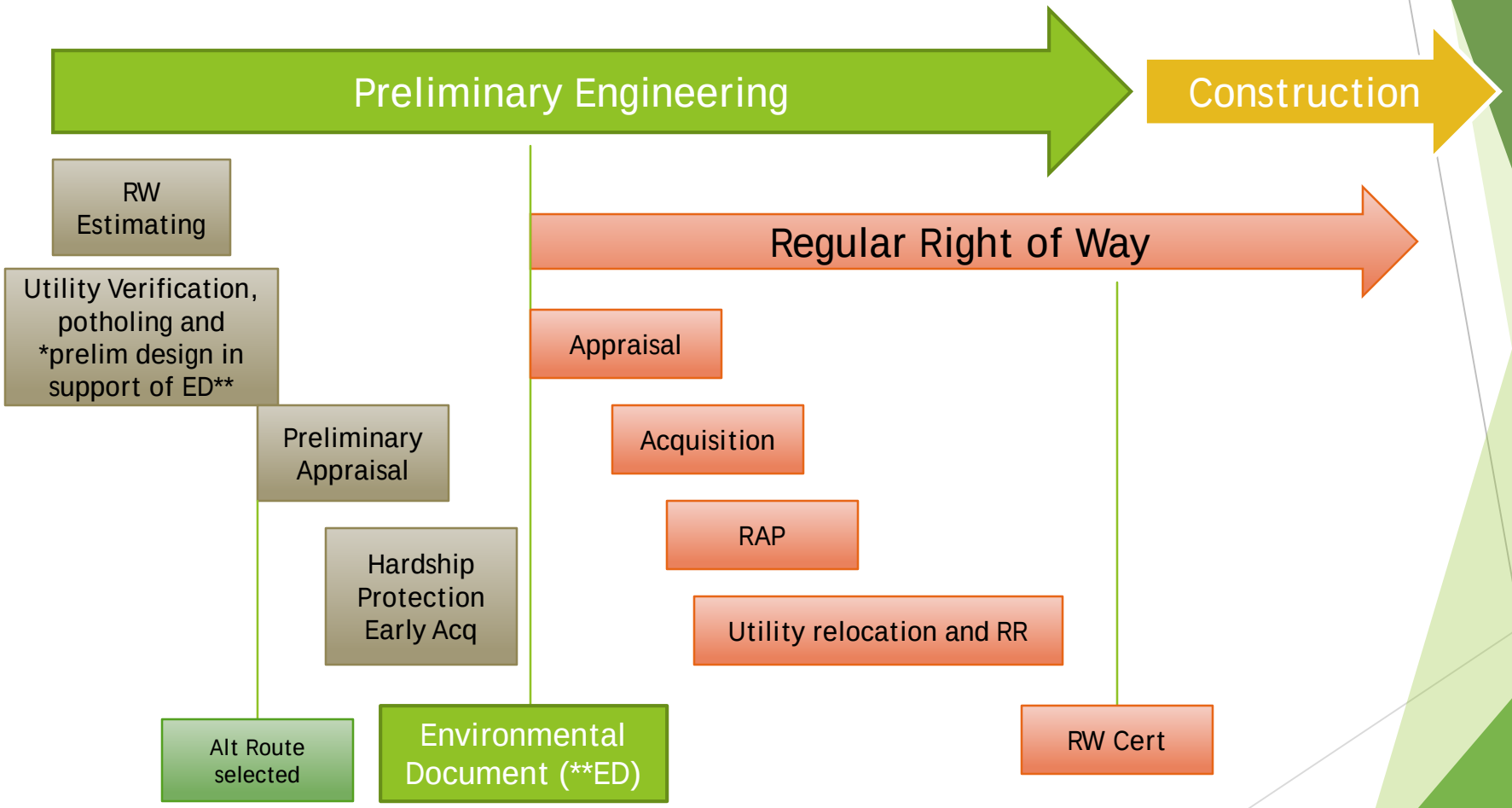
Task and Brief Description	Document	Page	Timing/ Phase	Specific Action(s) Taken to Comply with Task	Local Agency Certification of Task Completion		Remarks
					Initial	Date	

