

REQUEST AND INSTRUCTIONS FOR PROJECT SCOPE CHANGE

These instructions apply to non-SHOPP projects in the Trade Corridor Enhancement Program (TCEP), Solutions for Congested Corridor Program (SCCP), and Local Partnership Program (LPP) competitive program (both on and off system). Please see the Project Amendment section in the applicable Program Guidelines prior to completing this form.

These instructions outline the required documentation, process and instructions to analyze and make recommendations of proposed scope changes.

REQUIRED DOCUMENTATION:

Project Scope Change Requests should be prepared by the Implementing Agency in coordination with the nominating agency. When an agency desires to change the scope that was approved as part of the competitive selection process, it is the agency's responsibility to document the need for the change, the unforeseen nature of the change, and impact of the change to the overall project as identified in the application.

The following instructions include the required information you must prove when requesting a proposed scope change:

- 1. An explanation of the proposed scope change;**
 - All project elements proposed to change from the original approved application must be defined.
 - The request must include revised plans, cost estimates, and/or a new Project Study Report (PSR) Equivalent, PSR and/or Project Report.

- 2. The reason for the proposed scope change and justification of how the change is due to an unforeseen circumstance;**

- 3. The impact the proposed scope change would have on the overall cost of the project;**
 - The overall cost includes all project delivery phases, including: PA&ED, PS&E, R/W, and CON.
 - The information provided must include documentation on:
 - The original overall project costs in the approved application
 - The current overall project costs based on the originally approved project scope
 - The proposed overall project costs based on the proposed scope change
 - The plan for any cost overruns, if applicable.

4. The impact the proposed scope change would have on the project schedule;

- Provide an update on the Project Delivery Status for all project phases.
- Provide short explanations for any allocation milestones that have changed from the allocation milestones approved at the time of programming.

5. An estimate of the impact the proposed scope change would have on the potential outputs and outcomes;

- Agencies must review the project performance metrics table or benefit form that is part of the approved project baseline and evaluate whether the proposed scope change impacts the project benefits as estimated in the approved project performance metrics table or benefit form. If the proposed scope change impacts the project benefits, the form must be updated to show what the new project benefits will be if the change is approved.
 - Changes to the project outcomes must provide equivalent or increased benefit to the original scope of work
- The agency's analysis must compare the proposed scope to the currently approved project scope.

Project Benefits (outputs)

Project Benefits (Output)	Approved Scope (consistent with application and/or approved baseline agreement)	Proposed Change
<i>Class II bike lanes</i>	<i>Class II bike lanes- .5 miles</i>	<i>Buffered bike lanes- .5 miles</i>

Project Benefits (outcomes)

Benefits from Approved Baseline					
Throughput				Projected	
	Indicator/Measure/Outcome	Unit	Current	Outcome	Year
	Number of 5+ axel trucks	Each	200,000	275,000	2040
Benefits if Scope Change is Approved					
Throughput				Projected	
	Indicator/Measure/Outcome	Unit	Current	Outcome	Year
	Number of 5+ axel trucks	Each	200,000	300,000	2040

- All project elements proposed to change must be included.
- When a project element includes multiple locations/corridors (as defined in the approved application), the net effect for each separate location/corridor needs to be discussed.

6. An explanation of the methodology used to develop the estimates.

- The agency is responsible to ensure the methodologies used to estimate the impacts directly support the methodologies included in the original application.

7. As applicable, agencies must work directly with their MPO/RTPA/Nominating Agency to document both the MPO/RTPA/Nominating Agency’s approval and the rationale for their approval. The MPO/RTPA/Nominating Agency’s written approval must be attached to the submittal.

8. Does this scope change require revalidation of your environmental document? If yes, what is the actual/estimated date of revalidation?

- If the answer to this question is “No”, then the agency needs to provide their reasoning for this conclusion.

9. Explain the additional public outreach efforts you have made with respect to this proposed scope change and provide a summary of the public response to these efforts:

- Given that “public outreach” and “public participation” are integral to the success of applications, agencies are expected to reach out to the project stakeholders during the consideration of project scope changes and in the development of their recommended new project scope.
 - A summary of feedback (whether supportive or opposed) gathered through the additional public outreach efforts should be provided to ensure the scope change is still in the public’s best interest. Evidence of feedback should be provided.

10. Required revisions to the Project’s Description and/or Limits:

- For Federally Funded Projects, also address the “Proposed changes to the FTIP/FSTIP Description” and “Proposed changes to the FTIP/FSTIP Limits”.

