

## INSTRUCTIONS FOR COMPLETING EXHIBIT 25-D, REQUEST FOR PROJECT SCOPE CHANGE

The Request for Project Scope Change (Local ATP Projects) form, Exhibit 25-D, and these instructions are intended to support the California Transportation Commission (CTC) “Policy on Project Amendments and Advance Project Allocations”, adopted on August 18, 2016.

These instructions outline both the “Required documentation” for Caltrans and Commission staff to analyze and make their final recommendations based on the need and benefits of the proposed scope change, and the “Recommended process” that Implementing Agencies should follow/expect as they submit their scope change requests.

### **Required Documentation:**

ATP Project Scope Change Requests are to be prepared by the Implementing Agency responsible for delivering the project as defined in the original application submitted. When the agency is not able to deliver or desires to change the scope that was approved as part of the competitive selection process, it becomes the agency’s responsibility to fully document both the need for the proposed scope change and the impact the change will have on the active transportation users.

Depending on the complexity and/or benefit-reduction of the propose project scope change, significant amounts of project details and supporting documentation are needed for the CTC’s Project Scope Change Approval Process. Agencies are encouraged to provide these details in a clear and concise manner and only provide documentation that directly addresses the CTC’s required questions in their policy. The time and resources required to process the scope change request will correspond to the adequacy of agency’s methodologies and justifications for arriving at their proposed scope changes.

The following instructions correspond to the required elements identified in CTC “Policy on Project Amendments and Advance Project Allocations”:

#### **1. An explanation of the proposed scope change;**

- All project elements that are proposed to change from the original approved application must be defined. List each of the original project elements that are proposed to change and the extent of the changes.
- Given that the original application serves as the agency’s PSR Equivalent for the project; if the scope change request is approved, it will be formally amending this PSR Equivalent. Therefore, the request must include revised plans, cost estimate, and/or application text, as needed to fully document the scope change and to create a new fully consistent PSR Equivalent.
  - The revised plans, cost estimate, and/or application text must be attached to the agency’s submittal and should be reference here, as appropriate.
- This explanation of the overall proposed scope change should include the agency’s determination of whether the scope change is “minor” or “more significant” in nature – as defined by the CTC’s adopted policy.

#### **2. The reason for the proposed scope change;**

- All aspects of the reasons for the scope change must be well documented. The following are examples of the expected documentation:
  - For example (# 1): If the reason is project cost increases, then the reasons for the cost increases must be well defined, including referencing the newly identified physical and/or cost impacts to the project on the

revised plans, cost estimate, and/or application text. There needs to be an explanation on how much additional funding the agency (and MPO/RTPA) can commit to the project to help keep it whole. In addition, there also needs to be an assessment to determine if there are any ineligible items and/or decorative items in the project that can be removed or reduced to create additional funding for the project elements that most directly contribute to furthering the purpose and goals of the ATP.

- Example #2: If the reason is environmental, then the environmental issues need to be defined and there needs to be an explanation on why the issues cannot be mitigated while keeping the ATP elements of the project whole. This explanation needs to reference the revised plans, cost estimate, and/or application text, as appropriate.

**3. The impact the proposed scope change would have on the overall cost of the project;**

- The overall cost includes:
  - ATP and Non-ATP funded elements of the overall project
  - All project delivery phases, including: PA&ED, PS&E, R/W, CON, and/or CON-NI
- The information provided must include documentation on:
  - The original overall project costs in the approval 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 revised documentation must be attached to the agency’s submittal and should be reference here, as appropriate.

**4. An estimate of the impact the proposed scope change would have on the potential of the project to increase walking and bicycling as compared to the benefits identified in the project application (increase or decrease in benefit);**

- Per the CTC’s policy, the documentation for this question and the following question needs to separate the analysis of the impact on **“increase walking and bicycling”** and **“increase the safety”**.
- The agency’s analysis must compare the proposed scope to the currently approved project scope.
- Do not compare the proposed scope to the existing (pre-project) condition.
- The agency’s analysis must be documented in a table, as shown in the example below. The agency can also provide supplemental text, as needed to fully address this requirement.