Right of Way (Off –System Projects)

Laura Hameister

District 4 RW Local Programs

Right of Way Activities: Project Development



*Reimbursement of preliminary utility design requires prior FHWA approval

Right of Way Opportunities

- **Contact and contract with RW experts** <u>early</u>
- **Awareness that activities are "RW" matters**
  - **Temporary rights are parcels**
  - **Utility Relocations**
    - **"Adjustments" require a Notice to Owner (NTO)**
    - **Bid Items related to utilities appear on RW certification and require a NTO**
- **Take advantage of tasks that can be performed prior to NEPA clearance (see handout)**

Keys - Right of Way Success

- Comply Code of Federal Regulations (CFR)
  - Uniform Act – Appraisal, Acquisition and Relocation
  - Utilities – 23 CFR 645 and BUY AMERICA
- Follow the Consultant Selection process
- Secure Specific Authorization before performing work
- Utility Notice to Owners = "meeting of the minds" (never unilateral)
- Invoices
  - Sufficient detail
  - Match authorized work

Construction Oversight Program

Moe Shakernia

Policy and Procedures

Office Bulletin DLA – OB 13-3 & LAPM Chapter 19.6

Establishes …

- Roles and responsibilities
- Types of oversight reviews
- Review Findings

Roles and Responsibilities

- Construction Oversight Engineers (COE)
  - Identify projects to be reviewed
  - Coordinate/Perform the reviews
  - Identify/Issue findings
  - Monitor local agency corrective action plan
  - Provide guidance and training to local agency staff
- Construction Oversight Coordinator (COC)
  - Compiles reviews and issues reports
  - FHWA liaison
- District Local Assistance Engineer
  - May participate at construction oversight reviews
  - Perform its role in Local Assistance Dispute Resolution Process
  - Issues sanctions on unresolved major project deficiencies

Type of Construction Oversight Reviews

- Preliminary Construction Review (Pre-Construction Review)
- Mid-Project Review (Mid-Construction Review)
- Post-Construction Review

Preliminary Construction Review Checklist

(LAPM, Exhibit 19-A)

Division of Local Assistance
Construction Review Checklist

(Non applicable items are to be left blank)

Review Type: Preliminary Construction Oversight Review

Local Agency: Review Date:

Federal Aid Project No.: Contract No.:

Project Description:

Project location [county, city, street]:

Project Type:

Funding Source(s):

Caltrans Reviewer(s):

Caltrans Construction Oversight Engineer:

Caltrans DLAE:

FHWA Participant(s) (if applicable):

Local Agency Participant(s):

Resident Engineer: Local Agency or Consultant

If RE is Consultant, Name of Company:

If RE is Consultant, Name of Local Agency Employee of Record:

Mid-Project Review Checklist

(LAPM, Exhibit 19-B)

Division of Local Assistance
Mid-Project Review Checklist

Review Type: Mid-Project Date of Review: _____

A. Project Information

1. Federal Aid Project No.: _____
2. District: _____
3. Agency: _____
4. Project Description: _____
   _____
   _____
5. Project Location:
   County: _____
   City: _____
   Street(s): _____
6. Project Type: _____
7. Funding Source(s): _____
8. Caltrans Reviewer(s): _____

Post-Construction Review Checklist

(LAPM, Exhibit 19-C)

