

# STATE OF COLORADO AMENDMENT

Amendment #: 1

Project #: SHO M810-014 (22904)

## SIGNATURE AND COVER PAGE

<b>State Agency</b> Department of Transportation		<b>Amendment Routing Number</b> 19-HA1-XC-00146-M0003
<b>Local Agency</b> CITY OF LITTLETON		<b>Original Agreement Routing Number</b> 19-HA1-XC-00146
<b>Agreement Maximum Amount</b> \$2,450,000.00	<b>Agreement Performance Beginning Date</b> The later of the effective date or June 10, 2019	
	<b>Initial Agreement expiration date</b> June 09, 2029	

### THE PARTIES HERETO HAVE EXECUTED THIS AMENDMENT

Each person signing this Amendment represents and warrants that he or she is duly authorized to execute this Amendment and to bind the Party authorizing his or her signature.

<b>STATE OF COLORADO</b> <b>Jared S. Polis, Governor</b> Department of Transportation Shoshana M. Lew, Executive Director  _____ Stephen Harelson, P.E., Chief Engineer  Date: _____	
<b>LOCAL AGENCY</b> CITY OF LITTLETON  _____ Signature  _____ By: (Print Name and Title)  Date: _____	<b>LOCAL AGENCY</b> (2 <sup>nd</sup> Signature if Necessary)  _____ Signature  _____ By: (Print Name and Title)  Date: _____

In accordance with §24-30-202 C.R.S., this Amendment is not valid until signed and dated below by the State Controller or an authorized delegate.

<b>STATE CONTROLLER</b> <b>Robert Jaros, CPA, MBA, JD</b>  By: _____ Department of Transportation  Effective Date: _____
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**1) PARTIES**

This Amendment (the "Amendment") to the Original Agreement shown on the Signature and Cover Page for this Amendment (the "Agreement") is entered into by and between the Local Agency and the State.

**2) TERMINOLOGY**

Except as specifically modified by this Amendment, all terms used in this Amendment that are defined in the Agreement shall be construed and interpreted in accordance with the Agreement.

**3) EFFECTIVE DATE AND ENFORCEABILITY**

**A. Amendment Effective Date**

This Amendment shall not be valid or enforceable until the Amendment Effective Date shown on the Signature and Cover Page for this Amendment. The State shall not be bound by any provision of this Amendment before that Amendment Effective Date, and shall have no obligation to pay the Local Agency for any Work performed or expense incurred under this Amendment either before or after the Amendment term shown in **§3.B** of this Amendment

**B. Amendment Term**

The Parties' respective performances under this Amendment and the changes to the Agreement contained herein shall commence on the Amendment Effective Date shown on the Signature and Cover Page for this Amendment and shall terminate on the termination of the Agreement.

**4) PURPOSE**

The Parties entered into the Agreement to upgrade traffic signals at intersections in Littleton, CO. The Parties now desire to increase the total budgeted funds of \$1,750,000.00 by \$700,000.00 of State FASTER funding to a new total budgeted funds of \$2,450,000.00.

**5) MODIFICATIONS**

The Agreement and all prior amendments thereto, if any, are modified as follows:

- a) increase total budgeted funds of \$1,750,000.00 by \$700,000.00 of State FASTER funding to a new total budgeted funds of \$2,450,000.00; and

**Exhibit C-2** shall be replaced by **Exhibit C-3**. Any reference in the Agreement, as previously modified, to **Exhibit C**, **Exhibit C-1** or **Exhibit C-2** shall be a reference to **Exhibit C-3**.

**6) LIMITS OF EFFECT**

This Amendment is incorporated by reference into the Agreement, and the Agreement and all prior amendments or other modifications to the Agreement, if any, remain in full force and effect except as specifically modified in this Amendment. Except for the Special Provisions contained in the Agreement, in the event of any conflict, inconsistency, variance, or contradiction between the provisions of this Amendment and any of the provisions of the Agreement or any prior modification to the Agreement, the provisions of this Amendment shall in all respects supersede, govern, and control. The provisions of this Amendment shall only supersede, govern, and control over the Special Provisions contained in the Agreement to the extent that this Amendment specifically modifies those Special Provisions.

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## **EXHIBIT C-3**

### **FUNDING PROVISIONS**

#### **EXHIBIT C-3 – FUNDING PROVISIONS**

**SHO M810-014 (22904)**

##### **A. Cost of Work Estimate**

The Local Agency has estimated the total cost the Work to be \$2,450,000.00, which is to be funded as follows:

