

ACTA/ACTIA EXPENDITURE REPORTING REQUIREMENTS

The Measure B Expenditure Plan approved by the voters in November 2000, requires reporting related to expenditures of Measure B revenues. Measure B includes provisions for reporting expenditures to a Citizens Watchdog Committee as a means of accountability. The Authority's contracting practices and policies require that capital expenditures be tracked at the individual vendor level including sub-consultants and sub-contractors.

Prime consultants and contractors that have agreements directly with ACTA/ACTIA will be required to submit summaries of expenditures showing invoiced amounts for each individual vendor along with paid-to-date amounts for each attached to their invoices. In addition to invoices for current period billings showing expenditures segregated by vendor (i.e. prime and subs) vendors will be required to submit contract expenditures by phase and task. Payment Requests from vendors will not be considered without the information required in the contract. Deficient submittals will be returned to the vendor for re-submittal.

As required by the contract, a monthly Progress Report delineating the status of the contract shall be submitted. This report can be submitted with the Payment Request. If for some reason the Payment Requests are not submitted monthly, the Progress Report must still be submitted.

ACTA/ACTIA PAYMENT REQUEST PROCEDURE

Payment of eligible costs is contingent upon meeting the terms indicated in the respective contract. The following procedures should be adhered to in order to expedite the payment process.

Each contract addresses the services to be provided, deliverables and compliance. The following procedures are provided to address these matters. In the event that unique conditions occur, please contact your ACTA/ACTIA Manager for assistance prior to submittal. Keep in mind that it is the goal of this process to allow ACTA/ACTIA to track the contract costs by task; to track the LBE/SLBE/VSLBE participation for each Contract; and provide adequate backup information to assure ACTA/ACTIA that the costs being submitted are eligible for payment.

Instructions and examples for each Form follow.

If you have any questions regarding these forms and their use, please contact Arun Goel, Associate Transportation Engineer at (510) 267-6129 or agoel@actia2022.com.

CONSULTANT PAYMENT REQUEST FORM INSTRUCTIONS

The Consultant Payment Request form is used to delineate costs summed up by Consultants Charges/Direct Expenses and by Task Breakdown.

Prime Consultant – The name of the Vendor as indicated on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made.

Address – The address of the Vendor where correspondence and payments are to be sent.

Contact Name – Contact person for the Vendor to answer questions and coordinate processing of the requests.

Phone No. – Phone number of Vendor contact person.

E-mail – E-mail address of Vendor contact person.

Period (From – To) – The beginning date and ending date of the period for which payment is being requested.

ACTA/ACTIA Project No. – For Capital Projects, the ACTA/ACTIA Project No. as indicated on the Contract. This information is not required for non-Capital Project Contracts.

ACTA/ACTIA Agreement No. – This number is provided by the ACTA/ACTIA Manager and is for ACTA/ACTIA Use Only (AXX-XXXX or IXX-XXXX).

ACTA/ACTIA Contract No. – This number is the one listed on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made (i.e. A07-0001).

ACTA/ACTIA Manager: The name of the ACTA/ACTIA Manager assigned to the Contract.

Invoice No.: The invoice number on the Vendors original invoice.

Date of Invoice: The date of the Vendors original invoice.

Payment Request No. - This number should be a consecutive number starting at “1”.

CONSULTANT COSTS

Consultant Charges: “Billed This Period” Identify the total amount of the Prime and Subs costs included in this Payment Request.

Consultant Charges: “Previously Billed” The sum of the Consultant Charges billed in all previous invoices.

Consultant Charges: “Total Billed to Date” The sum of the Billed this Period and Previously Billed Columns. *The Total Billed to Date is automatically calculated – verify data.*

Direct Expenses: “Billed This Period” Identify the total amount of Prime and Subs Direct Expenses included in this Payment Request.

A direct expense is defined as the costs incurred on or directly for the contract other than salary costs and general overhead costs. Direct expenses shall include but not be limited to:

- Air Travel
- Car Rental
- Computer – CADD/Modeling
- Computer – Graphic Production
- Computer – Data Processing
- Computer – Word Processing
- Local Travel (Mileage)
- Color Copying
- Photocopying
- Postage/Delivery
- Reprographics/Printing
- Subsistence
- Telephone
- Traffic Counts/Data Collection
- Special Equipment Rental

Direct Expenses: “Previously Billed” The sum of the Direct Expenses billed in all previous invoices.

Direct Expenses: “Total Billed to Date” The sum of the Billed this Period and Previously Billed Columns. *The Total Billed to Date is automatically calculated – verify data.*

TASK BREAKDOWN

Task No.: The task number assigned in the scope of work for the contract.

