



Caltrans Local Assistance

RESIDENT ENGINEER ACADEMY

Module 14

Project Completion

January 2025

Project Completion Objectives

Be able to:

- Perform a Final Inspection
- Know When to Release Final Retention to Contractor
- Know When to Submit As-Built Plans
- Assemble a Federal Report of Expenditures ([LAPM Chapter 17](#))
- Understand the Consequences of Non-Compliance

Project Completion

Local Assistance Procedures Manual ([LAPM](#)) Exhibits

- 5-A – Local Agency Invoice
- 15-M – Detail Estimate & Summary
- 17-A – Cover Letter & Federal Report of Expenditures Checklist
- 17-C – Final Inspection Form
- 17-E – Sample Change Order Summary
- 17-F – Final Report - Utilization of DBE & First Tier Subcontractors
- 17-G – Materials Certificate
- 17-H – Cover Letter & Final Report of Expenditures Checklist (PE only)
- 17-I – Cover Letter for Report of Completion Structures
- 17-J – Report of Completion of Structures on Local Streets & Roads
- 17-K – Sample Report of Completion of Right of Way
- 17-L – Sample Report of Expenditures for Force Account Projects
- 17-M – Final Project Expenditure Report
- 17-O – DBE Certification Status Change

Perform Final Inspection

All Federal-aid Projects

Resident Engineer must perform final inspection:

- Document fulfillment of Environmental Mitigation Commitments (use Environmental Commitment Record)
- Develop a punch list
- Verify corrective actions completed by Contractor
- Complete Items 1-10 of the **Final Inspection Form** ([Exh. 17-C](#))
- Submit form to the Caltrans DLAE

EXHIBIT 17-C FINAL INSPECTION FORM

INSTRUCTIONS: Local agency is to complete Items 1-10. DLAE completes Items 11-13 and submits original plus two (2) copies to the Division of Local Assistance.

1. PROJECT NO.:	2. DIST-CO-RTE-AGENCY:	3. COMPLETION DATE:
4. LOCATION OF IMPROVEMENTS AS PROGRAMMED:		
5. TYPE OF WORK:		
6. CONTRACTOR'S NAME:		7. CONTRACT AMOUNT:
8. DATE OF CONTRACT ACCEPTANCE:		
<p>9. FINAL INSPECTION. The above listed project was completed and a final inspection has been made. The project was completed as programmed and in compliance with all state and federal requirements.</p> <p>(Check appropriate box)</p> <p><input type="checkbox"/> This project is Delegated and not subject to FHWA oversight. FHWA Final Inspection not required.</p> <p><input type="checkbox"/> This project is an FHWA High Priority project. FHWA Final Inspection required.</p> <p style="text-align: center;">SIGNATURE (Local Agency Rep): _____ DATE: _____</p> <p style="text-align: center;">TITLE: _____</p>		
10. REMARKS:		
11. DISTRICT REVIEW MADE BY (print name):		12. DATE OF PROJECT REVIEW:
<p>13. PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. The person listed above has reviewed the job site and found the project constructed in accordance with the scope and description of the project authorization document and in reasonable conformance with the plans and specifications.</p> <p>SIGNATURE: _____ DATE: _____</p> <p style="text-align: center;">District Local Assistance Engineer/ Oversight Engineer</p>		

Distribution: (1) Local Agency – Retain a copy

Final Inspection Form

LAPM Form

Exhibit 17-C

14.1 Handout - pg. 2

Perform Final Inspection

District Local Assist. Engineers performs project verification:

- Reviews the job site
- Verifies construction per scope and description
- Completes Items 11-13 ([Exh. 17-C](#)) and signs
- Provides signed copy to agency

Release Final Retention

Contractor has fulfilled Contract :

- All physical work including punch list is completed and accepted by Owner
- All certified payrolls are submitted /accepted
- Contractor submits and Owner approves

