



Invoice Common Mistakes and Best Practices

August 2025

Local Assistance Caltrans District 4

Invoice Resources

Caltrans/Local Assistance Website

- <https://dot.ca.gov/programs/local-assistance>

Payment History

- <https://dot.ca.gov/programs/accounting/vendor-payment-history>

Caltrans/Local Assistance Procedures Manual, Chapter 5: Invoicing

- <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch05.pdf>

Caltrans Internal Audits Office

- <https://dot.ca.gov/programs/audits>

Independent Office of Audits and Investigation (IOAI)

- <https://ig.dot.ca.gov/resources>

PED Tool

- <https://dot.ca.gov/programs/local-assistance/projects/projects-with-expiring-end-dates>

#	Common Mistakes	Good Practice
1	Invoice Checklist #1: No Signed Program Supplement Agreement (PSA)	Check with your agency project engineer/manager
2	Invoicing too frequently or not enough	At least every 6 months; no more than once a month
3	Using old forms	Check the form revision date on the Local Assistance website: https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms
4	Sending to incorrect recipient	Send invoice to the correct recipient
5	Incomplete – missing/wrong information or inconsistent information	Double-check the information (e.g., Reimbursement Ratio % from the Finance Letter (FL); correct Project Number) with all latest project documents--especially the FL and E76/Allocation Letter.
6	Math errors & Typos	Check all math and typing
7	Submitting for the wrong phase of project (e.g., PE instead of CE)	Please note the correct phase when submitting invoice
8	Submitting for pending CCOs (CCOs must be finalized, approved and paid prior to claiming for reimbursement)	Cost needs to be incurred before claiming reimbursement

9	Including funds that have not been paid-out in the Total Direct Cost to Date field	The Total Direct Cost to Date field in Section 1/pg.1 should only include funds that have been PAID to date
10	Not deducting Non-Participating Costs on Sect.1/pg.1 of invoice	If there are Non-Participating Costs (NPC) being deducted on the Bill Summary/sect.3, that NPC amount should be Cumulatively deducted in Sect.1/pg.1 of the invoice
11	Invoice Checklist #8: Remaining balance less than the required State Withheld Retention	Remaining balance should not be less than Caltrans required State Withheld Retention (\$40k or 2% of the Federal/State Funds-whichever is greater). This is to encourage agency to submit FROE.
12	Incorrect indirect cost rate used and/or calculation	Use the approved indirect cost rate for the correct FY and check calculation
13	Invoice Checklist #9A&9B: Architectural & Engineering(A&E) Consultant Contract form not approved by A&E office	All A&E consultants must have a submitted A&E Consultant Contract Form (Database link in the Local Assistance Procedures Manual/LAPM CH.10 pg. ix of ix) Claris FileMaker WebDirect
14	Invoice Checklist #9A&9B: Disadvantaged Business Enterprise(DBE) Commitment (Ex.10-o1 & 10-o2) not submitted for Federally Funded Projects	Ensure the DBE commitment forms have been submitted to District Local Assistance Engineer (DLAE)
15	Invoice Checklist #9A&9B: Executed consultant contract or issued task order not submitted	Submit Executed consultant contract or issued task order prior to invoicing
16	Submitting unnecessary supporting documents unless requested	Submit supporting documents only when requested (RBI). Consultant invoice copies & staff time details are no longer mandatory-please keep in agency internal files for auditing purposes.