Division of Local Assistance
Post-Construction Review Checklist

Review Type: Post-Construction Date of Review: _____

A. PROJECT INFORMATION

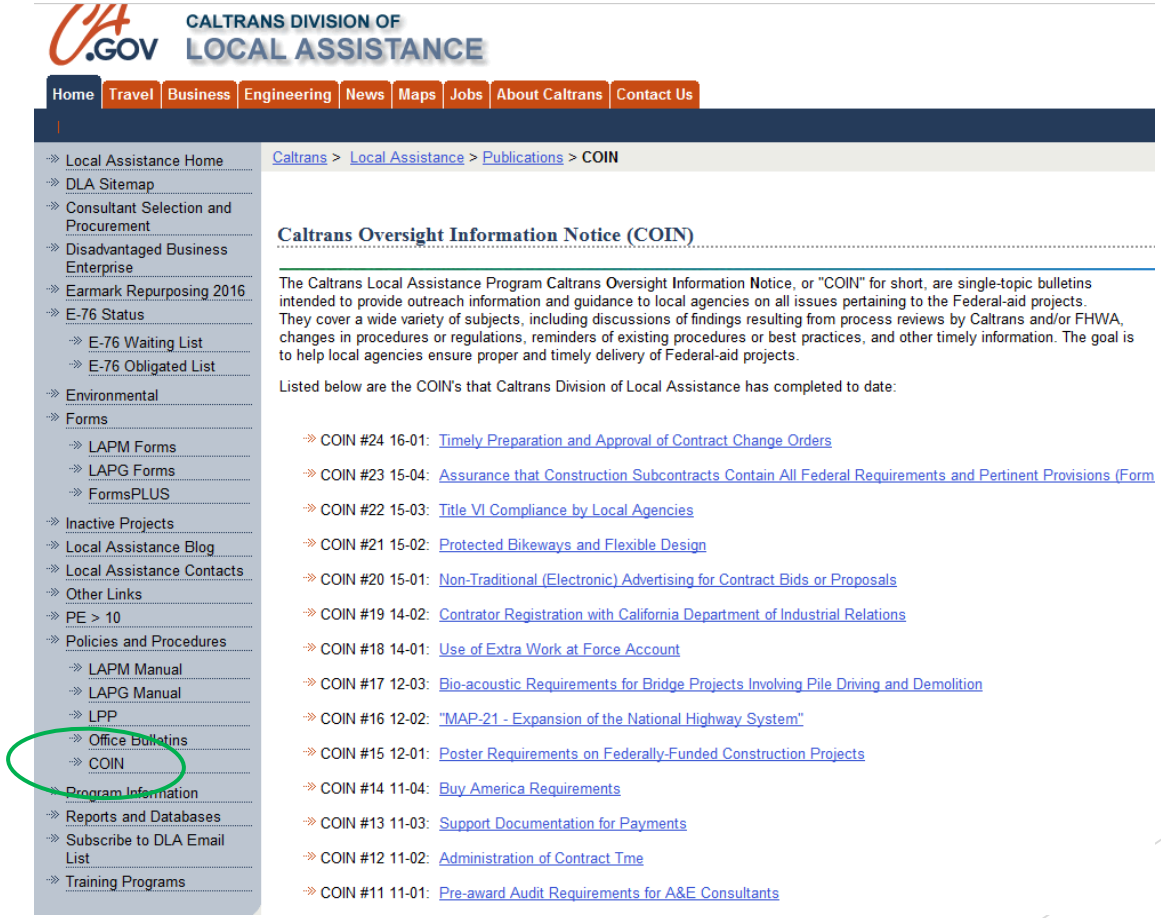
1. Federal Aid Project No.: _____
2. District: _____
3. Agency: _____
4. Project Description: _____
   _____
   _____
5. Project Location:
   County: _____
   City: _____
   Street(s): _____
6. Project Type: _____
7. Funding Source(s): _____
8. Caltrans Reviewer(s): _____

Projects Review Findings

- Results of COE review findings will be sent to
  - Local Agency
  - DLAE
  - Construction Oversight Coordinator
- Findings require a corrective action plan submittal
- Corrective Action Plans (actions to address findings)
  - Modifications of policies and procedures
  - Participating in training to address systemic related deficiencies
  - Project specific issues require additional measures to ensure compliance
  - Include timelines for each action to be implemented
- Failure to provide/implement corrective action plan may result in sanctions.