Task Description: The task description assigned in the scope of work for the contract.

Task Breakdown: “Billed This Period” Identify the total amount of the charges by Task included in this Payment Request.

Task Breakdown: “Previously Billed” The sum of the Tasks billed in all previous invoices.

Task Breakdown: “Total Billed to Date” The sum of the Billed this Period and Previously Billed Columns. *The Total Billed to Date is automatically calculated – verify data.*

Project Manager’s Assurance - This statement of trueness and accuracy must be certified by signature of the Vendor Contact Person. This must be signed by the Vendor’s Project Manager authorized by the Contract.

Reviewer’s Comments – This box is for ACTA/ACTIA’s use only.

ACTA/ACTIA Approval – This is for ACTA/ACTIA use only for verification that the Payment Request has been reviewed for accuracy, is complete and contains the pertinent back-up information.

CONSULTANT PAYMENT REQUEST FORM

Prime Consultant: _____
 Address: _____

 Contact Name: _____
 Phone No.: _____
 E-mail: _____
 Period (From - To): _____

ACTA/ACTIA Project No.: _____
 ACTA/ACTIA Agreement No.: _____
 ACTA/ACTIA Contract No.: _____
 ACTA/ACTIA Manager: _____

Invoice No.: _____
 Date of Invoice: _____
 Payment Request No.: _____

CONSULTANT COSTS

Description	Billed This Period	Previously Billed	TOTAL BILLED TO DATE
Consultant Charges			\$0.00
Direct Expenses			\$0.00
TOTAL CONSULTANT COSTS:	\$0.00	\$0.00	\$0.00

TASK BREAKDOWN

Task No. (Per Contract)	Task Description	Billed this Period	Previously Billed	TOTAL BILLED TO DATE
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
TOTAL TASK BREAKDOWN COSTS:		\$0.00	\$0.00	\$0.00

Project Manager's Assurance:

I hereby certify that the information included in this Payment Request is true and accurate and that the claimed expenses have been paid as of the date of this request.

Reviewer's Comments

Signature _____ Date _____

ACTIA USE ONLY

Supporting documents reviewed and approved for payment

Signature _____ Date _____

VENDOR COSTS INSTRUCTIONS

Invoices should be processed on a monthly basis along with the required documentation. A completed Vendor Costs Form must be submitted for each contract being reported.

Prime Consultant – The name of the Vendor as indicated on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made.

ACTA/ACTIA Project No. – For Capital Projects, the ACTA/ACTIA Project No. as indicated on the Contract. This information is not required for non-Capital Project Contracts.

ACTA/ACTIA Agreement No. – This number is provided by the ACTA/ACTIA Manager and is for ACTA/ACTIA Use Only (AXX-XXXX or IXX-XXXX).

ACTA/ACTIA Contract No. – This number is the one listed on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made (i.e. A07-0001).

Phase/Description – **One** of the following as defined in the Contract being reported:

- Scoping - A phase set up specifically for projects without adequate definition to develop an overall project delivery plan for all phases. Scoping efforts, and costs, are typically authorized independently of other phases.
- Preliminary Engineering/Environmental Studies - This phase includes the engineering and planning efforts necessary to develop the project scope, including details, sufficient to support the assessment of impacts necessary to secure environmental approval and to develop a plausible schedule and cost estimate. These efforts may include conceptual engineering, preliminary engineering and technical studies.
- Final Design - This phase includes the detailed engineering required to prepare a final, signed set of plans, specifications and estimates (PS&E). Design work for Design-Build projects is not reported here.
- Right of Way Support - This phase includes the labor efforts required to acquire the rights of way necessary to advertise and construct the proposed improvements. These efforts include appraisals and legal support.
- Right of Way Capital - This phase includes the non-support costs incurred to acquire the rights of way necessary to advertise and construct the proposed improvements, including easements, title reports, insurance, etc. Labor costs associated with acquiring rights of way should be included in the Right of Way Support phase (described above).
- Utilities - This phase includes all costs associated with the protection and/or relocation of utilities necessary to advertise and construct the proposed improvements.
- Construction Capital - This phase includes non-support costs incurred as a result of a construction contract awarded for the actual construction of the proposed improvements. Labor costs associated with construction (other than labor costs incurred under the construction contract) should be included in the Construction Engineering phase (described below). Design-build projects should be reported under this phase.

