# APPENDIX L

## SNPLMA PROJECT MODIFICATION REQUEST FORM

Project Name and Category:

Project #: Priority #: Agency(ies)/Entity:

IAA/IGO or Agreement Number, if Applicable:

Prepared by: Phone: Date:

**Documentation to Accompany This Request Form:**

* **Transmittal Letter**: A cover letter on agency/entity letterhead briefly summarizing the request and signed by the unit manager (e.g., LMNRA Superintendent, Great Basin National Park Superintendent, Desert National Wildlife Refuge Project Leader, USFS Deputy Forest Supervisor, BLM District Manager, Director Clark County Comprehensive Planning, Director of Parks and Recreation, etc.). The letter should include:
  + The name, priority, and SNPLMA project number for the project,
  + The amount of time, funds (SAR or contingency), or nature of the scope change being requested, and
  + A brief summary of the reason for the request (detailed information is provided in this form).
* **Revised Cost Estimates**: Include with requests for Additional Funding and, if needed, for Scope Change requests:
  + Revised Schedule B Cost Estimate form, and
  + Revised Detailed Cost Estimate Worksheet for PTNA, Capital Improvement, Conservation Initiative, ENLRP, and Fuels projects.
* **Map**: Where beneficial to understanding the request (e.g., realignment of a trail, relationship between elements of a project associated with a scope change request, etc.), a map of the project area should be included.

**Work plan Modification**: A revised work plan is not required to be submitted with the request package. However, if a modification for a time extension or scope change is approved, the project work plan must be updated in the next available quarterly database after the approval date or sooner in coordination with the SNPLMA Program Manager:

* To reflect changes in target start and/or end dates for affected deliverables and project completion as a result of a time extension; and/or
* To delete, add, or modify deliverables and target start and end dates as necessary to accurately reflect changes to the project through an approved change of scope.

**INSTRUCTIONS FOR USE OF THIS FORM:**

* A request is not complete until the SNPLMA Program Manager has all the documentation and information required to initiate a decision memorandum. Requests for additional information may delay the approval of a decision and can impact the project’s expenditures causing delays and stoppage of work, which is not compensable by SNPLMA.
* All requests require completion of items 1 through 6 in the section below labeled “Information Required for All Modification Requests.” The requestor then completes the additional questions under each applicable modification request category in sections I through IV, ensuring that all needed modifications for the project at this time are addressed in a single form. The requesting agency/entity may submit only the applicable sections (e.g., if not requesting a scope change, Section II can be deleted from the form).
* Add rows to tables as necessary to provide all required information.

**PROPOSED MODIFICATION: Check all that apply (select checkbox, right click, click properties, click “checked”):**

Time Extension  Change of Scope  SAR Funds

Contingency Funds

**INFORMATION REQUIRED FOR ALL MODIFICATION REQUESTS**

1. Describe the purpose of the project as explained in the nomination. Beginning with Round 13, respond to this question by copying the purpose statement verbatim from the nomination.
2. Provide the original timeframe for project completion as stated in the nomination and the period of performance as stated in the approved financial documentation (IAA/IGO, BLM Task Order, Assistance Agreement, or Transfer Authorization Letter), including previously approved time extensions.

Time Frame for Project Completion as Stated in the Nomination or the Standard Time Frame for Completion (years/months):

|  |  |  |  |
| --- | --- | --- | --- |
| Financial Document | Original Start Date | Current End Date | Total Duration (in years and months) |
| Transfer Authorization Letter |  |  |  |
| IGO/IAA/BLM Task Order/ Assistance Agreement #1 |  |  |  |
| IGO/IAA/BLM Task Order/ Assistance Agreement #2 |  |  |  |

What is the total funding currently available, including any approved contingency, SAR, or BRA.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Amount Approved by Secretary | Approved SAR | Approved BRA | Approved Contingency | Total Project Funding |
| Total  Approved | $ | $ | $ | $ | $ |

1. Balance of Funds Available:

* For projects funded by an IAA/IGO, BLM Task Order, or Assistance Agreement, provide the amount remaining available by completing the table below. Column A should include only that portion of any contingency amount (typically 10 percent) authorized by the Secretary that has been approved for use.

