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# Project Completion

Presented by Jim Day, District 3

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## **Project Completion: Objectives:**



**Be able to assemble forms (in accordance with)  
Local Assistance Procedures Manual Chapters  
5 for invoicing & 17 for Project Completion:**

- Federal Report of Expenditures
- State-funded Final Project Expenditure Report
- Understand the Consequences of Non-Compliance

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# Project Completion: Perform Final Inspection



## All Federal-aid Projects

### RE must perform final inspection:

- Document fulfillment of Environmental Mitigation Commitments (use ECR)
- 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

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## Final Inspection Form LAPM Exhibit 17-C

Local Assistance Procedures Manual		EXHIBIT 17-C Final Inspection Form
<b>EXHIBIT 17-C FINAL INSPECTION FORM</b>		
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:		
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.		
(Check appropriate box)		
<input type="checkbox"/> This project is Delegated and not subject to FHWA oversight. FHWA Final Inspection not required.		
<input type="checkbox"/> This project is an FHWA High Priority project. FHWA Final Inspection required.		
SIGNATURE (Local Agency Rep): _____		DATE: _____
TITLE: _____		
10. REMARKS:		
11. DISTRICT REVIEW MADE BY (print name):		12. DATE OF PROJECT REVIEW:
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.		
SIGNATURE: _____		DATE: _____
District Local Assistance Engineer/ Oversight Engineer		
Distribution: (1) Local Agency - Retain a copy		
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## **Project Completion: Perform Final Inspection**



### **DLAE 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

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## **Project Completion: 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

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# Project Completion: Assemble Report of Expenditures

## Report of Expenditures must include:

1. Cover Letter and Federal Report of Expenditures Checklist (Exh. 17-A)
2. Final Inspection Forms (Exh. 17-C)
3. Final Detailed Estimate
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 R of W Expenditures (Exh. 17-K)

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## Report of Expenditures Cover Letter Page 1 LAPM Exhibit 17-A

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

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February 2022

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**Report of Expenditures  
Cover Letter  
Page 2-  
Chronology  
LAPM Exh. 17-A**

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

**COVER LETTER-CONTINUED**

Federal Project No. : STPL-6620(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 were installed.

Contract Chronology

1. Bids Opened	03/30/2013
2. Contract Approved by local agency	04/27/2013
3. First chargeable working day	06/21/2013
4. Contract Time (Working Days)	49
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	07/30/2013
10. Date work accepted by Resident Engineer	06/21/2013
11. Liquidated damage days charged (calendar or working days)	0
12. Date accepted by implementing agency's governing board	06/21/2013

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January 2021

**Report of Expenditures  
Cover Letter  
Page 3 Attachments  
Checklist  
LAPM Exhibit 17-A**

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

**FEDERAL REPORT OF EXPENDITURES CHECKLIST**

Federal-aid 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) (Shall 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

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January 2021

## **Project Completion: 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

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## **Project Completion: 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

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## Project Completion: Assemble Report of Expenditures

### 4. Final Invoice Package (cont.)

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.

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## Project Completion: Assemble Report of Expenditures

### 4. Final Invoice Package (cont.)

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.

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## 4. Federal-Aid Final Invoice

### Page 1

# LAPM Chapter 5

## Exhibits 5-A (2020)

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:  
[HTTP://WWW.DOT.CA.GOV/HQ/LOCALPROGRAMS/LAM/FORMS/LAPMFORMS.HTM](http://www.dot.ca.gov/hq/LOCALPROGRAMS/LAM/FORMS/LAPMFORMS.HTM)
- 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)
  - o Support expense summary (i.e., PE, CE, ROW E&A)
  - o 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)

**\*\*\* Do not send Final Invoice packets to Caltrans HQ in Sacramento \*\*\*** 15

## 4. Federal-Aid Final Invoice

### Supporting Documents

# LAPM Chapter 5

## Exhibit 5-A

### (for Final Invoices)





## **Project Completion: Assemble Report of Expenditures**

- 6. Final Report – Utilization of Disadvantaged Business Enterprises (DBE) (Exh. 17-F)**
- 7. Disadvantaged Business Enterprises (DBE) Certification Status Change (Exh. 17-O)**
  - If no changes, state “Not Applicable”
- 8. Materials Certificate Exhibit 17-G**
  - Include explanations and change orders when accepting nonconforming materials

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## **Project Completion: 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

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## Project Completion: 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

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## Project Completion: Submit As-Built Plans



### Complete and Submit to DLAE:

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

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Local Assistance Procedures Manual Exhibit 17-I  
Sample Cover Letter for Report of Completion of Structures

**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 942074  
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 <small>(feature intersected)</small>	Road Name <small>(facility carried)</small>	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

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August 2021

## Cover Letter Report of Completion of Structures

### LAPM Exhibit 17-I

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Local Assistance Procedures Manual EXHIBIT 17-J  
Report of Completion of Structures

**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

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February 1, 1998

## Report of Completion of Structures on Local Streets and Roads

### LAPM Exhibit 17-J

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## **Project Completion: Assemble Report of Expenditures**

### **9. Report of Completion of Right of Way Expenditures** Exhibit 17-K

- Final R/W costs are known

### **10. Force Account Projects** Exhibit 17-L

- “Report of Expenditures for Force Account Projects”

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## **Project Completion: Perform Final Inspection**

### **All State-funded Projects**

- Check “State” on Invoice 5-A

### **Local Agency prepares Exh. 17-M**

- Ensure dates & amounts match the final invoice

### **DLAE performs project verification:**

- Reviews the job site
- Verifies construction per scope and description
- Signs Exh. 17-M and provides signed copy to agency

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Local Assistance Procedures Manual

Exhibit 17-M  
Final Project Expenditure Report - State Only

**Exhibit 17-M: Final Project Expenditure Report**  
(For State-Only Funded Projects)

[District Local Assistance Engineer]  
Department of Transportation  
[Street or PO Box]  
[City, CA Zip Code]  
Attention: [Name]

Date:

**FINAL EXPENDITURE REPORT**

Description/Location of Work:

Project Completion Date:  
Adv. Project ID (or prior EA):  
Project Number:  
Administering Agency-State Agreement No.:  
Program Supplement No.:  
State Funds Allocated:  
Expenditure Incurred:

A.	Payment to Contractor (attach final pay estimate)	
B.	Other Project Costs:	
	Preliminary Engineering	
	Construction Engineering	
	Any Additional Construction	
	Right of Way (Capital and Support)	
C.	Liquidated Damages	
D.	Outstanding Contractors Claims	
E.	Others (specify):	
<b>TOTAL EXPENDITURES</b>		\$ 0.00

Sources and Amount of Additional Funds Used: [Explain]  
State Funds Allocated but Not Used: [Amount and Reason]

**CERTIFICATION**

To the best of my knowledge and belief, the information in this report is a true and accurate record of project costs. The work was performed in accordance with the CTC approved scope and state funding for the project.

Local Agency's Person in Responsible Charge & Title

PROJECT VERIFICATION: This verification of completion also constitutes approval to pay costs shown in the Final Invoice included in the Report of Expenditures. I have reviewed the job site and found the project completed in accordance with the scope and description of the project authorization document.

District Local Assistance Engineer

Date

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January 2021

# Final Project Expenditure Report

## LAPM Exhibit 17-M

# Project Completion: Noncompliance and 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**

## **Project Completion: Noncompliance and 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.**

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## **Project Completion: Construction Records and Accounting**

### **Project Records Retention:**

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

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