11. Local Agency Certification:

- Provide information on the responsible-party to contact with questions regarding this project and obtain signature of approving official.

12. Required Attachments (check boxes of attached documents)

- Original plans/workplan with changes highlighted
 - The preference is to have hard copies of the application plans marked and/or highlighted.
- Revised plans/workplan
 - The revised plans can be a simple modification of the originals, or new more detailed plans can be provided.
- Original Detailed Engineer’s Est. with changes highlighted
- Revised Detailed Engineer’s Est.

- Revised Project Programming Request (PPR)
- Revised project benefits form
- Written MPO/RTPA/Nominating Agency Concurrence
- Additional Revised Application Documentation
 - If the agency's scope change request requires changes to the original application text and/or other documents, this box should be checked and the appropriate attachments should be included in the agency's submittal. If these attachments are not directly referenced earlier in the submittal, they should be referenced at this point in the submittal.

PROCESS:

Project Scope Change Requests are to be prepared by the Implementing Agency, with concurrence from the nominating agency, and submitted through the following process. This process also outlines how requests will be evaluated by Caltrans and CTC staff.

A. When the implementing agency (local, regional, Caltrans, etc.) first realizes that they may need/want to amend the approved scope for the project, they need to begin assessing and documenting the decisions necessary to support the change.

- Please keep in mind that because projects are selected for funding through a competitive process, both CTC and Caltrans expect agencies to maintain the project's originally approved scope and reason for the project to the maximum extent possible.
- Agencies are expected to consider adding project delivery resources and/or local funding as necessary to maintain the original scope.

IMPORTANT NOTE: Caltrans' analysis of the agency's scope change request will include the following considerations relating to their recommendation.

B. Once the agency confirms they want to pursue a scope change, they are expected to work with the Caltrans Project Manager and the Caltrans Headquarters Program Manager.

- Prior to submitting a Request for Project Scope Change, the implementing agency is expected to hold a coordination meeting/call with Caltrans District and HQ managers.
- To the extent necessary, the Project's nominating agency should also be invited.
- The goal of this meeting is to share information and reach an agreement on the preferred approach to streamline the scope change request process with the eventual CTC approval.
- A project site visit may be conducted by Caltrans staff if necessary.

C. After the implementing agency confirms they want to pursue a scope change approval, refines their proposal to maximize benefits, and receives initial input from Caltrans staff; then the Project Scope Change Request is ready to proceed.

- The request must be submitted to the appropriate Project Manager for evaluation, coordination, and submittal to Headquarters.
- During the review, Caltrans staff may reach out to the agency to request additional information. The agency must be cooperative and timely in their responses.

D. Caltrans will evaluate the agency's project scope change request and submit it to CTC staff along with Caltrans' analysis and recommendations

- Caltrans will confirm the agency prepared and submitted their request as required.

- Caltrans will work closely with the agency, as needed, to improve the chances of CTC-approval.
- Caltrans' final written analysis and recommendations to the Commission will include:
 - The agency's formal submittal to Caltrans, including all supporting documentation,
 - Caltrans written analysis of the agency's propose scope change,
 - Caltrans consideration as to whether the proposed scope change is "minor" or "major", and
 - Caltrans' final recommendation for approval or denial.

E. CTC Staff will evaluate the overall scope change request submittal from Caltrans

- Once CTC staff receives the submittal from Caltrans, staff will evaluate all information submitted with the request and will develop their recommendations.
- During review, CTC staff may request additional information before a recommendation is made.
 - i. For requests deemed by CTC staff to be "minor changes" and approval is recommended:
 - CTC staff will notify Caltrans of their determination and that the agency's request will be placed on a CTC Meeting Agenda as part of an allocation, or if necessary, as a separate item recommending either approval or disapproval by the Commission.
 - The Commission will make the final decision of approval or disapproval based on CTC Staff's recommendations and the final decision will be documented in the meeting minutes.
 - ii. For requests approved by the Commission, the agency will be expected to implement the project per the newly approved project scope. The implementing agency is expected to notify their nominating agency and/or RTPA as appropriate. For requests deemed to be major scope changes where CTC staff will present a recommendation of either approval or disapproval to the Commission:
 - CTC staff will notify Caltrans of their determination and that the agency's request will be placed on a CTC Meeting Agenda for either approval or disapproval by the commission.
 - The agency will be expected to attend this meeting and be prepared to address the Commission.
 - The Commission will make the final decision of approval or disapproval based on CTC Staff's recommendations and the final decision will be documented in the meeting minutes.
- For requests approved by the Commission, the agency will be expected to implement the project per the newly approved project scope. The implementing agency is expected to notify their nominating agency and/or

RTPA as appropriate. All decisions made by the Commission are considered final.