<b>1. BUDGETED FUNDS</b>				
a.	Federal Funds (HSIP) (90.00% of Participating Costs)			\$675,000.00
b.	State Matching Funds (10.00% of Participating Costs)			\$75,000.00
c.	State Funds (FASTER) (100.00% of Participating Costs)			\$1,700,000.00
<b>TOTAL BUDGETED FUNDS</b>				\$2,450,000.00
<b>2. OMB UNIFORM GUIDANCE</b>				
a.	Federal Award Identification Number (FAIN):			TBD
b.	Federal Award Date (also Phase Performance Start Date):			See Below
c.	Amount of Federal Funds Obligated:			\$158,215.50
d.	Total Amount of Federal Award:			\$675,000.00
e.	Name of Federal Awarding Agency:			FHWA
f.	CFDA # Highway Planning and Construction			CFDA 20.205
g.	Is the Award for R&D?			No
h.	Indirect Cost Rate (if applicable)			N/A
<b>3. ESTIMATED PAYMENT TO LOCAL AGENCY</b>				
a.	Federal Funds Budgeted			\$675,000.00
b.	State Funds Budgeted			\$1,775,000.00
c.	Less Estimated Federal Share of CDOT-Incurred Cost			\$0.00
<b>TOTAL ESTIMATED PAYMENT TO LOCAL AGENCY</b>				\$2,450,000.00
<b>4. FOR CDOT ENCUMBRANCE PURPOSES</b>				
a.	Total Encumbrance Amount			\$2,450,000.00
b.	Less ROW Acquisition 3111 and/or ROW Relocation 3109 (\$76,500.00 federal funds and \$8,500.00 State Matching Funds)			\$85,000.00
Net to be encumbered as follows:				\$2,365,000.00
<i>Note: Only \$175,795.00 in Design funds are currently available. Additional funds will become available after federal authorization and execution of an Option letter (Exhibit B) or formal Amendment.</i>				
WBS Element 22904.10.30	<b>Performance Period Start*/End Date</b> 06/05/2019 / 04/30/2022	Design	3020	\$175,795.00
WBS Element 22904.20.10	<b>Performance Period Start*/End Date</b> TBD / TBD	Const.	3301	\$0.00

\*The Local Agency should not begin work until all three of the following are in place: 1) Phase Performance Period Start Date; 2) the execution of the document encumbering funds for the respective phase; and 3) Local Agency receipt of the official Notice to Proceed. Any work performed before these three (3) milestones are achieved will not be reimbursable.

## **B. Matching Funds**

The matching ratio for the federal participating funds for this Work is 90% federal-aid funds to 10% State funds for HSIP funds and 100% State funds for FASTER funds, it being understood that such ratio applies only to the \$2,450,000.00 that is eligible for federal participation, it being further understood that all non-participating costs are borne by the Local Agency at 100%. If the total participating cost of performance of the Work exceeds \$2,450,000.00, and additional federal funds are made available for the Work, the Local Agency shall pay 0% of all such costs eligible for federal participation and 100% of all non-participating costs; if additional federal funds are not made available, the Local Agency shall pay all such excess costs. If the total participating cost of performance of the Work is less than \$2,450,000.00, then the amounts of Local Agency and federal-aid funds will be decreased in accordance with the funding ratio described herein.

## **C. Maximum Amount Payable**

The maximum amount payable to the Local Agency under this Agreement shall be \$2,365,000.00 (For CDOT accounting purposes, the federal funds of \$598,500.00 (federal funds of \$675,000.00 minus federal share of ROW Acquisition 3111 and/or ROW Relocation 3109 of \$76,500.00) and the State matching funds of \$66,500.00 (State matching funds of \$75,000.00 minus State share of ROW Acquisition 3111 and/or ROW Relocation 3109 of \$8,500.00) and State FASTER funds of \$1,700,000.00 will be encumbered for a total encumbrance of \$2,365,000.00), unless such amount is increased by an appropriate written modification to this Agreement executed before any increased cost is incurred. It is understood and agreed by the parties hereto that the total cost of the Work stated hereinbefore is the best estimate available, based on the design data as approved at the time of execution of this Agreement, and that such cost is subject to revisions (in accord with the procedure in the previous sentence) agreeable to the parties prior to bid and award.

The maximum amount payable shall be reduced without amendment when the actual amount of the Local Agency's awarded contract is less than the budgeted total of the federal participating funds and the Local Agency matching funds. The maximum amount payable shall be reduced through the execution of an Option Letter as described in Section 7. E. of this contract.

## **D. Single Audit Act Amendment**

All state and local government and non-profit organizations receiving \$750,000 or more from all funding sources defined as federal financial assistance for Single Audit Act Amendment purposes shall comply with the audit requirements of 2 CFR part 200, subpart F (Audit Requirements) see also, 49 C.F.R. 18.20 through 18.26. The Single Audit Act Amendment requirements applicable to the Local Agency receiving federal funds are as follows:

- i. Expenditure less than \$750,000**  
If the Local Agency expends less than \$750,000 in Federal funds (all federal sources, not just Highway funds) in its fiscal year then this requirement does not apply.
- ii. Expenditure of \$750,000 or more-Highway Funds Only**  
If the Local Agency expends \$750,000 or more, in Federal funds, but only received federal Highway funds (Catalog of Federal Domestic Assistance, CFDA 20.205) then a program specific audit shall be performed. This audit will examine the "financial" procedures and processes for this program area.
- iii. Expenditure of \$750,000 or more-Multiple Funding Sources**  
If the Local Agency expends \$750,000 or more in Federal funds, and the Federal funds are from multiple sources (FTA, HUD, NPS, etc.) then the Single Audit Act applies, which is an audit on the entire organization/entity.
- iv. Independent CPA**  
Single Audit shall only be conducted by an independent CPA, not by an auditor on staff. An audit is an allowable direct or indirect cost.