17	Invoice Checklist/sect.4 items not checked correctly	Please read and correctly check the boxes on the Invoice Checklist/section 4
18	No signatures	Ensure Signatures and contact information are on sections 2 & 4 of the invoice form
19	Revised/disputed invoices not having a bill number with A, B, or C, etc or other differentiating symbols next to the original bill number as suggested by your DLAE	Any invoice that has been formally Disputed/Returned must have a bill number on the Revised Invoice with an A,B,or C, etc. or other differentiating symbols next to the original bill number as suggested by your DLAE after the original bill number
20	Revised/Disputed invoices not having revised dates	Use a new/current date when submitting a revised/disputed invoice
21	Award Package (Ex. 15-L or LAPG Ex. 25-O) not submitted for CON invoice	Submit Award Package prior to first Construction/CON invoice. Within 60 days of contract award
22	Submitting reimbursement for work performed <u>after</u> the Project End Date (PED), Timely Use of Funds (TUF) deadline or the reversion date has expired	Double check the PED date, TUF deadline and reversion date before preparing invoices
23	Invoice dated more than 30 days ago	Please make sure to use current date as invoice date
24	Invoice signature date is before invoice date	Make sure signature date is on or after invoice date
25	Previous phases are left out in invoice	Show previous phases even though all funds are previously claimed for them.
26	Forgetting to update non-participating cost on page 1 of the invoice per the non-participating cost shown in the billing summary	Billing summary shows current invoice only, but Page 1 shows cumulative amount, make sure page 1 number is updated.

LOCAL AGENCY INVOICE

DOT LAPM 5-A (REV 09/2023)

Billing No:

SECTION 1: INVOICE

Local Agency Name		Remittance Address				Tax ID	
Date	Caltrans District	Federal/State Proj. No.	Advantage Project ID	Invoice No.	Billing No.	Final Invoice	Inactive Project
						<input type="checkbox"/>	<input type="checkbox"/>
Project Description						PED (Federal)	
Fund Type(s):	<input checked="" type="checkbox"/> Federal <input type="checkbox"/> State	Authorized Phase(s):	<input type="checkbox"/> PA&ED <input checked="" type="checkbox"/> PE <input type="checkbox"/> PS&E	<input checked="" type="checkbox"/> R/W <input type="checkbox"/> R/W Util	<input checked="" type="checkbox"/> CE <input checked="" type="checkbox"/> CON	<input type="checkbox"/> NI <input type="checkbox"/> FA	
		Preliminary Engineering	Right of Way	Construction Engineering	Construction	Total	
Federal Authorization Date:							
Federal Appropriation Code:							
Participating Cost	From:						
Participating Cost	To:						
Total Indirect Cost to Date:	\$	\$	\$	\$	\$	0.00	
Total Direct Cost to Date:	\$	\$	\$	\$	\$	0.00	
Total Cost to Date:	\$	\$	\$	\$	\$	0.00	
Less: Non-Participating Cost to Date	\$	\$	\$	\$	\$	0.00	
: Other	\$	\$	\$	\$	\$	0.00	
: Other	\$	\$	\$	\$	\$	0.00	
Total Participating Cost to Date:	\$	\$	\$	\$	\$	0.00	
Federal Reimbursement Ratio:							
Federal Reimbursable Amount to Date:	\$	\$	\$	\$	\$	0.00	
Less: Total Amt. Paid on All Prev. Invoices	\$	\$	\$	\$	\$	0.00	
Federal Reimbursable Amount this Invoice:	\$	\$	\$	\$	\$	0.00	
Less: State Withheld Retention	\$	\$	\$	\$	\$	0.00	
: Amount Exceeding Authorized Fund	\$	\$	\$	\$	\$	0.00	
: Other	\$	\$	\$	\$	\$	0.00	
Amount of This Claim:	\$	\$	\$	\$	\$	0.00	
TOTAL INVOICE AMOUNT:					\$	0.00	

Refer to your Finance Letter

Authorized Federal Fund Amount:	\$	\$	\$	\$	\$	0.00
Less: Total Amt. Paid on All Prev. Invoices	\$	\$	\$	\$	\$	0.00
Funds Remaining Prior to this Claim:	\$	\$	\$	\$	\$	0.00

LOCAL AGENCY INVOICE

DOT LAPM 5-A (REV 09/2023)

Instructions

Reset Form

Print Invoice

Billing No:

SECTION 2: INDIRECT COST CALCULATION

Indirect Cost:

Phase	FY	Office/Department	Direct Cost Base Expense	Approved Indirect Cost Rate	Subtotal
<div><div></div></div>			\$	%	\$ 0.00

Phase	PE	PA&ED	PS&E	R/W	CE	NI	FA
Total Indirect Cost to Date	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

CERTIFICATION

By signing this invoice, all local agency signatories certify to the best of my/our knowledge and belief that the invoice is true, complete, and accurate. 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/we are aware of any false, fictitious, fraudulent information, or the omission of any material fact may subject me/us to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Section 3729-3730 and 3801-3812). I/we certify that the cost claimed follow pertinent and applicable guidelines and all Federal/State regulations. All consultant and contractor agreements have been reviewed and approved in accordance with LAPM Chapter 10 Consultant Selection and Chapter 16 Administer Construction Contracts. I/we understand that Caltrans may review this invoice and support documentation for reasonableness at this time and that all invoices related documentation is subject to future detailed review by the Federal Highway Administration and/or Caltrans.

