

**Project Funding Agreement**

**Amendment Request Form**

**General Instructions and Process**

**Amendment Authorization**

As permitted by Section II of the Project Funding Agreement:

Alameda CTC and the Project Sponsor may jointly authorize an “Administrative Amendment” for any minor schedule revisions, deliverables, or budget revisions that do not increase the total Alameda CTC Administered Funds obligated by this Agreement. Any change in the Project scope of work must be approved by Alameda CTC prior to implementation of the change by the Project Sponsor. Administrative amendment requests sent to Alameda CTC must include a revised Appendix A: Project Control Information which reflects the requested changes by the Project Sponsor.

**INSTRUCTIONS**

1. Project Sponsor to complete and submit this Amendment Request Form.
2. Any Appendices requesting a modification should be identified and included within the requests.
3. Sponsors are to copy/paste the previously approved information in the appropriate areas/tables, and indicate the revision to items such as scope, agreement expiration date, schedule, and deliverables in the appropriate areas of this form.
4. Appendices which are not changed are not required to be included in the Amendment Request Form. Therefore, unchanged appendices can be omitted/deleted from the final Amendment Request package.
5. Project Sponsors are to submit Amendment Requests as soon as amendments are known to be required, and no later than 60 days to when a formal action is required, whichever is first.
6. Amendment Requests can be directed to John Nguyen, jnguyen@alamedactc.org for processing.

**PROCESS STEPS**

1. Upon receipt of a Project Sponsor’s Amendment Request Form, Alameda CTC staff will review the requested changes, and if agreeable, Alameda CTC will sign and return copies of this amendment request if it is within administrative contractual authority.
2. If a formal or Commission action is required Alameda CTC will provide appropriate next steps on scheduling recommendations to the Commission. Project Sponsors should be available at the Projects and Programs Committee (PPC) and Commission for which the amendment request is being considered to address any questions that may arise.
3. Upon approval of the amendment request (be it administrative or formal), the amendment will be signed by both parties to become the current agreement as amended.

***[PRINT ON AGENCY LETTER HEAD]***

***[Enter Date]***

John Nguyen

Assistant Director of Programming and Project Controls
Alameda County Transportation Commission

1111 Broadway, Suite 800
Oakland, CA 94607

**Subject: Amendment Request No. *[Enter Number]* to Project Funding Agreement No. *[Enter Number]* for the *[Enter Project Title]***

Dear Mr. Nguyen:

Per Section III.2, we are hereby requesting an amendment to the Project Funding Agreement in the subject line. Our requested change(s) are noted in the Written Explanation for the Change Request on the following page, and specific changes are included the attached modified Appendices, as indicated by an “X” below:

|  |  |
| --- | --- |
| Changed | Appendices |
|  | Appendix A: Project Control Information |
|  | Appendix B: Alameda CTC Administered Funds Obligated  |
|  | Appendix E: Deliverables and Due Dates |
|  | Appendix F: Project Performance Measures |

We understand Alameda CTC will review the requested changes, and if agreeable, Alameda CTC will sign and return copies of this amendment request if it is within administrative contractual authority.

Otherwise, we understand Alameda CTC will provide appropriate next steps if a formal amendment and/or Commission action is required.

We understand the approved amendment request, or formal amendment once Commissioned approved, will be signed by both parties to become the current agreement as amended.

If you have any questions or need additional information, please contact ***[Enter Contact Name]*** at ***[Enter contact information].***

Sincerely,

***[Enter Name]***

***[Enter Title]***

**WRITTEN EXPLANATION FOR CHANGE REQUEST**

**Project Sponsor requests a change to:**

[ ]  Scope [ ]  Cost [ ]  Schedule [ ]  Expiration Date [ ]  Performance Measures

**Reason for Change:**

|  |
| --- |
|  |

**Amendment Certification – Request**

By signing the below, the Project Sponsor and the Alameda CTC agree to the proposed changes to the Project Funding Agreement as identified on the cover page request, and detailed herein in this amendment request. This approved request signed by both parties will become the current agreement information on file at Alameda CTC.

|  |  |  |
| --- | --- | --- |
| Project Sponsor Representative:  |  | Date |
|  |  |  |
|  |  |  |
| Alameda CTC Approval |  | Date |

**Revised Appendix A**

**Project Control Information**

**Appendix Index**

Appendix A-1 Project Description

Appendix A-2 Project Scope Detail by Phase

Appendix A-3 Project Milestone Schedule

Appendix A-4 Project Cost Estimate Summary by Phase and Fund Source

Appendix A-5 Project Funding Summary by Phase and Reimbursement Ratio

Appendix A-6 Project Phase Cost Detail

**Appendix A-1**

**Project Description**

**Project Title:** [Insert Project Title]

**Project Description:**

[Insert Project Description, limits, general scope of work, “years of effectiveness” for capital vehicle purchases, and expected outcome etc.]