**Table 1** (Projects funded by IAA/IGO, BLM Task Order, or Assistance Agreement)

|  |  |  |  |
| --- | --- | --- | --- |
| A | B | C | A-(B+C) |
| Total Project Funding on Financial Instrument | Amount Expended  (e.g., Payroll, Contract payments, Supplies, etc.) | Unliquidated Obligations  (Balance due on Contracts/Agreements) | Balance Available |
| $ | $ | $ | $ |

* Projects funded by 1151 Direct Transfer should complete the two tables below. The amount in Column A of Table 2 will be less than the total available for the project from question 3 above if the project was partially funded through an IAA/IGO. Projects funded partially by an IAA/IGO should also complete Table 1. Column A should include only that portion of any contingency amount (typically 10 percent) authorized by the Secretary that has been approved for use.

**Table 2** (For 1151 Direct Transfer Projects Only)

|  |  |  |
| --- | --- | --- |
| A | B | A-B |
| Total Project Funding  Available for Transfer | Amount Transferred | Balance Available to Transfer |
| $ | $ | $ |

**Table 3**  (For 1151 Direct Transfer Projects Only)

|  |  |  |  |
| --- | --- | --- | --- |
| A | B | C | A-(B+C) |
| Total Transferred | Amount Expended  (e.g., Payroll, Contract payments, Supplies, etc.) | Unliquidated Obligations  (Balance due on Contracts/Agreements) | Balance Available of Funds Transferred |
| $ | $ | $ | $ |

1. List the Project Deliverables Completed. Beginning with Round 13 projects also indicate whether each is a Primary, Anticipated, or Standard deliverable.

|  |  |  |
| --- | --- | --- |
| Deliverable | Actual Start Date | Actual End Date |
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1. List the Project Deliverables remaining and very briefly describe the progress toward completion of each and what remains to be done. Beginning with Round 13 projects, also indicate whether each is a Primary, Anticipated, or Standard deliverable.

|  |  |  |
| --- | --- | --- |
| Deliverable with Progress Description | Target or Actual Start Date | Target End Date |
|  |  |  |
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1. **TIME EXTENSION REQUEST:**

* Projects requiring additional time beyond the standard timeframe/period of performance or longer timeframe identified and approved in the nomination, must request a time extension justifying why additional time is needed and explaining how the project will be completed within the additional time requested. (Standard Timeframes: Land Acquisitions = 3 years; ENLRP = 4 years; PTNA, Capital Improvements, MSHCP, and Conservation Initiatives = 5 years; Fuels = 6 years.)
* Requests should be submitted no later than 120 days before the expiration of the project period of performance identified in the financial document (IAA, Assistance Agreement, BLM Task Order or Transfer Authorization Letter). Requestors should include 4 to 6 months in the time extension request to prepare and submit final financial documentation and closeout of the project with the SNPLMA Division.
* The SNPLMA Division may approve a one-time 90-day extension over and above any previous time extensions (including ones approved by the Executive Committee) to cover unexpected circumstances where the agency needs just a short time to complete the project (e.g., close out a contract, conduct final inspection, receipt of “Notice of Completion and Release of Claims,” etc.) and prepare and submit a closeout package. The time extension does not become effective until a modification to the applicable financial instrument is executed by the requesting agency/entity and the BLM.

1. Description of the issue or problem necessitating the request.
2. Describe any previously approved time extensions and the reasons on which those were based.
3. Describe the agency’s/entity’s attempts to (a) consider accelerating timelines or (b) downsizing or down-scoping the project, while still meeting the project purpose as defined in the approved project nomination, in order to try to complete the project within the original timeframe.[[1]](#footnote-1)
4. Indicate how much additional time is being requested and the new project end date.
5. Indicate whether the request meets the criteria to obtain a one-time extension up to 90-days as described in the third bullet above (*see also Part One of the IA, Section X.C*). Requests for a 90-day extension to closeout a project should be submitted at least 30 days prior to expiration of the project to allow time for processing and modification of the project’s financial instrument.
6. Identify all deliverables impacted by the time extension request. Based on the additional time being requested, enter revised target start and end dates for deliverables that have not yet been started and new target end dates for deliverables where work already started. Additionally, enter any impact to estimated costs.[[2]](#footnote-2) Also indicate whether each impacted deliverable is a Primary, Anticipated, or Standard deliverable. (Add additional lines to the table as needed.)