Construction Oversight Program Publications

Caltrans Oversight Information Notice (COIN)



Construction Oversight Engineers (COEs)

(Statewide)

District	COE	Phone
1, 2, 3	Osama Abu-Markhieh	(916) 205-8813
4 (North)	Moe Shakernia (Son, Marin, Sol, Napa, Ala, CC)	(510) 286-5541
4 (South)	Siobhan Saunders (SF, SM, SCL)	(916) 539-5081
5 (North)	Siobhan Saunders	(916) 539-5081
5 (South)	Mike Giuliano	(805) 549-3072
6, 9, 10	Mike Giuliano	(805) 549-3072
7	Mohammed Pasebani	(213) 897-3222
8	Mohammed Pasebani	(213) 897-3222
11, 12 Speaker: Moe Shakernia	Anna Alonso	(949) 440-4461

Invoicing

John Brewster

Senior Transportation Engineer

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

Risk-Based Invoicing 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

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: LAPM Exhibit 5-J, *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: LAPM Exhibit 5-K, *Billing Summary,* or equivalent (RBI addition/revision)
  - Provide summary templates for statewide consistency
  - Revise as necessary, without omitting required information
- Attachments: Attachments required by checklist, *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

EXHIBIT 5-J LOCAL AGENCY INVOICE REVIEW CHECKLIST

District / Local Agency: _____ Invoice No. _____

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

Local Project Number: _____

Project Description: _____

SECTION 1 – CHECKLIST ITEMS TO BE COMPLETED BY LOCAL AGENCY WITH / CONCURRENCE BY CALTRANS

	Check applicable box for each item	Frequency	Local Agency Confirm	Local Agency N/A	Caltrans 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.	First Invoice for Phase of Work	☐	☐	☐
2	Local Agency Invoice Package format, content and support documentation are consistent with Chapter 5 "Invoicing" of Local Assistance Procedures Manual (LAPM) or with program-specific guidelines (e.g. BTA,EEM, Exchange/Match, FSP, and PPM)	All Invoices	☐	☐	☐
3	CTC Allocation (or SB184/LONP letter) and/or Federal Authorization to Proceed (E-76) date prior to beginning reimbursable work and advertising construction contract.	First Invoice for Phase of Work	☐	☐	☐
4	Work performed and 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	Cost incurred prior to authorized Period of Performance End Date (PPED)	All Invoices	☐	☐	☐
7	Work performed in accordance with STIP or ATP Timely Use of Funds deadlines, Invoice Package submitted to Caltrans in time (April 1 of fund reversion year) to comply with Department of Finance fund reversion/Cooperative Work Agreement deadlines.	All Invoices	☐	☐	☐
8	All consultant agreements/amendments follow the procurement and Caltrans oversight processes as outlined in LAPM Chapter 10.				
	• Submit Exhibits 10-C, 10-O1 and 10-O2 to DLAE.	First Federally Funded Consultant Invoice	☐	☐	☐
	• Submit Exhibit 10-K (for contracts > $150,000) to Caltrans A&I		☐	☐	☐
	• Submit copy of executed contract to the DLAE within 30 days of contract award or concurrently with first invoice, whichever is earlier.		☐	☐	☐
	• For on-call contracts, submit copy of issued task order and Exhibit 10-O2 for the task order.		☐	☐	☐

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

Invoice Review Check List Continued

		Frequency	Local Agency Confirm	Local Agency N/A	Caltrans Concur
9	Construction Contract Award Package (see LAPM Chapter 15 or program-specific guidelines) forwarded to DLAE within 60 days of award or concurrent with first construction invoice, whichever is earlier.	First Construction Invoice	☐	☐	☐
10	Construction Contract Change Orders (federal/state/ program eligible, DLAE reviewed and concurred)	Construction Invoices	☐	☐	☐
11	Level of work completed consistent with total federal/state funds invoiced. [2]	Construction Invoices	☐	☐	☐
12	Invoiced amount shall be greater than two percent (2%) of the total federal and/or state funds or $1,000, whichever amount is greater, unless authorized by DLAE (e.g., to prevent loss of federal funds).	All Invoices	☐	☐	☐
13	Total invoiced funds do not exceed amounts allocated/authorized by the CTC and/or E-76 (less retention amount [3])	All Invoices	☐	☐	☐
14	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 conditions 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 Full-time Local Agency Employee in Responsible Charge **Date**

Printed Name and Title

For questions regarding this invoice, please contact:

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

Local Agency Comments:

Distribution: 2 signed copies to DLAE

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 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.