**Appendix A-2**

**Project Scope Detail by Phase**

The Alameda CTC Administered Funds obligated by this Agreement are to support the project phase(s) identified and described below:

**[INSERT PHASE]**

* Provide a brief description/scope for each phase of the project implementation supported with Alameda CTC funds obligated in this Agreement.

**Appendix A-3**

**Project Milestone Schedule**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Phase/Milestone** | **Previously Approved****Begin****(Mo/Yr)** | **Previously Approved****End****(Mo/Yr)** | **Revised****Begin****(Mo/Yr)** | **Revised****End****(Mo/Yr)** |
| Scoping |  |  |  |  |
| Preliminary Engineering/Environmental Studies |  |  |  |  |
| CEQA Approval |  |  |  |  |
| NEPA Approval |  |  |  |  |
| Final Design (Plans, Specifications and Estimate (PS&E)) |  |  |  |  |
| Right-of-Way Acquisition  |  |  |  |  |
| Right-of-Way Certification |  |  |  |  |
| Construction |  |  |  |  |
| Release Request for Proposal / Advertisement |  |  |  |  |
| Contract Award |  |  |  |  |
| Construction Activity |  |  |  |  |
| Contract Acceptance  |  |  |  |  |
| Project Closeout  |  |  |  |  |
|  |  |  |  |  |
| Program Operations (for shuttles/programs) |  |  |  |  |

**Appendix A-4**

**Project Funding Summary by Phase and Fund Source**

|  |
| --- |
| **Previously Approved** **Project Cost Summary by Phase and Fund Source** |
| **PHASE** | **Alameda CTC****Administered Funds** | **Alameda CTC****Administered Funds** | **Sponsor****Funds** | **Sponsor****Funds** | **TBD** | **Total****Funding** |
| **[Insert Fund Source]****[Insert Subset]** | **[Insert Fund Source]****[Insert Subset]** | **[Insert Fund Source]** | **[Insert Fund Source]** |
| Planning / Scoping | $ | $ | $ | $ | $ | **$** |
| Preliminary Engineering / Enviro. Studies | $ | $ | $ | $ | $ | **$** |
| Final Design (PS&E) | $ | $ | $ | $ | $ | **$** |
| Right-of-Way | $ | $ | $ | $ | $ | **$** |
| Construction  | $ | $ | $ | $ | $ | **$** |
| **Total** **Project Cost** | **$** | **$** | **$** | **$** | **$** | **$** |

|  |
| --- |
| **Revised****Project Cost Summary by Phase and Fund Source** |
| **PHASE** | **Alameda CTC****Administered Funds** | **Alameda CTC****Administered Funds** | **Sponsor****Funds** | **Sponsor****Funds** | **TBD** | **Total****Funding** |
| **[Insert Fund Source]****[Insert Subset]** | **[Insert Fund Source]****[Insert Subset]** | **[Insert Fund Source]** | **[Insert Fund Source]** |
| Planning / Scoping | $ | $ | $ | $ | $ | **$** |
| Preliminary Engineering / Enviro. Studies | $ | $ | $ | $ | $ | **$** |
| Final Design (PS&E) | $ | $ | $ | $ | $ | **$** |
| Right-of-Way | $ | $ | $ | $ | $ | **$** |
| Construction  | $ | $ | $ | $ | $ | **$** |
| **Total** **Project Cost** | **$** | **$** | **$** | **$** | **$** | **$** |

**Notes:**

1. Alameda CTC Administered Funds identified with a Note 1 are shown within this Project Cost Summary for funding plan informational purposes. These funds are not encumbered within this Agreement.

To Be Determined (TBD) Column includes unknown and unsecured funding amounts to the project.