Add Signature

Signature of Local Agency Representative

Date

Print Name

Title

For questions regarding this invoice, please contact:

Contact Name	Title	Phone Number	E-mail
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Comments

Billing No:

SECTION 3: BILLING SUMMARY

Federal/State Project No. _____

Preliminary Engineering						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt/ Invoice Number (if applicable)	Total Direct Cost (current invoice period only)	Less Non- Participating Cost (current invoice period only)	Total Participating Cost (current invoice period only)
	From	To				
						\$0.00 + -
				\$0.00	\$0.00	\$0.00

Right of Way						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt/ Invoice Number (if applicable)	Total Direct Cost (current invoice period only)	Less Non- Participating Cost (current invoice period only)	Total Participating Cost (current invoice period only)
	From	To				
						\$0.00 + -
				\$0.00	\$0.00	\$0.00

Construction Engineering						
Description (e.g., Staff Time, Consultants, etc.)	Work Performed (Dates)		Vendor Receipt/ Invoice Number (if applicable)	Total Direct Cost (current invoice period only)	Less Non- Participating Cost (current invoice period only)	Total Participating Cost (current invoice period only)
	From	To				
						\$0.00 + -
				\$0.00	\$0.00	\$0.00

Construction (Note: submit contractor pay estimate)						
Description (e.g., Contractor, Force Account, etc.)	Work Performed (Dates)		Vendor Receipt/ Invoice Number (if applicable)	Total Direct Cost (current invoice period only)	Less Non- Participating Cost (current invoice period only)	Total Participating Cost (current invoice period only)
	From	To				
						\$0.00 + -
				\$0.00	\$0.00	\$0.00

Comments

Billing No: _____

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"/>		
2	Submittal of signed 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 incurred during approved period of performance: <ul style="list-style-type: none">After E-76 (Federal Authorization Date to Proceed) date and prior to the Project End Date (PED) for Federally Funded projects.After California Transportation Commission (CTC) State Allocation Date and prior to State Timely Use of Funds (TUF) deadline for State Program projects.	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
4	Invoice submitted at least two months prior to any claimed funds lapsing or expiring. <ul style="list-style-type: none">Check Finance Letter Reversion Date (Federal / State)Verify Cooperative Work Agreement Approval (Federal / State)	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
5	Invoice is consistent with current approved Finance Letter. <ul style="list-style-type: none">Phases of WorkFund Types (e.g., CMAQ, RSTP, etc.)Reimbursement RatiosAvailable Balance of Federal / State Funds	All Invoices	<input type="checkbox"/>		<input type="checkbox"/>
6	Invoiced amount must 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"/>
9	The following must be received / accepted by the appropriate entities <u>prior to invoicing</u> : <ul style="list-style-type: none">A&E Consultant Contract Form in the A&E Consultant Contract DatabaseA&E Consultant Indirect Cost RateCopy of executed contract and Exhibits 10-O1 and 10-O2 to DLAE. For on-call contracts, copy of issued task order and corresponding Exhibit 10-O2.	All Invoices All First A&E Consultant Invoices All A&E Consultant Contracts ≥ \$1M All First Federally Funded Consultant Invoices	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10	Verification of Project Award: Attach LAPM Exhibit 15-L (Federal), LAPG Exhibit 25-O (State).	First Construction Capital 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

Signature of Local Agency Representative

Date

Print Name and Title

Signature

Signature of Caltrans District Reviewer

Date

Print Name/Title/Phone Number

Comments

FINANCE LETTER

Date: 08/23/2023
D_CO_RT: 04-SCL-0-CR
Project No: STPLZ-5937(228)
Adv. Project Id: 0423000080
Project End Date: 12/31/2034