- Construction Engineering - This phase includes the labor efforts required to administer the construction contract(s) including construction management, inspection, surveying and staking, and claims negotiations.
- Equipment Purchase - This phase includes all non-support costs incurred as result of procuring equipment necessary to realize the proposed improvements. Support costs related to developing specifications for equipment to be purchased should be included in the Final Design phase (described above). Support costs related to negotiating and administering the procurement of equipment should be included in the Construction Engineering phase (described above).
- General Administration – This is used for non-Capital Project Contracts.

(Please refer to the legend at the bottom of the page.)

Period (From – To) – The beginning date and ending date of the period for which payment is being requested.

Date Submitted – Date the form is submitted to ACTA/ACTIA for approval.

Original Contract Phase Amount – Amount of original contract entered into between ACTA/ACTIA and Vendor.

Amendment No.: Before the “:” list the Amendment Number (i.e. 1, 2, 3, etc.). After the “:” input the amount of the Amendment.

Current Contract Amount – The sum of the Original Contract Phase Amount plus any amendments made to the contract amount.

Previously Billed – Cumulative total of the amount previously billed.

Amount of This Invoice – Amount being requested for the period being reported. (Attach supporting documentation).

Remaining Budget – The sum of the Current Contract Phase Amount less Previously Billed less Amount of this Invoice.

Vendor Name – Name of company as indicated in the contract.

Vendor Tier – All first tier subconsultants/subcontractors are to be listed. Lower tier subconsultants/subcontractors may be included only if they are used in goal achievement and only upon prior authorization from ACTA/ACTIA. All subconsultants/subcontractors shall be listed as indicated in the contract. (Please refer to the legend at the bottom of the page.)

Certification – Certification of LBE/SLBE/VSLBE shall be from ACTA/ACTIA’s Affirmative Action Consultant as detailed in the “Alameda County Transportation Improvement Authority Local Business Enterprise and Small Local Business Enterprise Program” available on the ACTA/ACTIA website at www.ACTIA2022.com/What is ACTA/ACTIA/LBE/SLBE. Certification of DBE will be from Caltrans, MTC, or another Caltrans approved agency. (Please refer to the legend at the bottom of the page.)

Mark the appropriate box with an “X”. This is crucial for calculation of the formula in the “Actual To Date” columns.

Original Vendor Contract Amount – The amount listed in the original contract broken down by Vendor for a total amount not to exceed that listed in the original contract.

Current Vendor Contract Amount – The current contract amount is that amount listed in the contract with the subconsultant/subcontractor including all amendments, additional task orders, change orders and extra work.

Percent of Current Vendor Contract Amount – This percentage is based on each individual vendor’s percent of the total Current Contract Amount. *(This field is automatically calculated – data should be verified).*

Previously Billed – The total amount invoiced by the Vendor in previous invoices.

Current Invoice – The total amount invoiced by the Vendor in the current invoice (Attach supporting documentation).

Total Invoiced-to-Date – Total amount previously billed plus the current invoice by Vendor as of the date of the invoice. *(This field is automatically calculated – data should be verified).*

Total Paid-to-Date – Total amount paid to the Vendor by the date of the invoice.

% of Contract Invoices – Percentage of contract billed to date. Total Invoiced-to-Date divided by respective portion of Contract Amount. *(This field is automatically calculated – data should be verified).*

Summary of Goal Participation:

Vendor Name. – Vendor names as listed in the table above. *(This information will automatically fill in through a link to table above).*

Tier – Tier as listed in the table above. *(This information will automatically fill in through a link to table above).*

No entries are necessary to this section of the form.

Note: The “To Date” columns have a formula which will calculate the participation to date percentage by using, from the “Total Invoiced-to-Date” for the vendor against the “Total Invoiced-to-Date” grand total.

Sub-Consultant Payment Record:

Vendor Name. – Vendor names as listed in the table above. *(This information will automatically fill in through a link to table above).*

Date Last Paid – Date of last payment made to Vendor either by Prime or by ACTA/ACTIA.

Amount Paid to Date – Total amount paid to date to the Vendor either by Prime or by ACTA/ACTIA.

Reviewer’s Comments – This box is for ACTA/ACTIA’s use only.

ACTA/ACTIA Approval – This is for ACTA/ACTIA use only for verification that the Request for Reimbursement has been reviewed for accuracy, is complete and contains the pertinent back-up information.

Phase Legend: Use the Phase Legend when completing the Phase/Description blank at the top of the form.

Tier Legend: Use the Tier Legend when completing the Tier field in the Vendor Costs Table.

Certification Legend: This legend describes the column headings for certifications.

VENDOR CONTRACT INFORMATION FORM INSTRUCTIONS

Immediately after the award of any contract providing services to a given phase, a Vendor Contract Phase Information Form shall be submitted, with a copy of the contract being listed. If there is any change in any information provided regarding any Vendor, or if there is the addition of a Vendor to the project/contract as authorized by amendment, a revised Contract Information Form must be submitted for approval prior to the submittal of subsequent Payment Requests.