EXHIBIT 17-F FINAL REPORT - UTILIZATION OF DISADVANTAGED BUSINESS ENTERPRISES (DBE) AND FIRST-TIER SUBCONTRACTORS

- Any other outstanding issues are resolved

17-F is being updated and will be announced 2025

Submit As-Built Plans

Complete and Submit to DLAE

- ❑ **On State Highway System:**

Submit full set of As-Built Plans

- ❑ **Off State Highway System:**

Submit Structure As-Built Plans Only

Submit As-Built Plans

Caltrans Structure Maintenance and Investigations:

- Performs bridge inspections
- Makes repair recommendations
- Determines load capacity
 - ❑ 12,000 State Highway Bridges
 - ❑ 12,200 Local Agency Bridges

Submit As-Built Plans

Complete and Submit to District Local Assistance Engineer (DLAE):

1. Structure “As Builts” to DLAE
Must be made by the engineer responsible for the Structures work
2. Cover Letter for Report of Completion of Structures ([Exh. 17-I](#))
3. Report of Completion of Structures ([Exh. 17-J](#))

Exhibit 17-I: Sample Cover Letter for Report of Completion of Structures

Type of Funding _____
Dist - Co. - Rte. _____
State Contract No. _____
Fed. Project No. _____
Date _____

Chief, Office of Structures Maintenance and Investigations
Caltrans Engineering Service Center, Mail Station 9
P. O. Box 942874
Sacramento, CA 94274-0001

Attn: _____, Structures Local Assistance

Submitted herewith is the REPORT OF COMPLETION OF STRUCTURES ON LOCAL STREETS AND ROADS for the structures listed below:

Bridge Name (feature intersected) Road Name (facility carried) State Bridge No.

Contractor

Bridge Resident Engineer

Distribution: (1) Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements)
(2) Copy-retained by local agency

Cover Letter Report of Completion of Structures

LAPM Form Exhibit 17-I

14.1 Handout - pg. 3

REPORT OF COMPLETION OF STRUCTURES
ON LOCAL STREETS AND ROADS

- A. Description of Bridge Work

- B. Contract Chronology
Structure Work Completed on: _____

- C. Final Photographs
Attach two photographs of completed structure, side view and roadway view. Photographs should show pertinent features both over and under the bridge i.e. channel profile, roadways, railroads etc.

- D. Site Map
Include an 8 1/2 X 11" reproduction of the work location site map.

- E. Attachments
 1. As Built Plans.
 2. Stream Flow record (high water during construction).
 3. Shop plan microfilms, pre-stress, structural steel, pumping plants, movable bridges.

Distribution: (1)Original plus one copy to DLAE included in the Report of Expenditures (original forwarded to Division of Structures, Office of External Liaison and Agreements)
(2) Copy-retained by Local Agency

Report of Completion of Structures on Local Streets and Roads

LAPM Form Exhibit 17-J

14.1 Handout - pg. 4

Assemble Report of Expenditures

“Report of Expenditure” =

**Collection of Final Project Report Documents
Required for Federal-Aid Projects**

- Agency submits to DLAE
- Within **6 months** after project completion
- Signed by **Person in Responsible Charge**
- DLAE reviews and forwards to Local Program Accounting (LPA) for processing

Assemble Report of Expenditures

Report of Expenditures must include:

1. Cover Letter and Federal Report of Expenditures Checklist (Exh. 17-A – being updated 2025)
2. Final Inspection Forms (Exh. 17-C)
3. Final Detailed Estimate (Exhibit 15-M) - *No longer a requirement as part of the FROE package, confirm with CT local engineer*
4. Final Invoice Package
5. Change Order Summary
6. Final Report of DBE Utilization (Exh. 17-F)
7. DBE Status Change (Exh. 17-O)
8. Materials Certificate (Exh. 17-G)
9. Cover Letter and Structures Completion (Exh. 17-I and 17-J)
10. Report of Completion Right of Way Expenditures (Exh. 17-K)