Location/Element	Approved Scope	Proposed Change	Change in Walking/Bicycling Benefit
<i>On 1st Street from A Street to H Street</i>	<i>Class II bike lanes- .5 miles</i>	<i>Buffered bike lanes- .5 miles</i>	<i>Increase</i>

- All project elements that are proposed to change must be included in the agency’s estimate of the impacts of the proposed scope changes and included in this table.
- 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 as well as the overall effect of the proposed change.
- The request should also include new project elements to mitigate, to the maximum extent possible, any decrease in expected project benefits. These new elements must be shown in this table.
- The revised plans, cost estimate, and/or application text must be consistent with information show in the table and they should be reference here, as appropriate.

**5. 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);**

- The documentation for this question should be similar to the prior question.
- The agency’s analysis must be documented in a table, as shown in the example below.

Location/Element	Approved Scope	Proposed Change	Change in Safety Benefit
<i>On 1st Street from A Street to H Street</i>	<i>Class II bike lanes- .5 miles</i>	<i>Buffered bike lanes- .5 miles</i>	<i>Increase</i>

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

- The agency is responsible to ensure the methodologies used to estimate the impacts directly support the methodologies included in the original application.
- The request should summarize how the original application portrayed the walking and biking needs and benefits of the scope that is now being proposed to change.
- The revised plans, cost estimate, and/or application text should be reference here, as appropriate.

**7. For projects programmed in the Metropolitan Planning Organization (MPO) component, evidence of MPO approval and the MPO rationale for their approval.**

- For projects programmed in the MPO component of the ATP, agencies must work directly with their MPO to document both the MPO’s approval and the rationale for their approval. The MPO’s written approval must be attached to the submittal.
- For projects programmed in the Statewide or Small Urban and Rural components, agencies can simply include: “N/A – Project funded in the << *Statewide OR Small Urban and Rural* >> component”

**ADDITIONAL QUESTIONS**

**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 ATP applications, agencies are expected to reach out to the project stakeholder during the consideration of project scope changes and in the development of their recommended new project scope.
- The level of public outreach should correspond directly to the magnitude of the proposed changes.

**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 in a way that clearly delineates all scopes changes to the originally approved scope.
- Revised plans/workplan
  - The revised plans can be a simple modification of the originals, or new more detailed plans can be provided that their project delivery work completed since the application was approved.
- Original Detailed Engineer’s Est. with changes highlighted

- The preference is to have hard copies of the application estimate marked and/or highlighted in a way that clearly delineates all cost changes to the originally approved scope.
- Revised Detailed Engineer's Est.
  - The revised cost estimate is expected to be provided in an approved ATP project cost estimate format.
- Written MPO Concurrence (see Item #7)
- 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.

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

- As needed, provide your proposed Project Description/Limits to account for your proposed project scope change defined above. If the current Project Description/Limits can remain unchanged, insert "N/A".
- For Federally Funded Projects, also address the "Proposed changes to the FTIP/FSTIP Description" and "Proposed changes to the FTIP/FSTIP Limits".

**Project Delivery Status:**

- All requests for project scope changes must provide an update on the Project Delivery Status for all project phases that have been programmed with ATP funds. Insert "N/A" for all allocation milestones that have not been programmed with ATP funds.
- In addition to providing milestone dates, agencies need to provide short explanations for any allocation milestones that have changed from the allocation milestones approved at the time of programming.

**Local Agency Certification:**

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

**Recommended process:**

ATP Project Scope Change Requests are to be prepared by the Implementing Agency and submitted for approval through the following process. This process also outlines the expected process for how requests will be evaluated by Caltrans and CTC staff.

**A. When the implementing agency 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 for completing the CTC project scope change process.**

- Agencies need to keep in mind that because the ATP selects projects for funding through a competitive process, CTC and Caltrans expect agencies to maintain the project's originally approved scope 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.
- Whenever a potential project scope change would likely result in a net reduction in the number of walking and biking users or a reduction in their safety, agencies are expected to consider and pursue adding alternative scope elements that would minimize this net reduction or result in an overall net increase.