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

SECTION 3 – CHECKLIST ITEMS TO BE COMPLETED BY CALTRANS

DATE THAT CALTRANS RECEIVED LOCAL AGENCY INVOICE: _____

		Frequency	Caltrans Confirm	Caltrans N/A
15	Consultant Contract DBE Information entered into LP2000. [5]	First Federally Funded 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" or copy of Exhibit 22-A/ 23-A: Award Information for ATP/STIP Projects to LPA.	First Construction Invoice	☐	☐
17	Construction Contract Award DBE information entered into LP2000 prior to submittal of Invoice Package documentation to LPA[5] **Distribution:** District – 1 signed copy to LPA	First Federally Funded Construction Invoice	☐	☐
18	Invoice Package received and date-stamped by District and Invoice Package Receipt Date logged into LP2000.	All Invoices	☐	☐

SECTION 4 – CALTRANS CONCURRENCE TO PAY INVOICE

I have reviewed this Invoice Package in accordance with Chapter 5, I agree that based on the information received, the Invoice Package is complete and accurate, and I concur with payment of this invoice. ☐

-OR-

I have processed this invoice Package in accordance with the RBI 2.0 Guidance Memorandum, dated August 25, 2016, and I concur with payment of this invoice. ☐

_____ _____
Signature of Caltrans District Representative **Date**

_____ _____
Printed Name and Title **Phone No.**

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 Exhibit 5-K).
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" (Exhibit 5-K) 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 of federal funded contracts, DLAE is to confirm that DBE information has been entered into LP2000. First new invoice of Task Orders requires submittal of Exhibit 10-02, and a copy of the Task Order.

Note: 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.

District Comment:

_____
_____
_____
_____

Distribution: DLAE

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

Speaker: John Brewster

Billing Summary R/W

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

Speaker: John Brewster

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/atp/documents/2017/ATP-Non-Infrastructure-Guidance-2017-05-09.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: Invoice Coordinator

  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

District 4 Office of Local Assistance

Welcome, Xi Zhang | Logout

D4 Local Assistance Database System

Home | Car Reservations | Reports | Invoice | Field Review Log | E76s | CTC Allocation/Extensions | Environmental | Project List | Admin | Profile | About

Home » Invoices

Invoices

Last Import on 2017-05-11 05:00:39

Show Aging Invoices | Export Aging Invoices | Advanced Search

Displaying 1-40 of 8970 results.

Actions	Engineer	Prefix	FPN	Agency	County	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
																	All
	Alan Wong	STPCML	6084(177)	Metropolitan Transportation Commission	Multi-County	2017-05-10	32	NA			$300,098	N			2017-05-02	1	Pending
	Ken Nguyen	PPM17	6364(019)	Sonoma County Transportation Authority	Sonoma County	2017-05-10	03	03-043017			$21,854	N	2017-03-13		2017-05-05	1	Pending
	Val Chauhan	HSIPL	5050(043)	Hayward	Alameda County	2017-05-10	1	337280			$175,404	N			2017-05-05	1	Pending
	Jae-Myung Lee	BRLS	5927(098)	Marin County	Marin County	2017-05-10	5	5			$34,083	N			2017-05-05	1	Pending
	Val Chauhan	TGR2DGL	6480(003)	Alameda County Transportation Commission	Alameda County	2017-05-10	6FIN	322			$154,252	Y			2017-05-05	1	Pending
	Val Chauhan	HSIPL	5933(129)	Alameda County	Alameda County	2017-05-09	4	17M05:01		2017-05-09	$41,474	N			2017-05-05	0	Approved
	Johnson Lee	HPLUL	5923(083)	Solano County	Solano County	2017-05-08	16A	17-011REV			$146,752	N			2017-04-19	3	Pending
	Alan Wong	STPL	6084(175)	Metropolitan Transportation	Multi-County	2017-05-08	31	NA			$2,625,643	N			2017-04-25	3	Pending

Speaker: John Brewster

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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Caltrans > Division of Accounting > **Payment History**

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.