1. Cover Letter & Federal Report of Expenditures Checklist

LAPM Form Exhibit 17-A

14.1 Handout - pg. 5-7

Local Assistance Procedures Manual Exhibit 17-A
Sample Cover Letter and Federal Report of Expenditures Checklist

Exhibit 17-A: Sample Cover Letter & Federal Report of Expenditures Checklist
[Place on Agency Letterhead]

Federal Project No: _____

District Local Assistance Engineer
Caltrans - Local Assistance

Attn:
Dear:
Submitted for your consideration is:

FEDERAL REPORT OF EXPENDITURES
LOCAL AGENCY AWARDED CONTRACT

PROJECT Location: _____
CONTRACTOR Name: _____
RESIDENT ENGINEER: _____

Sincerely,

Local Agency Representative

Reviewed by:

District Local Assistance Engineer

Page 1 of 3
February 2022

SAMPLE COVER LETTER (Continued)

Federal Project No.: STPL-5920(001)

Description of Project:

The work done consisted, in general, of asphalt concrete overlays on Sawpit Avenue, asphalt concrete replacement, cold planning performed, and shoulder backing and pavement markers and metal beam guardrail installed. Other misc. items and details shown in the project plans, Standard Specifications, and Special Provisions.

Contract Chronology:

1. Bids Opened	03/30/2023
2. Contract Approved by local agency	04/27/2023
3. First chargeable working day	05/22/2023
4. Contract Time (Working Days)	40
5. Unworkable Days - weather	0
6. Time Extensions - CCOs	0
7. Time Extensions - other	0
8. Number of working days suspended	0
9. Extended Date of Completion	07/31/2023
10. Date work accepted by Resident Engineer	09/21/2023
11. Liquidated damage days charged (calendar or working days)	0
12. Date accepted by implementing agency's governing board	09/21/2023

1. Cover Letter & Federal Report of Expenditures Checklist

LAPM Form Exhibit 17-A (continued)

1. Cover Letter & Federal Report of Expenditures Checklist

LAPM Form Exhibit 17-A (continued)

Note:
“Final Detail Estimate & Detail Estimate Summary (See Exhibit 15-M)” is being *eliminated* in 2025.

FEDERAL REPORT OF EXPENDITURES CHECKLIST

Federal Project Number: _____

Project Name: _____

Project Location: _____

- Final Inspection of Federal-aid Project (See Exhibit 17-B for FHWA High Profile projects) or Local Agency Final Inspection Form (See Exhibit 17-C for Delegated projects; utilized for the majority of projects)
- Final Invoice (see LAPM 5-A)
- Final Detail Estimate and Detail Estimate Summary (See Exhibit 15-M)
- Change Order Summary (See Exhibit 17-E)
- Statement of the existence or absence of liquidated damages and/or contractor's claims (See Exhibit 17-E)
- Date of completion: _____
- Date of acceptance: _____
- Final Report- Utilization of Disadvantaged Business Enterprise (DBE), First-Tier Subcontractors (See Exhibit 17-F)
- Final Report- Utilization of Disadvantaged Business Enterprise (DBE) for On-Call Contracts (See Exhibit 17-F1)
- Materials Certificate (Exhibit 17-G)
- Report of Completion of Structure (two copies) - must include one set of "As Built" Plans * (See Exhibit 17-I and Exhibit 17-J)
- Disadvantaged Business Enterprises (DBE) Certification Status Change (Exhibit 17-O)
- Report of Completion of Right of Way (Exhibit 17-K) for Projects with R/W Acquisition

Note: A single submittal of all these documents will facilitate timely project closure.

* Additional documents required on bridge/major structural project or projects which meet specified conditions (described under Reports at Completion of Contract). Send Original copy to structures.