Prime Consultant – The name of the Vendor as indicated on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made.

ACTA/ACTIA Project No. – For Capital Projects, the ACTA/ACTIA Project No. as indicated on the Contract. This information is not required for non-Capital Project Contracts.

ACTA/ACTIA Agreement No. – This number is provided by the ACTA/ACTIA Manager and is for ACTA/ACTIA Use Only.

ACTA/ACTIA Contract No. – This number is the one listed on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made.

Phase/Description – **One** of the following as defined in the Contract being reported:

- **Scoping** - A phase set up specifically for projects without adequate definition to develop an overall project delivery plan for all phases. Scoping efforts, and costs, are typically authorized independently of other phases.
- **Preliminary Engineering/Environmental Studies** - This phase includes the engineering and planning efforts necessary to develop the project scope, including details, sufficient to support the assessment of impacts necessary to secure environmental approval and to develop a plausible schedule and cost estimate. These efforts may include conceptual engineering, preliminary engineering and technical studies.
- **Final Design** - This phase includes the detailed engineering required to prepare a final, signed set of plans, specifications and estimates (PS&E). Design work for Design-Build projects is not reported here.
- **Right of Way Support** - This phase includes the labor efforts required to acquire the rights of way necessary to advertise and construct the proposed improvements. These efforts include appraisals and legal support.
- **Right of Way Capital** - This phase includes the non-support costs incurred to acquire the rights of way necessary to advertise and construct the proposed improvements, including easements, title reports, insurance, etc. Labor costs associated with acquiring rights of way should be included in the Right of Way Support phase (described above).
- **Utilities** - This phase includes all costs associated with the protection and/or relocation of utilities necessary to advertise and construct the proposed improvements.
- **Construction Capital** - This phase includes non-support costs incurred as a result of a construction contract awarded for the actual construction of the proposed improvements. Labor costs associated with construction (other than labor costs incurred under the

construction contract) should be included in the Construction Engineering phase (described below). Design-build projects should be reported under this phase.

- Construction Engineering - This phase includes the labor efforts required to administer the construction contract(s) including construction management, inspection, surveying and staking, and claims negotiations.
- Equipment Purchase - This phase includes all non-support costs incurred as result of procuring equipment necessary to realize the proposed improvements. Support costs related to developing specifications for equipment to be purchased should be included in the Final Design phase (described above). Support costs related to negotiating and administering the procurement of equipment should be included in the Construction Engineering phase (described above).
- General Administration – This is used for non-Capital Project Contracts.

(Please refer to the legend at the bottom of the page.)

Vendor ID No. – This section is to be left blank by the Vendor. Vendor numbers are assigned by ACTA/ACTIA.

Vendor Type – One of the following: A=Agency, P=Professional Services, C=Construction, S=Supplier (Supplier is defined as a vendor providing goods or materials for the project that are not chargeable as a direct expense). Please refer to the legend at the bottom of the page.

Vendor Tier – One of the following: P=Prime, T1=Tier 1, T2=Tier 2, etc. Vendors lower than Tier 1 are only required if they are used to meet participation goals. (Please refer to the legend at the bottom of the page.)

Vendor Name – Name of company as indicated on the contract.

Vendor Address/City/State/Zip – Address where correspondence and payments are sent to the Vendor.

Contact – Name of the contact person for the Vendor regarding the contract being reported.

Phone/Fax/E-mail – Phone number, fax number and e-mail address for the contact person for the Vendor regarding the contract being reported.

Other Business Name – This section is to be left blank by the Vendor. This section is solely for the use of ACTA/ACTIA.

ACTA/ACTIA Certification Expiration – List the date the LBE, SLBE, VSLBE, and/or DBE, WBE certification will expire. The current listing of ACTA/ACTIA Certified LBE/SLBE/VSLBE can be obtained from the ACTA/ACTIA website at www.ACTIA2022.com. For prior certification contact Mason Tillman Associates, at (510) 238-4677.

ACTA/ACTIA Approval – Once the form has been reviewed and approved by ACTA/ACTIA, a signed form will be returned to the Sponsor.

Vendor Type Legend: Use the Vendor Type Legend when completing the Type field in the Contract Vendor Information Table.

Vendor Tier Legend: Use the Vendor Tier Legend when completing the Tier field in the Contract Vendor Information Table.