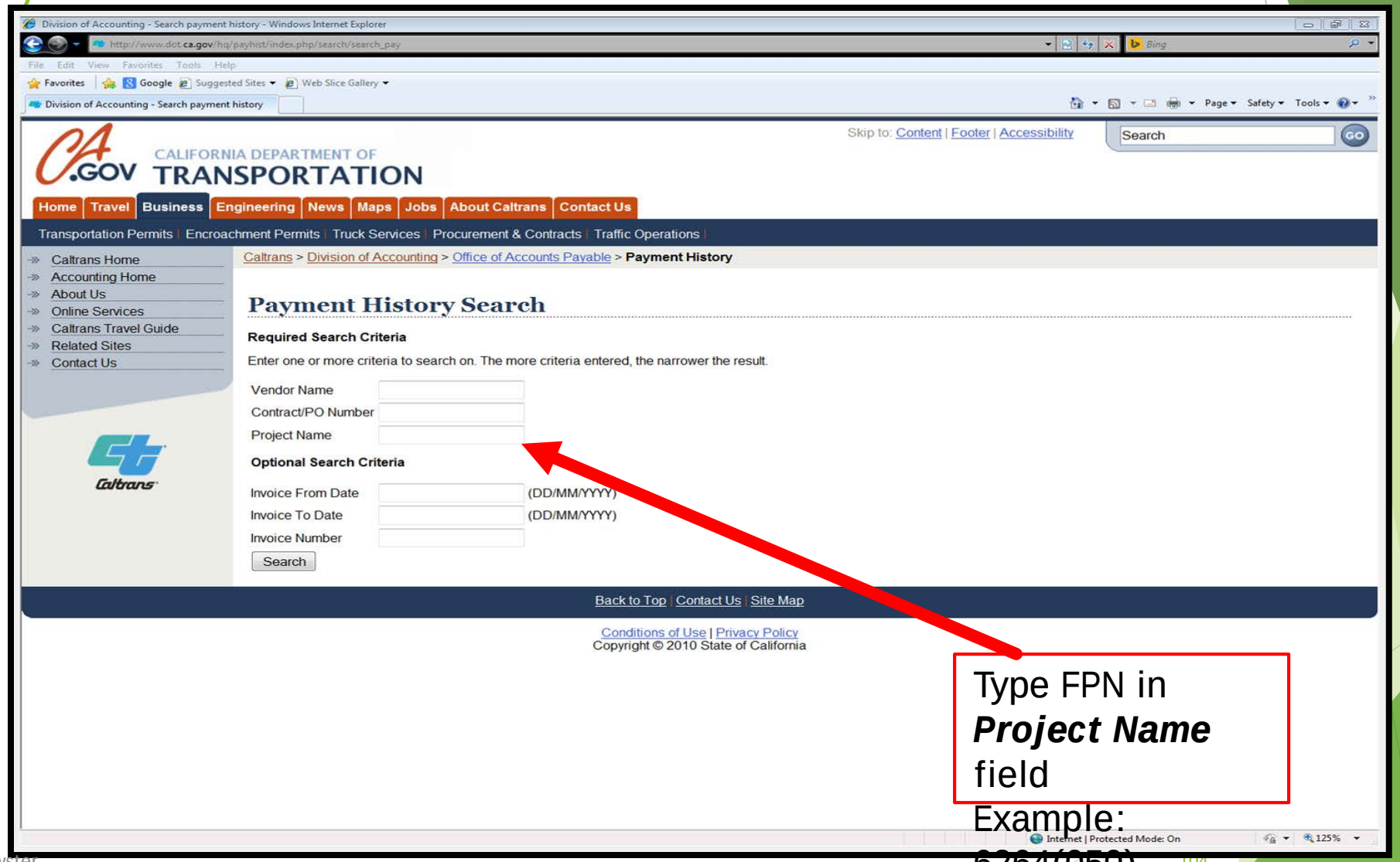
Enter the Vendor Payment History site. ← CLICK HERE

Enter the Contract Payments and Information site.