Distribution: (All projects): (1) Original Report of Expenditures
(2) Local Agency project files

Assemble Report of Expenditures

2. Final Inspection Forms (Exh. 17-C)

3. Final Detailed Estimate (Exh. 15-M)

- Total of previous progress payments plus the final invoice
- Prepared only after claims are resolved
- Must agree with the Final Invoice

Assemble Report of Expenditures

4. Final Invoice Package

- Must conform to format(s) and requirements of LAPM Chapter 5 and agree with Final Detailed Estimate
- Must include RBI (Risk-Based Invoicing) Local Agency Invoice Review Checklist and Project Cost Summaries conforming to LAPM Chapter 5

Assemble Report of Expenditures

4. Final Invoice Package (continued)

Per Chapter 5: What may be reimbursable?

- **Construction Engineering Costs,**
if listed on the "Authorization to Proceed".

Salaries and wages, related to:

- Supervising and inspecting construction activities
- Staking
- Testing material
- Checking shop drawings
- Preparation of pay estimates, etc.

Assemble Report of Expenditures

4. Final Invoice Package (continued)

Per Chapter 5: What may be reimbursable?

- **Construction Costs**

- Actual costs to construct the facility
- Removal, adjustment or demolition of buildings/structures
- Utilities or railroad work that is a part of the physical construction of the project

- **Administrative Settlement Costs:**

- Related to the review and defense of claims

All costs must be broken down into eligible direct and/or indirect cost components.

4. Federal-Aid Final Invoice

Page 1

LAPM Chapter 5

Exhibits 5-A (Rev 09/2023)

Project closeout requires submittal of the Final Invoice and related exhibits. For specifics, refer to the LAPM or contact your District Local Assistance Engineer.

FINAL CLOSEOUT PACKAGES:

- **One (1) Original Invoice** – (1) dated, signed (blue ink) printed on agency letterhead, formatted as required: [HTTPS://DOT.CA.GOV/PROGRAMS/LOCAL-ASSISTANCE/FORMS/LOCAL-ASSISTANCE-PROCEDURES-MANUAL-FORMS](https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms)
- **Two (2) copies of Invoice** (or as directed by DLAE)
- **Two (2) Exhibit 5-J – Local Agency Invoice Review Checklist**
- **Two (2) Exhibit Project Expense Summary(ies)**
 - Support expense summary (i.e., PE, CE, ROW E&A)
 - Capital expense summary (CON and ROW Acquisition)
- **Final Report of Expenditures, etc..., as noted per LAPM**

MAIL INVOICE PACKAGE TO:

District DLAE, Caltrans Local Assistance (*address particular to your agency's District Local Assistance office*)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION										Instructions		Reset Form		Print Invoice	
LOCAL AGENCY INVOICE										Billing No:					
DOT LAPM 5-A (REV 09/2023)															
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								
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 type="checkbox"/> R/W <input type="checkbox"/> R/W Util	<input type="checkbox"/> R/W Eng <input type="checkbox"/> R/W Acq	<input checked="" type="checkbox"/> CE <input checked="" type="checkbox"/> CON	<input type="checkbox"/> NI <input type="checkbox"/> FA								
				Preliminary Engineering	Construction Engineering	Construction	Total								
Federal Authorization Date:															
Federal Appropriation Code:															
Participating Cost		From:													
Participating Cost		To:													
Total Indirect Cost to Date:															
Total Direct Cost to Date:															
Total Cost to Date:															
Less: Non-Participating Cost to Date															
: Other															
: Other															
Total Participating Cost to Date:															
Federal Reimbursable Ratio:															
Federal Reimbursable Amount to Date:															
Less: Total Amt. Paid on All Prev. Invoices															
Federal Reimbursable Amount this Invoice:															
Less: State Withheld Retention															
: Amount Exceeding Authorized Fund															
: Other															
Amount of This Claim:															
TOTAL INVOICE AMOUNT:															
Refer to your Finance Letter															
Authorized Federal Fund Amount:															
Less: Total Amt. Paid on All Prev. Invoices															
Funds Remaining Prior to this Claim:															