EA No:

To: County of Santa Clara

Est Tot Proj Costs: \$1,272,199

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL Y233	LOCAL
Contract Items: \$1,058,599 Contingencies: \$88,600 Total: \$1,147,199						
Construction	Pro Rata	\$1,147,199.00	\$947,199.00	100.00%	\$947,199.00	\$200,000.00
Agency Construction Engineering	Pro Rata	\$125,000.00	\$125,000.00	100.00%	\$125,000.00	\$0.00
Totals:		\$1,272,199.00	\$1,072,199.00		\$1,072,199.00	\$200,000.00

Participation Ratio: 84.28% This Finance Letter was created based on specific financial information provided by the responsible local agency. The following encumbrance history is prepared by Local Assistance Accounting Office and is provided here for local agency's information and action.

Signature: Darlene Wulff
Digitally signed by Darlene Wulff
Date: 2023.08.24 06:40:01 -07'00'
Title: HQ Sr. Area Engineer

For questions regarding finance letter, contact:
Printed Name: Darlene Wulff
Telephone No: (279) 599-4989

Remarks: Project utilizes toll credit

ACCOUNTING INFORMATION STPLZ-5937(228)									Cooperative Work Agreement	
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/ STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE*	APPROVED AMOUNT	EXPIRATION DATE
0423000080	23102F	2030010300	F	\$1,072,199.00	2223	\$0.00	\$1,072,199.00	06/30/2028		

*Please submit invoices to the appropriate Districts by April 1st to avoid funds lapsing on the June 30th reversion date listed above and to allow sufficient time for Accounting and SCO year-end closing procedures.

FEDERAL AID PROGRAM

DLA LOCATOR: 04-SCL-0-CR
 PREFIX: STPLZ
 PROJECT NO: 5937(228)
 SEQ NO: 1
 STATE PROJ NO: 0423000080L-4
 ALT. PROJ NO:
 AGENCY: SANTA CLARA
 ROUTE:
 DISASTER NO:
TIP DATA
 MPO: MTC
 FSTIP YR: 22/23
 STIP REF: 20600006109
 FSTIP ID NO: VAR170012

PROJECT LOCATION:
 ALAMITOS ROAD AT ALAMITOS CREEK, 0.4 MILES SOUTH OF BERTRAM ROAD, 0.8 MILES SOUTH OF ALMADEN ROAD
 TYPE OF WORK:
 ENVIRONMENTAL MITIGATION, MAINTENANCE, MONITORING, AND
 FED RR NO'S:
 PUC CODES:
 PROJ OVERSIGHT: ASSUMED/LOCAL ADMIN
 ENV STATUS / DT: 03/28/2012
 RW STATUS / DT: 1 01/20/2021
 INV RTE:
 BEG MP:
 END MP:
 BRIDGE NO: 37C0159
 PREV AUTH / AGREE DATES:
 PE:
 R/W:
 CON:
 SPR:
 MCS:
 OTH:
 PROJECT END DATE (PED): 12/31/2034

PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID
Y233	30	10				
Y233	31	17				

FUNDING SUMMARY

PHASE		PROJECT COST	FEDERAL COST	AC COST
PE	PE PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	PE THIS REQUEST	\$0.00	\$0.00	\$0.00
	PE SUBTOTAL	\$0.00	\$0.00	\$0.00
R/W	RW PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	RW THIS REQUEST	\$0.00	\$0.00	\$0.00
	RW SUBTOTAL	\$0.00	\$0.00	\$0.00
CON	CON PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	CON THIS REQUEST	\$1,272,199.00	\$1,072,199.00	\$0.00
	CON SUBTOTAL	\$1,272,199.00	\$1,072,199.00	\$0.00
OTH	OTH PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
	OTH THIS REQUEST	\$0.00	\$0.00	\$0.00
	OTH SUBTOTAL	\$0.00	\$0.00	\$0.00
TOTAL:		\$1,272,199.00	\$1,072,199.00	\$0.00