**Appendix A-5**

**Project Funding Summary by Phase and Reimbursement Ratio**

(Only Phases Funded with Alameda CTC Administered Funds)

The Alameda CTC Administered Funds obligated by this Agreement are to support the project phase(s) identified and described below:

|  |
| --- |
| **Previously Approved** **Project Funding Summary by Phase and Reimbursement Ratio** |
| **PHASE** | **Alameda CTC** **Administered Funds** | **Matching** **Funds** | **Total****Funding** | **Reimbursement****Ratio** **Percentage** |
| **[Insert Fund Source]****[Insert Subset]** |
| Planning / Scoping | $ | $ | $ | XX.XX**%** |
| Preliminary Engineering / Enviro. Studies | $ | $ | $ | XX.XX **%** |
| Final Design (PS&E) | $ | $ | $ | XX.XX **%** |
| Construction  | $ | $ | $ | XX.XX **%** |
| Operations | $ | $ | $ | XX.XX **%** |
| **Total Funding** | $ | $ | $ |  |

|  |
| --- |
| **Revised** **Project Funding Summary by Phase and Reimbursement Ratio** |
| **PHASE** | **Alameda CTC** **Administered Funds** | **Matching** **Funds** | **Total****Funding** | **Reimbursement****Ratio** **Percentage** |
| **[Insert Fund Source]****[Insert Subset]** |
| Planning / Scoping | $ | $ | $ | XX.XX**%** |
| Preliminary Engineering / Enviro. Studies | $ | $ | $ | XX.XX **%** |
| Final Design (PS&E) | $ | $ | $ | XX.XX **%** |
| Construction  | $ | $ | $ | XX.XX **%** |
| Operations | $ | $ | $ | XX.XX **%** |
| **Total Funding** | $ | $ | $ |  |

**Notes:**

1. Project Sponsor shall be reimbursed eligible costs in the percentage of Total Alameda CTC Administered Funds to Total Funding per the Reimbursement Ratio Percentage for each phase. Each Alameda CTC Administered Fund amount identified is a not-to-exceed amount. The Reimbursement Ratio is defined as Alameda CTC Administered funds divided by the Total Funding.

**Appendix A-6**

**Project Phase Cost Detail**

This Project Phase Cost Detail summarizes the total cost for each phase with Alameda CTC Administered Funds obligated in this Agreement.

|  |
| --- |
| **Previously Approved****Phase Cost Detail** |
| **[INSERT PHASE/****Insert New Table Per Phase]** | **[Insert Fund Source]****[Insert Fund Subset]** | **Matching Funds** | **Total Cost** |
| **Sponsor Staff/Labor Cost** | $ | $ | $ |
| **Contract(s)** | $ | $ | $ |
| **Other Direct Costs** | $ | $ | $ |
| **Total Phase Cost** *(Staff + Contract Costs + Other Direct Costs)* | **$** | **$** | **$** |

|  |
| --- |
| **Revised** **Phase Cost Detail** |
| **[INSERT PHASE/****Insert New Table Per Phase]** | **[Insert Fund Source]****[Insert Fund Subset]** | **Matching Funds** | **Total Cost** |
| **Sponsor Staff/Labor Cost** | $ | $ | $ |
| **Contract(s)** | $ | $ | $ |
| **Other Direct Costs** | $ | $ | $ |
| **Total Phase Cost** *(Staff + Contract Costs + Other Direct Costs)* | **$** | **$** | **$** |

**Notes:**

* The costs and fund sources for all contracts for professional services or construction for the Project shall be shown in the “Contract(s)” line. “Other Direct Costs” consists of expenditures on such items as delivery services, printing services, and travel, where no RFPs/RFQs or bids are required.
* Contracts funded with any combination of Measure B, Measure BB, Vehicle Registration Fee and local funds that do not contain State or federal funds are subject to Alameda CTC’s Local Business Contract Equity Program (refer to Appendix D).
* Costs and funds may be moved between Contract(s) and Other Direct Costs through an Administrative Amendment pursuant to Section III.2 of this Agreement, so long as (i) Alameda CTC is notified in advance prior to any expenditures on either category in excess of the amounts then shown in this table, and (ii) any proposed amendment which changes the Total Costs for Contract(s) from zero to a positive number must be approved by Alameda CTC prior to Project Sponsor seeking proposals, qualifications, or bids for such contract(s).