Send Final Invoice packets only to District Local Assistance Engineer

4. Federal-Aid Final Invoice Supporting Documents

LAPM Chapter 5 Exhibit 5-A (for Final Invoices)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION LOCAL AGENCY INVOICE DOT LAPM 5-A (REV 09/2023)	Instructions	Reset Form	Print Invoice
Billing No: _____			
REQUIRED SUPPORTING DOCUMENTS FOR FINAL INVOICE			
Include the following documents with the LAPM 5-A for final invoices as applicable. Make sure to use the current version for each applicable document which can be found here: https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms			
For Federal projects:			
LAPM 5-A Local Agency Invoice			
LAPM Exhibit 15-M Final Detail Estimate			
LAPM Exhibit 17-A Cover Letter/Federal Report of Expenditures Checklist			
LAPM Exhibit 17-B Final Inspection of Federal-Aid Project			
LAPM Exhibit 17-C Final Inspection Form			
LAPM Exhibit 17-E Change Order Summary			
LAPM Exhibit 17-F Final Report Utilization of DBE			
LAPM Exhibit 17-F1 A&E On-Call Final Report of Utilization of DBE for On-Call Contracts (if applicable)			
LAPM Exhibit 17-G Materials Certificate			
LAPM Exhibit 17-H Cover Letter and Final Report of Expenditures Checklist (PE ONLY PROJECTS)			
LAPM Exhibit 17-I Cover Letter for Report of Completion of Structures (HBP Projects)			
LAPM Exhibit 17-J Report of Completion of Structures on Local Streets and Roads (HBP Projects)			
LAPM Exhibit 17-K Report of Completion Right of Way			
LAPM Exhibit 17-L Report of Expenditures for Force Account Projects			
LAPM Exhibit 17-N EEM Program Final Report of Right of Way Expenditures			
LAPM Exhibit 17-O DBE Certification Status Change			

Assemble Report of Expenditures

5. Change Order Summary

- List must conform to sample form Exh. 17-E
- If no CCOs written, write “none”
- Include following additional information:
 - Liquidated Damages:
 - ✓ Number of LD days
 - ✓ Amount per day
 - ✓ Total amount LD charged
 - ✓ If no LDs charged, note “none”
 - Contractor’s Claims
 - ✓ If no contractor’s claims, note “none”
 - Date of acceptance

Assemble Report of Expenditures

5. Change Order Summary

LAPM Form Exhibit 17-E

14.1 Handout - pg. 8

Local Assistance Procedures Manual Exhibit 17-E
Sample Change Order Summary

Federal Project Number: _____

SAMPLE CHANGE ORDER SUMMARY

Change Order No.	Bid Item No.	Brief Description	Contract Item Price *	Amount Participating	Amount Expenditure Extra Work **	Amount Participating
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
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_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

The amount shown as extra work is to be reported as a supplemental expenditure on the final Detail Estimate.

Liquidated Damages/contractors claim: _____

Date of completion: _____

Date of acceptance: _____

* Amounts shown are included at Bid Prices on Detail Estimate.
 ** Extra Work (Payment under force account or agreed price).

Distribution: (1) Original - included in Report of Expenditures
 (2) Copy retained by Local Agency Project File