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable | Original or Revised Target  Start Date | Revised Target  End Date | Cost or Other Impacts |
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1. Describe the rationale or justification for the requested time extension. The rationale/justification should describe how the project will stay on schedule to be completed and closed out by the new end date being requested.
2. **CHANGE IN SCOPE REQUEST:**

* A request for Change in Scope must adhere to the “Purpose Statute” of the Principles of Federal Appropriations Law and all business rules in the IA Part One for conformance with the Purpose Statute.

1. Describe the issue or problem necessitating the request.
2. Describe the change in scope being requested.
3. Identity all deliverables, tasks, and subtasks impacted by the requested change in scope as well as any new deliverables, tasks, or subtasks that will result from the scope change if approved. Indicate whether each impacted or new deliverable is a Primary, Anticipated, or Standard deliverable.
4. Enter revised target start and end dates for impacted deliverables that have not yet been started and for any new deliverables; enter new target end dates for impacted deliverables where work already started.
5. For Environmentally Sensitive Land Acquisitions, also indicate whether any of the resources on which approval of the project was based will be reduced and to what extent, as well as any other impacts, positive or negative, on the resources resulting from the requested change in scope.

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable/ Task/ Subtask  (For Lands Also Address Resources) | Original/ or Revised Target  Start Date | Revised Target  End Date | Cost or Other Impact |
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1. Explain how the requested change in scope is necessary for completion of the purpose of the project as described in the nomination and approved by the Secretary, and/or, in the case of land acquisitions explain how the resources approved for acquisition will be protected if the change in scope is approved. The explanation must specifically address the purpose statement in the nomination.
2. How will progress toward completion of the project be measured if the scope change is approved?
3. What are the risks (positive or negative) of denying the request?
4. Briefly describe any previously approved scope changes and the reasons on which the approvals were based.

1. **SPECIAL ACCOUNT RESERVE (SAR) FUNDING REQUEST:**

Requests for additional funds must be requested and approved before incurring new obligations or expenditures over and above the original funding level.

* The EC has established a target maximum SAR request of 10 percent of the current total funds available for the project.[[3]](#footnote-3)
* To be eligible for immediate processing, a SAR request must meet a two-part test to be designated as a high priority. (*See below for two-part test.*)
* Routine requests for additional funds (not qualified as a “high priority”) are reviewed on a quarterly basis or as directed by the Executive Committee.
* Requests that do not meet the first part of the two-part test will not be accepted.

1. Two-Part Test to Determine Eligibility for Priority Status:
   1. Explain what steps have been taken to attempt to down-scope the project to complete it within the approved budget or other actions taken to complete the project within budget.
   2. Explain whether the funding need is urgent in order to either (1) prevent work stoppage or layoffs, (2) award a contract, and/or (3) address a critical situation that needs immediate remediation to complete the project. Explanations must be thorough and specific.
2. Explain what part of the project or project deliverable has had a cost increase and why. Indicate whether the impacted deliverable is a Primary, Anticipated, or Standard deliverable.
3. Briefly describe any previously approved SAR or BRA approved funding and the reasons on which the approval was based.
4. Describe the amount being requested and on what it will be expended. List which deliverables, tasks, and/or subtasks are impacted by the additional funding request. Indicate whether each impacted deliverable is a Primary, Anticipated, or Standard deliverable. (Expand the table as needed.)

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| --- | --- | --- |
| Deliverable/ Task/ Subtask | Additional Funding Needed | Justification/ Rationale |
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1. Explain how the requested additional funding is necessary for the completion of the purpose of the project as described in the nomination and approved by the Secretary. The explanation must specifically address the purpose statement in the nomination.
2. Total of funds provided to date for multiple phases of the same project, including completion percentage and amount of funding spent for each phase. (Attach a map locating previous phases of the project where appropriate or if requested.)

|  |  |  |  |
| --- | --- | --- | --- |
| Name & Project # of Previous Phase | Total Funding Provided | Amount Expended  And/or Obligated | Completion Percent |
|  |  |  |  |
|  |  |  |  |

1. What are the risks of denying the request? For example, describe any effect on the timeline for project completion if the request is denied or delayed.
2. If the request is for funds to pay for a new deliverable, describe the deliverable and identify whether it is a primary, anticipated, or standard deliverable; how much of the requested amount is attributable to the cost of the new deliverable; and complete the scope change request section of this form.