Internet | Protected Mode: On 165%

Speaker: John Brewster

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



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

CALIFORNIA DEPARTMENT OF TRANSPORTATION

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Caltrans > Division of Accounting > Office of Accounts Payable > **Payment History**

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					

Speaker: John Brewster

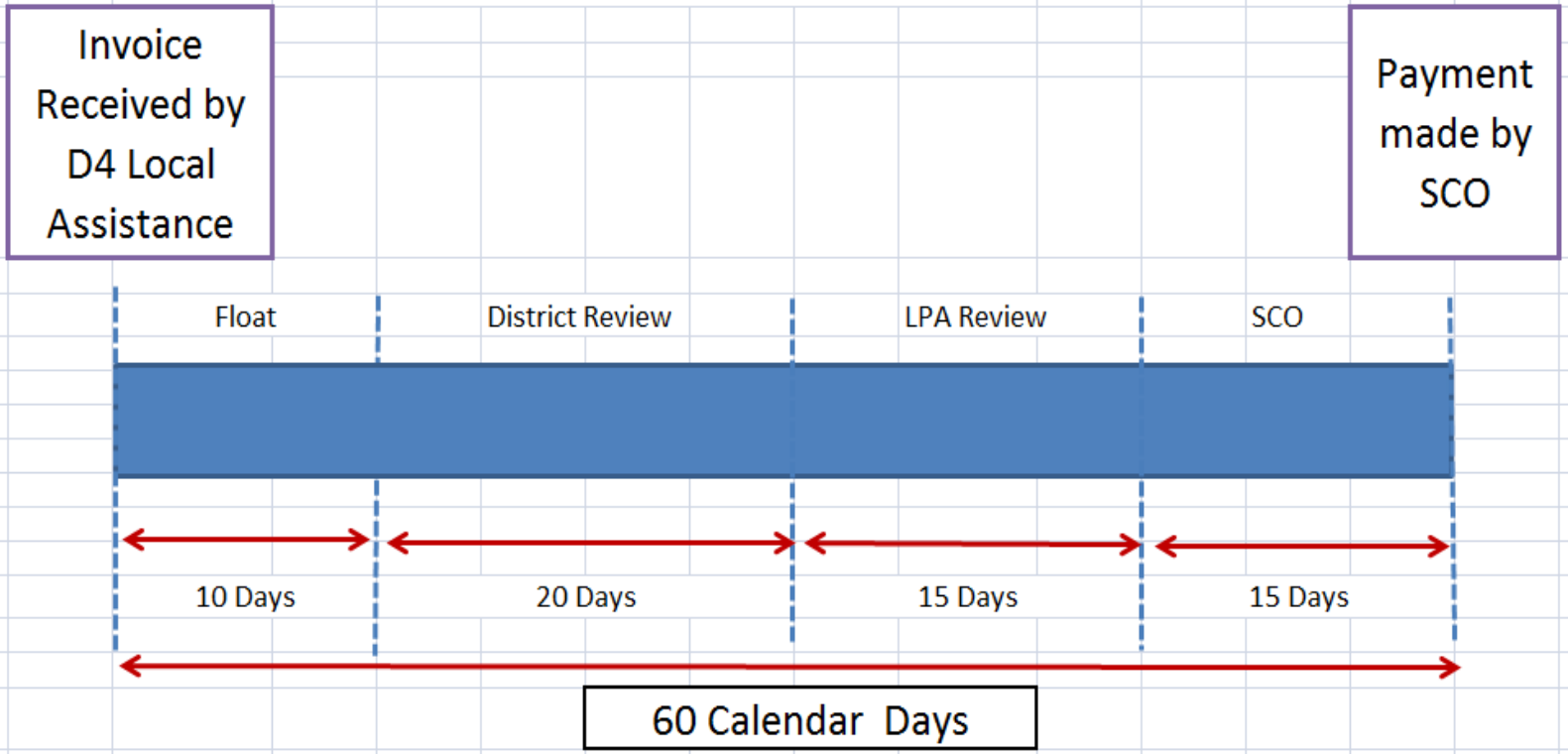
Use this cover page shown below for inactive projects

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 within 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?