Page 1 of 1
May 2020

Assemble Report of Expenditures

6. Final Report Utilization of Disadvantaged Business Enterprises (DBE)

LAPM Form
Exh. 17-F

Local Assistance Procedures Manual		Final Report-Utilization of Disadvantaged Business Enterprises (DBE) and First-Tier Subcontractors						Exhibit 17-F
Exhibit 17-F: Final Report-Utilization of Disadvantaged Business Enterprises (DBE) and First-Tier Subcontractors								
1. Local Agency Contract Number		2. Federal-Aid Project Number		3. Local Agency		4. Contract Acceptance Date		
5. Contractor/Consultant			6. Business Address			7. Final Contract Amount		
8. Contract Item Number	9. Description of Work, Service, or Materials Supplied	10. Company Name and Business Address	11. DBE Certification Number	12. Contract Payments		13. Date Work Completed	14. Date of Final Payment	
				Non-DBE	DBE			
15. ORIGINAL DBE COMMITMENT AMOUNT \$ _____				16. TOTAL _____				
<small>List all first-tier subcontractors/subconsultants and DBEs regardless of tier whether or not the firms were originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at the time of award, provide comments on an additional page. List actual amount paid to each entity. If no subcontractors/subconsultants were used on the contract, indicate on the form.</small>								
I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT								
17. Contractor/Consultant Representative's Signature		18. Contractor/Consultant Representative's Name		19. Phone		20. Date		
I CERTIFY THAT THE CONTRACTING RECORDS AND ON-SITE PERFORMANCE OF THE DBE(S) HAVE BEEN MONITORED								
21. Local Agency Representative's Signature		22. Local Agency Representative's Name		23. Phone		24. Date		
<small>DISTRIBUTION: Original - Local Agency, Copy - Caltrans District Local Assistance Engineer. Include with Final Report of Expenditures</small>								
Page 1 of 2 January 2023								

Assemble Report of Expenditures

7. Disadvantaged Business Enterprises (DBE) Certification Status Change

LAPM Form
Exh. 17-O

If no changes, state "Not Applicable"

Local Assistance Procedures Manual Exhibit 17-O
Disadvantaged Business Enterprises (DBE) Certification Status Change

EXHIBIT 17-O DISADVANTAGED BUSINESS ENTERPRISES (DBE) CERTIFICATION STATUS CHANGE

1. Local Agency Contract Number		2. Federal-Aid Project Number		3. Local Agency		4. Contract Completion Date	
5. Contractor/Consultant				6. Business Address			7. Final Contract Amount
8. Contract Item Number	9. DBE Contact Information	10. DBE Certification Number	11. Amount Paid While Certified	12. Certification/Decertification Date (Letter Attached)	13. Comments		

If there were no changes in the DBE certification of subcontractors/subconsultants, indicate on the form.

<small>I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT</small>					
14. Contractor/Consultant Representative's Signature		15. Contractor/Consultant Representative's Name		16. Phone	17. Date
<small>I CERTIFY THAT THE CONTRACTING RECORDS AND ON-SITE PERFORMANCE OF THE DBE(S) HAS BEEN MONITORED</small>					
18. Local Agency Representative's Signature		19. Local Agency Representative's Name		20. Phone	21. Date

DISTRIBUTION: Original - Local Agency, Copy - Caltrans District Local Assistance Engineer. Include with Final Report of Expenditures

ADA NOTICE: For individuals with sensory disabilities, this document is available in alternate formats. For information, call (916) 445-1233, Local Assistance Procedures Manual TTY 711, or write to Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

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Assemble Report of Expenditures

8. Materials Certificate

LAPM Form Exh. 17-G

- Documentation must be attached including explanations and change orders allowing acceptance of nonconforming materials

Local Assistance Procedures Manual Exhibit 17-G
Materials Certificate

Exhibit 17-G: Materials Certificate
MATERIALS CERTIFICATE
CITY/COUNTY LETTERHEAD
(Sample)

Date: _____
Federal-Aid Project Number: _____
Caltrans File Category 61: N/A - Caltrans Use
Job Stamp: N/A - Caltrans Use


Subject: Materials Certification

This is to certify that:

The results of the tests on acceptance samples indicate that the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with the approved plans and specifications.

Exceptions to the plans and specifications are explained on the back of this memorandum (or on attached sheet).

No exceptions to the plans and specifications were found.