SB1 COMPETITIVE PROGRAM SCOPE CHANGE INSTRUCTIONS

The following Request for Project Scope Change is used to formally request a scope change. This applies to non-SHOPP projects in the Trade Corridor Enhancement Program (TCEP), Solutions for Congested Corridor Program (SCCP), and Local Partnership Program (LPP) competitive program. Please see the Project Amendment section in the applicable Program Guidelines prior to completing this form.

[THE FOLLOWING MUST BE PLACED ON THE REQUESTING AGENCY'S LETTERHEAD]

REQUEST FOR PROJECT SCOPE CHANGE

Date:

To:

<<SB-1 Program Coordinator name>>

SB 1 Program Coordinator

Caltrans

<<District (or Headquarters) Address>>

Project Name (Per CTC programming):

Approved Project Description (As submitted in Application):

Approved Project Limits (As submitted in Application):

Current FTIP/FSTIP Description (Omit if not Applicable):

Current FTIP/FSTIP Limits (Omit if not Applicable):

Provide the approved scope, and explain the proposed change (to scope, cost, or schedule): <<How is the proposed project different than the original application, previously approved project, or project approved in the baseline agreement and why is the change necessary>>

Cost:

Phase	Programmed		Proposed		Cost Expended to Date			Change		
	Value	FY	Value	FY	Expended	% Expended	% Completed	Value	%	FY
PA&ED										
PS&E										

R/W										
Con										
Con Cap										
R/W Cap										
Total										

Schedule:

	Current Milestone Date	Proposed Milestone Date	Change (Months)	Current Allocation Date	Proposed Allocation Date	Change (Months)
PAED						
PS&E						
R/W						
CON						
CON-IN						

ADDITIONAL REQUIRED ELEMENTS:

1. The reason for the proposed scope change;
2. The impact the proposed scope change would have on the overall cost of the project;
3. An estimate of the impact the proposed scope change would have on the potential of the project to increase the safety of pedestrians and bicyclists as compared to the benefits identified in the project application (increase or decrease in benefit);

Location/Element	Approved Scope	Proposed Change	Change in Benefit

4. An explanation of the methodology used to develop estimates;
5. For projects programmed in the Metropolitan Planning Organization (MPO) component, evidence of MPO approval and the MPO rationale for their approval.
6. Does this scope change require revalidation of your environmental document? (Yes/No) If yes, what is the actual/estimated date of revalidation?

7. Explain the additional public outreach efforts you have made with respect to this proposed scope change and provide a summary of the public response to these efforts:

REQUIRED Attachments: (check boxes of attached required documents)

- Original plans/workplan with changes highlighted
- Revised plans/workplan
- Original Detailed Engineer's Est. with changes highlighted
- Revised Detailed Engineer's Est.
- Revised PPR
- Revised project benefits form
- Written MPO Concurrence (see Item #7)
- Additional Revised Application Documentation

Required revisions to the Project's Description and/or Limits:

The proposed Project Amendments documented above will require the following changes to the Project's Description and/or Limits: <<Insert "N/A" if no changes are required to the Project Description and/or Limits>>

Proposed changes to the Project Description: _____

Proposed changes to the Project Limits: _____

For Federally Funded Projects: <<Insert "N/A" if no changes are required to the FTIP/FSTIP Description and/or Limits>>

Proposed changes to the FTIP/FSTIP Description: _____

Proposed changes to the FTIP/FSTIP Limits: _____

Project Delivery Status:

The following is a side-by-side comparison of the original project schedule and the current project schedule. The explanations for each milestone date change is listed below:

Original CTC Allocation Dates: (as programmed at application approved):

PA&ED: _____ PS&E: _____ R/W: _____ CON: _____ CON-NI: _____

Actual/Currently Anticipated CTC Allocation Dates: (at the time of this request)

PA&ED: _____ PS&E: _____ R/W: _____ CON: _____ CON-NI: _____

Explanation for milestone changes: << Only list/explain the Allocation milestones that have changed >>

Local Agency Certification:

I certify that the information provided in the document is accurate and correct. I understand that if the required information has not been provided this form will be returned and the request may be delayed. You may direct any questions to

_____ at _____

(name)

(phone number)

Signature: _____ Title: _____

Date: _____

Agency/Commission: _____