1. **CONTINGENCY FUNDING REQUEST: [[4]](#footnote-4)**

* Contingency funding must have been approved for the project category during the round in which the project was approved in order for the agency/entity to request use of contingency funds.
* Requests must be for a specific amount up to but not exceeding ten percent (10 %) of the original project funding approved by the Secretary.
* Contingency funds can be made available only to cover unanticipated project cost increases occurring after the project is approved by the Secretary.
* The amount requested must be justified based on specific cost increases.
* Approval of the contingency does not require a decision memorandum; however a completed request is required for the SNPLMA Program Manager to approve or deny the request and notify the agency/entity in a timely manner. (*See the IA Part One, Section VII.E.2 for the business rules regarding the Contingency Funds process.*)

1. Explain what part of the project or project deliverable has had a cost increase and why. Indicate whether the impacted deliverable is a Primary, Anticipated, or Standard deliverable.
2. Describe any portion of available contingency funding that was previously approved for the project and the reasons on which that approval was based.
3. Provide the total amount being requested and what percent the request is of the amount approved by Secretary.
4. Specify what costs the contingency funds will cover by listing those deliverables, tasks, and/or subtasks that require additional funds and how much of the requested contingency funds are expected to be used for each. Beginning with Round 13 projects indicate whether the impacted deliverable is a Primary, Anticipated, or Standard deliverable

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable/ Task/ Subtask | Original Cost Estimate | Revised Cost Estimate | Amount of Contingency Funds Needed |
|  |  |  |  |
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1. Explain why the project is at a stage where contingency funds are needed now.
2. Explain how the requested contingency funds are necessary for the completion of the purpose of the project as described in the nomination and approved by the Secretary. Beginning with Round 13 projects, the explanation will specifically address the purpose statement in the nomination.

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**By Signature Below the Agency/Entity Authorized Management Official Approves the Above Modification Request as Accurate and Appropriate and Acknowledges as Follows**:

Regarding Requests for Time Extensions:

1. No additional funds may be obligated or expended beyond the current end date until a time extension is approved and an amended or new financial instrument is executed or modified transfer authorization letter is received by the recipient.

Regarding Changes in Scope:

1. No funds may be obligated or expended on a proposed change in scope until the request is approved and a modification to the financial instrument is executed or a modified transfer authorization letter is received by the recipient; and
2. Any funds, regardless of source, which may have been obligated or expended toward carrying out a scope change prior to approval and receipt of the appropriate modification to the financial instrument (i.e., IAA, BLM task order, Assistance Agreement, transfer authorization letter) will not be reimbursed by SNPLMA funds.

Regarding Request for Additional Funds:

1. No new obligations or expenditures may be incurred in anticipation of approval of a request for SAR or contingency funds and in anticipation of reimbursement or other compensation for those costs by SNPLMA funds; and
2. Any funds, regardless of source, which may be obligated or expended in excess of total funds available for the project prior to approval of a request for SAR or contingency funds and receipt of the appropriate fully executed financial instrument or receipt of a modified transfer authorization letter and funds from Treasury will not be reimbursed or otherwise compensable by SNPLMA funds.

Signature: Date:

Authorized Management Official

Name:

Print Name of Authorized Management Official

1. Addition of the requirement was approved by the EC in a decision memo signed on 1/15/2014. [↑](#footnote-ref-1)
2. Addressing revised start and end dates and cost impact on deliverables was approved by the EC in a decision memo signed on 1/15/2014. [↑](#footnote-ref-2)
3. The EC approved a target maximum for SAR requests in a decision memorandum signed on 8/1/2011. [↑](#footnote-ref-3)
4. The process for use of contingency funds was approved by the EC in a decision memorandum for IA changes signed 9/8/2009 and was initiated for projects in Round 10 and forward. See Part One, Section VII.E. [↑](#footnote-ref-4)