Signature of local agency engineer in responsible charge of project and title

Distribution: (For all projects) 1) Local agency Project Files (original)
2) DLAE (1 copy in Report of Expenditures)
(For projects on the NHS) 3) FHWA (1 copy)

Page 1 of 1
January 2022

Assemble Report of Expenditures

9. Cover Letter and Structures Completion (Exh. 17-I and 17-J)

10. Report of Completion of Right of Way Expenditures

Use Exh. 17-K

- Submitted when final Right of Way costs are known

Assemble Report of Expenditures

Special Cases:

- State Funded Projects – Complete the “Final Project Expenditure Report” (Exh. 17-M)
 - Check “State” on Invoice 5-A

Assemble Report of Expenditures


Special Cases:







- Force Account Projects – Complete the “Report of Expenditures for Force Account Projects” (Exh. 17-L)

Noncompliance & Consequences

- Failure to submit Report of Expenditure
= **Sanctions**
- Final Invoice and Final Detail Estimate do not match
= **Delayed payment**
- Previously billing for
 - items not reimbursable by the FHWA; and
 - amounts exceeding the final quantities= State will bill you for **re-payment**

Noncompliance & Consequences

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[Home](#) | [Programs](#) | [Local Assistance](#) | [Project Management Oversight](#) | Inactive Projects

Inactive Projects

Caltrans Division of Local Assistance, Office of Project Management Oversight, through District Local Assistance Engineer (DLAE), provides guidance and support to Local Agencies in managing the inactive projects, and participate in the quarterly review with FHWA.

In response to FHWA's Guidance, the Department is going to manage Inactive Projects as follows:

1. If the Department does not receive an invoice for more than six months, the project will be posted on the Department's website.
2. If the Department does not receive an invoice in the next five months (11 months without invoicing), the Department will work with local agency to provide proper justification for inactivity (causes beyond the control of the agency such as litigation, unforeseen utility relocations, catastrophic events that delay the project or unforeseen environmental concerns) and establishing time frame for invoicing.
3. Project obligation could be removed by FHWA if local agency does not provide proper justification or invoice within specified and agreed upon timeframe.
4. It is the Local Agencies responsibility to work in collaboration with their respective District Local Assistance Engineers (DLAE's) to ensure their projects are invoiced timely.

Effective May 23, 2018 - [FHWA Obligation Funds Management Guide](#)

[Inactive Project List \(Status Update\)](#)

- [Inactive Project Justification Form](#) : All projects with an unexpended balance greater than or equal to \$150,000 with no activity for the past 9 months are subject to this review as well as those projects with an unexpended obligation of \$50,000 to \$150,000 which were authorized more than 9 months ago and have no expenditures.
- Updated on: **07/30/2024**
- Invoice Submission Due to District: **See Inactive Project List above**
- [Future inactive projects \(3-5 months inactivity\)](#)

California Repeat Inactive Project List \geq 24 months
July 10, 2024

- [California Repeat Inactive Project List FFY 24 Q4](#)

Inactive Projects webpage:

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

Noncompliance & Consequences

Project Deficiencies:

1. Procedural

- Local Agency procedures do not follow LAPM
- Correctable

2. Major

- Violates state or federal state law or regulation
- If uncorrected, would prevent federal or state participation in all or a portion of the project

3. Unrecoverable

- Such magnitude as to create doubt that the policies and objectives of Title 23 of the USC will be accomplished by the project
- Project beyond point that the deficiency can be corrected
- Loss of all or a portion of the federal and/or state funds

Noncompliance & Consequences

Sanctions

- Freeze future programming
- Freeze progress payments
- Withdraw % of project funds
- Withdraw all the project funds

A Local Assistance Dispute Resolution Process exists for you to appeal the sanctions.

Construction Records & Accounting

Project Records Retention

- Required by law:
23 Code of Federal Regulations 710
- 3 years after date of *final voucher approved*
- All records

Module 14

Project Completion

Question & Answer Session

For further assistance
contact a [Caltrans District Local Assistance Engineer](#)