**IMPORTANT NOTE:** Caltrans' analysis of the agency's scope change request will include the following considerations relating to their recommendation to "approve" vs. "not approve" the request:

Caltrans staff will recommend approving scope change requests that are expected to increase or have no impact on the project benefits. Caltrans will also recommend approving requests that may have a reduction in benefits as long as all of the following criteria are met:

- a. Due to cost increases and/or existing project constraints, the full original project scope is not feasible for the agency to construct.
- b. The proposed scope change is considered to reasonably maximize the original/net project benefits (“increase walking and bicycling” and “increase the safety”) within the currently identified project constraints.
- c. The proposed scope, as compared to the approved scope, would be expected to receive a similar or higher evaluation score as the original application.

**B. Once the agency confirms they want to pursue a scope change, they are expected to work with their Caltrans District Local Assistance Engineer (DLAE) and the Caltrans Headquarters ATP Program Manager.**

- Prior to filling out the Request for Project Scope Change (Local ATP Projects) form, Exhibit 25-D, the implementing agency is expected to hold a coordination meeting/call with Caltrans District and HQ ATP managers.
  - If the project was MPO-selected, the MPO’s representative should also be invited.
  - The goal of this meeting/call will be information sharing and reaching agreement on the preferred approach to streamline the scope change request process with the eventual CTC approval.
  - Caltrans staff will help the agency refine their scope change concepts and supporting documents to help maximize the project’s overall active transportation benefits and streamline the process.

**C. After the implementing agency confirms they want to pursue a scope change approval, refines their proposal to maximize benefits for walking and biking, and receives some initial input from Caltrans staff; then they are ready to prepare their ATP Project Scope Change Request**

- The request must be submitted to the DLAE for evaluation, coordination, and submittal to Headquarters.
- The timing of this process and all subsequent processes will depend highly on the agency’s prior efforts in steps A and B above, the magnitude of the scope change, and the net increase or decrease in benefits.

**D. Caltrans will evaluate the agency’s formal 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 set forth in these instructions and the CTC’s adopted policy.
- Caltrans will work closely with the agency, as needed, to improve the chances for an eventual 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 “more significant”, and
  - Caltrans recommendation to “approve” or “not approve” the proposed scope change.

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

- Once CTC staff receive the submittal from Caltrans, per the adopted policy, *“Staff will present recommended scope changes deemed by staff to be minor changes, such as those with little or no impact to project benefits or which increase the benefits of the project, to the Commission as a part of the project allocation request. Staff will present recommendations to disapprove minor scope changes and recommendations to approve or disapprove more significant scope changes to the Commission as project amendments.”*

- i. For requests deemed by CTC staff to be “minor changes” and that they support approval:
  - CTC staff will notify Caltrans of their determination and that the request has been approved. Caltrans will notify the agency and the agency is expected to notify their MPO and/or RTPA as appropriate.
  - The agency will be expected to implement the project per the newly approved project scope.
  - As part of the agency’s next allocation request for this project, the agency will work with Caltrans and CTC staff to formally document the approval of the scope change request as part of the allocation approval by the Commission.
- ii. For minor requests which CTC staff are going to recommend the Commission disapprove or for more significant scope changes which CTC staff are going to recommend 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 the next CTC Meeting Agenda for either approval or disapproval by the commission.
    - The “next CTC Meeting” will be determined by the timing of the steps and documentation required to prepare the book-item and establish an agenda item.
    - The agency will be expected to attend this meeting and be prepared to address the commission.
  - The Commission will make the final approval or disapproval based on Staff’s recommendations and their 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 agency is expected to notify their MPO and/or RTPA as appropriate.
    - For requests denied by the Commission, the agency will be expected to notify Caltrans and CTC staff in writing as how they plan to: fully implement the original approved project scope; propose a new strategy for a revised scope/implementation plan; or withdraw their project from the program.