**Revised Appendix B**

**Alameda CTC Administered Funds Obligated by this Agreement**

The following Table B-1 identifies the Alameda CTC Administered Funds obligated by this Agreement and establishes a unique allowable start date for each obligated fund source.

|  |
| --- |
| **Table B-1****Funds Obligated by this Agreement****and Allowable Start and Expenditure Deadline Dates** |
| **Fund Source** | **Fund Subset** | **Phase** | **Commission Approval Date** | **Allowable****Start Date** | **Expenditure Deadline Date** | **Obligated Amount** |
|  |  |  |  |  | [Enter Date]  *No less than* *3- months prior to Agreement Expiration Date* |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| TFCA | FYEXX CPM |  |  |  | [Enter Date] |  |
| **Total Alameda CTC Administered Funds Obligated by Agreement:** |  |

|  |  |
| --- | --- |
| **Previously Approved****Agreement Expiration Date:** |  |

|  |  |
| --- | --- |
| **Revised** **Agreement Expiration Date:** |  |

**Notes:**

1. Alameda CTC reimbursement amounts by fund source for Project shall not exceed the total amount obligated by this Agreement, by fund source.
2. The Commission Approval Date is the date of the meeting at which the Commission approved the allocation.
3. The Allowable Start Date identified for each fund source is the earliest date at which costs eligible for reimbursement by the fund source indicated may be incurred. Any costs incurred on the Project before this date will not be eligible for reimbursement under this Agreement. The earliest Allowable Start Date shown in this column represents the effective date of this Agreement. The Allowable Start Date may be established as early as the Commission Approval Date of the allocation.
4. The Expenditure Deadline Date is the last date by which eligible reimbursable costs may be incurred. Any costs incurred on the Project after this date will not be eligible for reimbursement under this Agreement.
5. The Agreement Expiration Date shall mean and refer to the expiration date of this Agreement.
6. For TFCA funds obligated by this agreement, the Expenditure Deadline Date in the above table is two (2) years from the date when Alameda CTC first received funds from the Air District, unless an extended deadline is approved at the time of programming, or an extension has been approved by Alameda CTC. An estimated deadline date is noted in the above table if at the time of this agreement Alameda CTC has yet to receive funds from the Air District. Extended deadlines will be reflected in an amended Table B-1, once approved.

**Revised Appendix E**

**Deliverables and Due Dates**

**Project Deliverables and Due Dates:** The Deliverables and Due Dates tables below reflect required deliverables and due dates, if any, for the phases listed in Appendix A-2 Project Phase Descriptions that contain Alameda CTC Administered Funds.

Additionally, Project Sponsor must also submit Request for Reimbursement forms and Progress Reporting as required per Appendix C.

[INCLUDE the relevant rows associated with the phase for which funding is obligated by the agreement. Additional deliverables may be added. Non-applicable phases/rows may be deleted]

|  |
| --- |
| **Deliverables and Due Dates** |
| **No.**  | **Description** | **Previously Approved** **Due Date to Alameda CTC** | **Revised** **Due Date to Alameda CTC** |
| **Scoping/Planning**  |
| 1 | Copy of Project Study Report, scoping document, or similar report.  | 07/31/2X | 07/31/2X |
| **Preliminary Engineering / Environmental** |
| 1 | Copy of Environmental report, certification, or similar report.  | 07/31/2X | 07/31/2X |
| **PS&E/Final Design** |
| 1 | Confirmation of completion of Final Design.Ex. Copy of governing board acceptance, notice of completion, or final PS&E package. | 07/31/2X | 07/31/2X |
| **Right-of-Way** |
| 1 | Copy of Right-of-Way Certification. | 07/31/2X | 07/31/2X |
| **Construction** |
| 1 | Photos of temporary construction signage (which includes the Alameda CTC logo and/or the BAAD logo TFCA funded projects). | 07/31/2X | 07/31/2X |
| 2 | Before and After photos of construction completion. | 07/31/2X | 07/31/2X |
| 3 | Confirmation of construction completion. Ex. Copy of governing board acceptance, notice of completion or similar. | 07/31/2X | 07/31/2X |
| **Final Closeout Deliverables** |
| 1 | Documentation of completed publicity requirements per Section I.20. Ex. Funding agency credit/logo usage on websites, articles, and construction signage. | By theAgreementExpirationDate |
| 2 | Final Invoice  |
| 3 | Final Report |

**Note:**

* Per Section III.12 of Agreement, Alameda CTC may withhold payment of reimbursement requests until past due deliverables are received and approved.

**Revised Appendix F**

**Project Performance Measures**

**Project Performance Measures:** The Project Performance Measures and Targets describes what outcome-based performance measure(s) the Project Sponsor plans to evaluate to ensure that the project/program is meeting its objectives.

|  |
| --- |
| **Project Performance Measures and Targets** |
| **Performance Measure** | **Previously Approved Target** | **Revised** **Target** |
|  |  |  |
|  |  |  |
|  |  |  |

**Note:**

1. It is expected that the Project will achieve the performance measures targets and/or project outcomes as established herein.