STATE REMARKS

05/12/2023 Seq 1 is to authorize CON for this mitigation project.
 06/28/2023 SEQ 1: Authorizing federal funds for CON and CENG for environmental mitigation, maintenance and monitoring. NEPA revalidated 05/15/2023

FEDERAL REMARKS

AUTHORIZATION

AUTHORIZATION TO PROCEED WITH REQUEST: CON
 FOR: CON AND CENG
 DOCUMENT TYPE: AAGR

PREPARED IN FADS BY: ZHANG, XI
 REVIEWED IN FADS BY: HOANG, KHA B
 SUBMITTED IN FADS BY: WULFF, DARLENE
 PROCESSED IN FADS BY: SIGNATURE, NOT_REQUIRED
 E-76 AUTHORIZED DATE IN FMIS BY: GRACE REGIDOR

ON 2023-06-27 622-5929
 ON 2023-06-28 653-6460
 ON 2023-06-30 FOR CALTRANS
 ON 2023-06-30 FOR FHWA
 ON 2023-07-11 23:19:50.0

DEPARTMENT OF TRANSPORTATION
 Division of Local Assistance
 1120 N STREET
 P.O. BOX 942874, MS# 1
 Sacramento, CA 94274-0001
 TTY 711



04-SOL-0-FRFD
 ATPL-5132(056)
 Adv Id: 0424000359
 PPNO: 04-2343A
 Request No: 1

June 18, 2024

Mr. David Vong
 Senior Civil Engineer
 City of Fairfield
 1000 Webster Street, 3rd Floor
 Fairfield, CA 94533

Dear Mr. Vong:

Your letter dated March 14, 2024 requested a fund allocation from the Active Transportation Program for the City of Fairfield Class IV bikeways with CI II buffered bike lane segment - West Texas Street, between Beck and Pennsylvania Avenue. This project is programmed in the Active Transportation Program (ATP), as amended.

At their May 17, 2024 meeting, the California Transportation Commission (CTC) allocated funding in the amount(s) shown below.

The State hereby makes the following allocation on May 17, 2024, effective May 17, 2024.

Allocation No. 2024-269		ATP	FUND ALLOCATION	
Senate District No.:	03			
Assembly District	11			
		Amount Programmed	Fiscal Year Programmed	Amount Previously Allocated
PS&E		\$838,000	2023	\$0
				This Request
	Federal Funds			\$0
	State Funds			\$838,000
Total		\$838,000		\$0
				\$838,000

This allocation makes available \$0 of federal funds* and \$838,000 of State (or State-only) funds for a total of \$838,000.

* A separate request for authorization to proceed (E-76) is required prior to the start of reimbursable work for projects receiving Federal funds.

The effective date of allocation serves as the authorization to proceed and establishes the date for the start of reimbursable work for State-only funded projects.

For This Allocation:

Funds allocated for project E & P are available for expenditure until:	Not Applicable.
Funds allocated for project PS & E are available for expenditure until:	June 30, 2026.
Funds allocated for project RW are available for expenditure until:	Not Applicable.
Funds allocated for construction -- Agency has 6 month(s) after the date of allocation to award a contract.	

After award of the contract, the Agency has up to 36 months to complete the construction or vehicle purchase contract.

The Commission may grant a one-time extension to each of the deadlines specified above if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Please refer to the Local Assistance website at <https://dot.ca.gov/programs/local-assistance> for additional guidance.

The project's award information should be submitted to the District Local Assistance Engineer (DLAE) immediately after award of the construction contract. A copy of the project's award package also needs to be included with the submittal of the Administering Agency's first invoice to the Local Programs Accounting Branch. Please refer to Local Programs Procedures (LPP) LPP 01-06 for guidance regarding the contents of the project award package.

This allocation is not a commitment on the part of the State to make reimbursements until an Administering Agency - State Agreement (Master Agreement), if necessary, and a project specific program supplement are executed between the Agency and the State.

Your attention is directed to the Local Assistance Procedures Manual, LPPs and the current CTC guidelines for detailed instructions and information.

Sincerely,


For
FELICIA HASLEM, Chief
Office of Project Management Oversight - North
Division of Local Assistance

c: MTC

Attachment: CTC Vote Box

Questions & Answers