PROGRESS REPORTING PROCEDURE

Progress Reports shall be submitted for each contract (or each phase for contracts related to Capital Projects) on a monthly basis. The Progress Report form is available from ACTA/ACTIA in Microsoft Word 7.0 Format. Details for filling in the report are as follows.

Vendor – The name of the Vendor as indicated on the Contract between ACTA/ACTIA and the Vendor for which the Payment Request is being made.

ACTA/ACTIA Project No. – For Capital Projects, the ACTA/ACTIA Project No. as indicated on the Contract. This information is not required for non-Capital Project Contracts.

Phase/Description – **One** of the following as defined in the Contract being reported:

- Scoping - A phase set up specifically for projects without adequate definition to develop an overall project delivery plan for all phases. Scoping efforts, and costs, are typically authorized independently of other phases.
- Preliminary Engineering/Environmental Studies - This phase includes the engineering and planning efforts necessary to develop the project scope, including details, sufficient to support the assessment of impacts necessary to secure environmental approval and to develop a plausible schedule and cost estimate. These efforts may include conceptual engineering, preliminary engineering and technical studies.
- Final Design - This phase includes the detailed engineering required to prepare a final, signed set of plans, specifications and estimates (PS&E). Design work for Design-Build projects is not reported here.
- Right of Way Support - This phase includes the labor efforts required to acquire the rights of way necessary to advertise and construct the proposed improvements. These efforts include appraisals and legal support.
- Right of Way Capital - This phase includes the non-support costs incurred to acquire the rights of way necessary to advertise and construct the proposed improvements, including easements, title reports, insurance, etc. Labor costs associated with acquiring rights of way should be included in the Right of Way Support phase (described above).
- Utilities - This phase includes all costs associated with the protection and/or relocation of utilities necessary to advertise and construct the proposed improvements.
- Construction Capital - This phase includes non-support costs incurred as a result of a construction contract awarded for the actual construction of the proposed improvements. Labor costs associated with construction (other than labor costs incurred under the construction contract) should be included in the Construction Engineering phase (described below). Design-build projects should be reported under this phase.
- Construction Engineering - This phase includes the labor efforts required to administer the construction contract(s) including construction management, inspection, surveying and staking, and claims negotiations.
- Equipment Purchase - This phase includes all non-support costs incurred as result of procuring equipment necessary to realize the proposed improvements. Support costs

related to developing specifications for equipment to be purchased should be included in the Final Design phase (described above). Support costs related to negotiating and administering the procurement of equipment should be included in the Construction Engineering phase (described above).

- General Administration – This is used for non-Capital Project Contracts.

A separate report is required for each active phase if more than one phase is underway during the reporting period.

Project Name – For Capital Projects, the project name is shown on the contract or as furnished by ACTA/ACTIA. For non-Capital Projects the services provided (i.e. Financial Services, Legal Services, etc.).

Date – The date indicates the month(s) for which the information included in the report is valid.

Status – Short statements indicating project progress, meetings, highlights and setbacks.

Actions – Information regarding formal actions or schedule milestones achieved.

Anticipated Actions – Discuss scheduled activities that begin during the next reporting period, items that may need further action, or any action that was not originally necessary but has become necessary.

Schedule Changes – Use the check boxes to indicate schedule status. If the schedule has been modified, a new schedule must be attached.

Scope Changes – Use the check boxes to indicate Project Scope Status. If the project scope has changed, updated information must be included.

Potential Claims – Use the check boxes to indicate the status of potential claims against the project.

General – Use the check boxes to indicate problem areas. It is important that these problems be pointed out early. The description of the problem shall be as detailed as necessary to assist problem solution.

Note – Problems on the project should be reported immediately, as they occur, to ACTA/ACTIA project coordinators verbally and/or in writing. This reporting form is for record purposes and early problem identification is imperative to project success. Do not wait to report project problems.

PROJECT NAME/SERVICES PROVIDED
Progress Report
(Date)

STATUS

ACTIONS

ANTICIPATED ACTIONS

SCHEDULE CHANGES

- The project/contract remains on its published schedule.
- The revised project/contract schedule is attached for review and confirmation.

SCOPE CHANGES

- The project/contract scope is unchanged.
- The scope of the project/contract has been modified and is attached for review and confirmation (include CCO's over \$20,000 on construction and professional service contracts).

POTENTIAL CLAIMS

- There are no Notices of Potential Claim on file.
- We anticipate a claim regarding the following:
- There are presently ___ Notice(s) of Potential Claim on file. Those not previously forwarded are attached for review and comment.

GENERAL

- At this time we anticipate no problems on the project.
- We anticipate problems in the following area and would appreciate any assistance you could offer:
- We anticipate problems in the following area but do not feel we need your assistance at this time: