CHAPTER 12 – Project Approvals and Changes to Approved Projects

Table of Contents

CHAPTER 12 – Project Approvals and Changes to Approved Projects ....... 12-3

SECTION 1 General........................................................................................ 12-3
Various Reports Can Approve a Project..................................................... 12-3
Project Approval......................................................................................... 12-3
Approvals by Other Entities ....................................................................... 12-3
Changes to Approved Projects................................................................. 12-4
Preferred Alternative .................................................................................. 12-4

SECTION 2 Selecting a Preferred Alternative................................................ 12-5
Selection Timing ......................................................................................... 12-5
Selection Decision and Approval ............................................................... 12-5
Justified Unavoidable Impacts .................................................................... 12-6
Reasonable Alternatives ............................................................................. 12-6
Gain Consensus .......................................................................................... 12-6
Avoidance Alternative ................................................................................ 12-6
Environmentally Preferred Alternative..................................................... 12-6
Overriding Considerations......................................................................... 12-6
Balancing Resource Impacts...................................................................... 12-7
California Transportation Commission Involvement ................................. 12-7

SECTION 3 Project Report Approves Projects............................................... 12-8
ARTICLE 1 General................................................................................... 12-8
Purpose of the Project Report ..................................................................... 12-8
Draft Project Report..................................................................................... 12-8
Environmental Document .......................................................................... 12-8
Project Report Content ............................................................................... 12-8
Categorically Exempt/Excluded Projects ................................................... 12-9
Format and Guidelines ................................................................................ 12-9
Requests for Headquarters Division of Design Review ............................. 12-9
Project Report Approval ............................................................................. 12-9
Processing ................................................................................................... 12-9
ARTICLE 2 Documenting the Preferred Alternative.................................... 12-10
Project Report and Final Environmental Document Roles........................ 12-10
Project Report Documentation .................................................................. 12-10
ARTICLE 3 Caltrans’ Project Approval Process.......................................... 12-11
Approvals by Other Entities ........................................................................ 12-11
Part 2 – The Project Development Process

Preliminary Sign-off ........................................................................................................ 12-11
Approval ......................................................................................................................... 12-12

SECTION 4 Other Caltrans Reports that Approve Projects ........................................ 12-13
General .......................................................................................................................... 12-13
Project Scope Summary Report for Rehabilitation Projects ........................................ 12-13
Project Report for Planting and Irrigation Projects ...................................................... 12-13
Project Report for Safety Roadside Rest Area Projects ............................................. 12-13
Project Study Report-Project Report for Certain Special Funded Projects .................. 12-14
Permit Engineering Evaluation Report for Encroachment Permit Projects .................. 12-14
Projects Sponsored by Others ...................................................................................... 12-14
Project Report for Minor A Projects ............................................................................ 12-15
Expenditure Authorization Project Report for Minor B Projects ................................ 12-16
Director’s Order for Urgent Projects .......................................................................... 12-16
Projects Off the State Highway .................................................................................... 12-16
Project Report for Capital Preventive Maintenance Projects .................................... 12-16
Expenditure Authorization Project Report for Maintenance Projects ....................... 12-17

SECTION 5 Federal Highway Administration and California Transportation Commission Approval of Projects ............................................................ 12-18
Federal Participation ...................................................................................................... 12-18
Federal Highway Administration Approvals ................................................................. 12-18
Federal Highway Administration Location and Design Approval .............................. 12-19
California Transportation Commission Approvals ...................................................... 12-19

SECTION 6 Changes to Approved Projects .................................................................. 12-21
Major/Minor Change Determination ............................................................................. 12-21
Minor Changes ................................................................................................................ 12-21
Major Changes ............................................................................................................... 12-21
CHAPTER 12 – Project Approvals and Changes to Approved Projects

SECTION 1 General

Reference Information

Some of the references found in this chapter have hyperlinks that connect to Caltrans intranet pages which are not displayable to the general public. Until such time that the specific reference becomes available on the internet, the user will have to contact their district liaison, Caltrans project manager, or the appropriate Headquarters division to inquire about the availability of the reference.

Various Reports Can Approve a Project

The project report (PR) documents Caltrans’ approval for most types of State highway projects. This includes new facilities, as well as improvements, modifications, or repairs to existing facilities—whether done by Caltrans or by others under an encroachment permit.

Some transportation projects use other reports for project approval. Some of these reports may serve a dual purpose as a project initiation document and a project approval document. These other project approval documents are described in Section 4.

Project Approval

Project approval means approval by Caltrans, and where required, approval by the Federal Highway Administration (FHWA) and the California Transportation Commission (CTC).

Approvals by Other Entities

Transportation projects often require other types of approvals from outside entities before they may proceed to design and construction. Other project-related approvals, agreements, and permits are discussed in Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications, and Approvals.
Changes to Approved Projects

A separate approval must be obtained when changes in project concept or scope are proposed after project approval. This may include the need to write a supplemental PR. See Section 6 for details.

Preferred Alternative

All projects for which an environmental impact report/environmental impact statement (EIR/EIS) is prepared require the development and evaluation of project alternatives. Most projects for which a negative declaration (ND) is prepared also carry more than one alternative through the public hearing phase. Before such projects can be approved, a preferred alternative must be selected. This selection process is described in Section 2.
SECTION 2 Selecting a Preferred Alternative

Selection Timing

Selection of the preferred alternative occurs only after specific effects and reasonable mitigation measures have been identified for each project alternative. The selection is made after all comments are received from the circulation of the draft environmental document (DED) for public comment and from the public hearing process. These comments and the rationale for selecting the alternative are detailed in the final environmental document (FED) and summarized in the project report (PR).

Selection Decision and Approval

The preferred alternative, with discussion substantiating its selection, is presented in the FED. In cases where more than one alternative is equally suitable, the FED can be structured to present such options. The “plan-to-ground” strategy utilized during the formal study’s evaluation of alternatives (see Chapter 10 – Formal Project Studies) permits the decision maker to select the alternative (which may or may not be the preferred alternative) that best meets the specific evaluation criteria associated with any particular project proposal.

Informed Decision

The environmental document (ED) should present sufficient information to enable a reasoned choice among the project alternatives. The issues should be sharply defined and provide a clear basis for selection. The selection must reflect the consideration of all significant, reasonably foreseeable, adverse impacts that remain after incorporation of all reasonable mitigation measures. The selection decision must be structured, analytical, and clearly address the specific evaluation criteria developed for the project. It must ensure that the selected project meets the purpose-and-need for the project.

Approval

The preferred alternative is approved with PR approval by the District Director after selection by the project development team (PDT) and recommendation of the project manager. The preparer of the ED has no authority to make an approval decision.
Justified Unavoidable Impacts

An alternative that results in a significant, adverse environmental impact or the use of protected resources will only be approved when all of the following are demonstrated:

- There are no reasonable alternatives that will avoid such impacts or uses.
- There are no reasonable alternatives or mitigation measures that will substantially lessen such impacts or uses.
- There are specific conditions (economic, social, or other) that make other alternatives or mitigation measures unreasonable.

Reasonable Alternatives

Reasonable alternatives are those that have been found to be reasonable and acceptable to Caltrans and Federal Highway Administration (FHWA) in meeting the project’s intended purpose-and-need.

Gain Consensus

The goal in defining reasonable alternatives for the preferred alternative selection is to gain a consensus of the community, the PDT, and the permitting agencies. The agreement of the permitting agencies must be formally documented.

Avoidance Alternative

If there is a reasonable alternative that avoids all significant impacts, uses of protected resources, and impacts on hazardous waste, then efforts should be directed to the selection of this alternative. If there are multiple alternatives that avoid all significant impacts, then efforts should be made to select the avoidance alternative that best fulfills the project’s purpose-and-need.

Environmentally Preferred Alternative

If there is no such avoidance alternative, then efforts should be directed to selection of the reasonable alternative that causes the least harm, after mitigation, to protected resources and the environment. This is termed the “environmentally preferred alternative.”

Overriding Considerations

When overriding considerations dictate the selection of a preferred alternative that is not an available avoidance alternative or the environmentally preferred alternative—
the decision must be substantiated with a statement of overriding considerations. When overriding considerations are involved, the consensus reached with the involved resource and regulatory agencies should reflect any balancing of resource impacts.

**Balancing Resource Impacts**

At times it may be necessary to suggest the acceptance of impacts on one resource in order to avoid or minimize impacts on another resource. Efforts should be made to gain a consensus of the involved resource and regulatory agencies regarding identification of the environmentally preferred alternative.

**California Transportation Commission Involvement**

When selection of the preferred alternative is highly controversial or if the proposed preferred alternative is significantly higher in overall cost as compared to other build alternatives, it may be appropriate to involve the California Transportation Commission (CTC) in the preferred alternative selection. In such an instance, a preferred alternative report should be submitted to the CTC as a monthly agenda item, with a request for their concurrence. If this is done, it should be done prior to PR approval. If the CTC becomes involved in selecting the preferred alternative, a CTC public hearing will probably be held before the selection.
SECTION 3  Project Report Approves Projects

ARTICLE 1  General

Purpose of the Project Report

The project report (PR) documents Caltrans’ approval for most types of State highway projects. A project receives Caltrans’ approval when the PR is approved by the District Director or a division chief who has been delegated that authority. When a project is initiated with a Project Study Report – Project Development Support (PSR-PDS), the PR also approves the programming of capital support and capital project dollars for the remainder of the project.

Draft Project Report

Projects with draft environmental documents (DED) require the preparation of a draft project report (DPR) prior to finalizing the PR. The DPR documents the need for the transportation project and summarizes the studies of the cost, scope, and overall impact of project alternatives, so that an informed decision can be made on whether or not to proceed to the public hearing phase of project development. After a public hearing and the selection of a preferred alternative, the DPR is updated to become the PR. Refer to Chapter 10 – Formal Project Studies, for information on the DPR.

Environmental Document

When there is an environmental document (ED) for a project, it is a key project approval document. The ED is prepared to assure that the project complies with State and federal environmental laws. All project activities, such as the development of project alternatives, public input, and selection of the preferred alternative, are discussed in the final environmental document (FED). Selection of the preferred alternative is discussed in Section 2.

Project Report Content

If an FED or categorical exemption/categorical exclusion (CE/CE) is required for the project, it must be attached to the PR; otherwise a statement of compliance with environmental laws and regulations must be included in the body of the PR. Any PR discussion of items covered in the FED should be summary in nature, but should provide enough detail to allow district management to obtain a concise picture of the
project without researching the FED. The attached FED should be referenced for any detailed environmental information.

There may also be certain statutory requirements or report considerations that may not be appropriate for the FED. These items are incorporated into the PR.

**Categorically Exempt/Excluded Projects**

When a project is statutorily or categorically exempt/excluded, there is no ED, so all information must be provided in the PR. The CE is a required attachment unless the project does not require a CE form. See Chapter 2 of the *Standard Environmental Reference*.

**Format and Guidelines**

An outline and detailed guidelines for PR preparation is provided in Appendix K – Preparation Guidelines for Project Report.

**Requests for Headquarters Division of Design Review**

To obtain a preliminary review of the PR before it is submitted for approval, forward two copies to Headquarters Division of Design, Attention: Office of Project Development Procedures, with a written request stating what is desired from the review. If a review by other Headquarters units is needed, it should be requested directly from those units.

**Project Report Approval**

See Article 3 of this section for a detailed description of the PR approval process.

**Processing**

Following approval, two copies of all PRs covered by these guidelines are sent to Headquarters Division of Design, Attention: Office of Project Development Procedures. An additional five copies are sent to Headquarters Division of Engineering Services-Program/Project Resource Management. Copies are not normally sent to other Headquarters units unless specifically requested. See Section 4 for other types of project approval documents that are sent to other Headquarters units instead of Headquarters Division of Design.
ARTICLE 2  Documenting the Preferred Alternative

Project Report and Final Environmental Document Roles

The selection of the preferred alternative is documented in the PR (and also in the FED, when a FED is involved). The PR documents the detailed engineering reasons for selecting the preferred alternative. The FED documents the environmental reasons for selecting the preferred alternative.

Project Report Documentation

When there is a DPR, it is used as a starting point for creating the PR. The DPR answered these three basic questions:

- Why do it at all? (need for project).
- Why do it now? (cost effectiveness).
- Which ways are practical? (alternatives).

The PR should answer the final question:

- Which way provides the greatest public good with the least private harm? (preferred alternative)

The preferred alternative should be documented in accordance with the PR guidelines and outline provided in Appendix K – Preparation Guidelines for Project Report. The items in the following list should be covered:

- Summarize the FED discussion of the preferred alternative, as well as the rationale for its selection. The rationale is the essence of the preferred alternative section of the FED. It describes engineering, environmental, and system planning rationale and explains why each of the other alternatives were rejected.
- Discuss the current construction and right-of-way costs of the preferred alternative compared to the programming figures in the current State Transportation Improvement Program (STIP). Recommendations for any STIP programming changes are made for cost amounts, fiscal year scheduling, or stage construction.
- Summarize the public hearing process results and evaluation, as appropriate. This includes local agency positions.
- Summarize the FED evaluation of major comments related to project alternatives that were received from circulation of the DED.
ARTICLE 3  Caltrans’ Project Approval Process

Approvals by Other Entities

Project approval refers to approval by Caltrans, and where required, approval by the Federal Highway Administration (FHWA) and the California Transportation Commission (CTC). Transportation projects often require approvals from outside entities before they may proceed to design and construction. Other project-related approvals, agreements, and permits are discussed in Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications, and Approvals.

Preliminary Sign-off

- To ensure that all right-of-way information contained in the PR and the right-of-way data sheet attached to it are complete, current, and accurate, the right-of-way division chief signs the PR cover sheet.
- To ensure that all engineering and environmental studies have been included in the PR, the project manager signs the PR cover sheet, recommending approval.
- To ensure that all technical information has been prepared in accordance with State law, the registered civil engineer, usually the project engineer preparing such technical information, signs the appropriate sheet.
- When a final environmental impact report/final environmental impact statement (FEIR/FEIS) is completed, a two-part certification is prepared. To ensure that the California Environmental Quality Act (CEQA) laws have been satisfied, the environmental branch chief signs the first part of the certification sheet, attaching the completed findings and statement of overriding considerations.
- To certify that the information contained in an FEIR/FEIS has been reviewed and considered prior to approving the project, the authorized signer of the project report (District Director) signs the second part of the certification sheet. The certification is attached to the front of the FED and is not included in the body of the PR.
- The District Director or a Deputy who has been delegated that authority approves the project by signing the PR cover sheet. The date of signing becomes the “official” project approval and environmental compliance date (Milestone 200).
Approval

Federal Highway Administration Approval Process

When the FHWA is involved, it takes action to approve project design features before the project is approved by the District Director, except for route adoptions. Federal approval of general location and project design features for projects with a route adoption occurs after Caltrans’ approval and CTC route adoption. FHWA approval is discussed in Section 5.

State Approval Process

State project approval is given by the District Director after the FED is approved by Caltrans and, if required, after FED and project design feature approval by the FHWA (except route adoptions). The CEQA environmental process is completed when Caltrans, as lead agency, approves a project and files a Notice of Determination (NOD) with the State Office of Planning and Research (OPR). Refer to the Standard Environmental Reference for further information. The process for projects that exclusively follow the State approval process differs from the federal approval process only to the extent that the various processing steps do not receive FHWA review or concurrence.

California Transportation Commission Approval Process

The CTC takes project approval action, if involved, after the project has been approved by the District Director. This is discussed in Section 5.
SECTION 4 Other Caltrans Reports that Approve Projects

General

Refer to Figure 8-2 in Chapter 8 – Overview of Project Development, for a summary of project approval document requirements by program.

Project Scope Summary Report for Rehabilitation Projects

The project scope summary report (PSSR) for a categorically exempt (CE) project serves as the project report (PR) for a roadway rehabilitation project (201.120) or a bridge rehabilitation project (201.110). Occasionally a PSSR can also be processed with a negative declaration (ND). For rehabilitation projects in the Minor A program, the PSSR process is optional, but encouraged; otherwise, the district processes a PR. The PSSR, which is the project initiation document, is also the project approval document once an approved CE or a ND is attached. Following approval, two copies of all PSSRs covered by these guidelines are sent to Headquarters Division of Design, Attention: Office of Project Development Procedures. An additional five copies are sent to Headquarters Division of Engineering Services-Program/Project Resource Management. See Appendices G, P, or Q for guidelines for the appropriate PSSR.

Project Report for Planting and Irrigation Projects

The PR for a new highway planting project or a rehabilitated planting and irrigation project is prepared and processed as outlined in Chapter 29 – Landscape Architecture, Section 2, Highway Planting, using a project report (new highway planting or roadside rehabilitation) for project approval. See Appendix D – Preparation Guidelines for Project Report (New Highway Planting or Roadside Rehabilitation) for the guidelines and outline.

Project Report for Safety Roadside Rest Area Projects

The PR for a new safety roadside rest area project (201.260) or a safety roadside rest area restoration project (201.250) is prepared and processed as outlined in Chapter 29 – Landscape Architecture, Section 3, Safety Roadside Rest Areas, using a project report (safety roadside rest area) for project approval. See Appendix M – Preparation Guidelines for Project Report (Safety Roadside Rest Area), for the guidelines and outline.
Project Study Report-Project Report for Certain Special Funded Projects

Special funded projects are State highway improvements constructed by others under encroachment permit, with an estimated construction cost of more than $1,000,000. Special funded projects are processed as State highway projects and require a PR. If the special funded project is non-complex, non-controversial, and meets the criteria outlined in Chapter 9 – Project Initiation, it may qualify for preparation as a combined project study report-project report (PSR-PR) in accordance with the policies and procedures set forth in that section. The PSR-PR is the project approval document. Once approved, two copies of the PSR-PR are sent to Headquarters Division of Design, Attention: Office of Project Development Procedures. An additional five copies are sent to Headquarters Division of Engineering Services-Program/Project Resource Management. The district may utilize this document for similar State-sponsored projects, if appropriate. See Appendix A – Preparation Guidelines for Project Study Report-Project Report, for guidelines and an outline for the PSR-PR.

Permit Engineering Evaluation Report for Encroachment Permit Projects

Encroachment permit projects are those State highway improvements constructed by others under encroachment permit, with an estimated construction cost of $1,000,000 or less. Encroachment permit projects utilize the permit engineering evaluation report (PEER) process in place of a PR for project approval to authorize issuance of an encroachment permit. Districts may require a combined PSR-PR in some cases, provided the cost is over $300,000. Instructions covering the PEER process are included in Chapter 9 – Project Initiation. See Appendix I – Preparation Guidelines for Permit Engineering Evaluation Report, for guidelines for preparing a PEER. The PEER process cannot be used for a project that requires an approval by the California Transportation Commission (CTC), such as a new public road connection to a freeway or a controlled access highway; a PR would be required for such a situation.

Projects Sponsored by Others

Projects sponsored by other entities, such as rail transit projects, water projects, redevelopment projects, etc., often require relocation or modification of existing State highways. These are considered special funded or encroachment permit projects as described above. All required State highway construction or reconstruction to
accommodate a project sponsored by others must be covered by a PR, by a combined
PSR-PR, or by a PEER, as appropriate. Coordination, review, and reimbursement
provisions follow the general procedures found in the references cited in Chapter 2 –
Roles and Responsibilities, for locally funded State highway projects.

It is Caltrans policy that all special funded projects will use the PRS-PDS to initiate
projects unless a PSR is requested by the project sponsor and authorized by the
District Director. In the preparation of a PSR-PDS, only existing information is used
and preliminary studies are not prepared. Therefore, final approval reports for
projects initiated with a PSR-PDS may take more time to prepare and may require
more resources to complete than a project initiated with another type of project
initiation document. See Chapter 9 – Project Initiation for more information on
project initiation documents.

**Project Report for Minor A Projects**

The PR for a Minor A project (see Chapter 4 – Programming for a definition) serves
as both the project initiation document and the project approval document. When
approving a PR for a Minor A project (except for an occasional Minor A project that
gets listed in the State Transportation Improvement Program [STIP]), the district
follows program priorities established by the program advisor. The Headquarters
program advisor should be consulted in cases where the appropriate program is in
question. See Appendix K – Preparation Guidelines for Project Report, for guidelines
and an outline for the PR. Refer to the California Manual on Uniform Traffic Control
Devices (California MUTCD) for additional requirements for traffic signal project
reports.

If a logical project exceeds the Minor A dollar limit for construction, a major project
should be initiated. Separate Minor A projects for segments of an overall project
should not be considered. Minor A funds should not to be used to finance a series of
small, related, and contiguous projects when a single contract is more appropriate. In
those instances, to authorize the larger project, a project initiation document (PSR or
equivalent) is prepared and the project is programmed in the appropriate
programming document.
Part 2 – The Project Development Process

Expenditure Authorization Project Report for Minor B Projects

Development of a Minor B project (see Chapter 4 – Programming for a definition) follows the procedural instructions for preparing contracts for services contained in the Contract Managers Handbook. The expenditure authorization project report (EA-PR) or the cover letter format project report described in Chapter 9 – Project Initiation serves as both the project initiation document and the project approval document. An example is provided in Appendix B – Preparation Guidelines for Expenditure Authorization Project Report.

Director’s Order for Urgent Projects

A Director’s Order authorizes project work for emergencies that exceed established cost limits when done by informal bid procedures, force account procedures, equipment rental, or day labor. For additional information on Director’s Order Guidelines, see: http://onramp.dot.ca.gov/hq/maint/orway/ha23/do_guide/dog00.html

Projects Off the State Highway

Caltrans has occasionally been responsible for development of projects of others, such as State Parks roads, federal roads, rail transit, etc. The need, alternative solutions, costs, and reasons for selecting a specific design must be documented and reviewed. A PR is prepared and approved to accomplish this documentation. If State highways are involved, the PR documents decisions impacting the highway facility.

Project Report for Capital Preventive Maintenance Projects

All capital preventive maintenance (CAPM) projects utilize a CAPM-PR to define project scope, cost, and approve work. The completed CAPM-PR serves as the project initiation document and the project approval document. Following approval, two copies of all CAPM-PRs covered by these guidelines are sent to: Headquarters Division of Design, Office of Project Development Procedures, Attention: Design Report Routing, Mail Station #28. An additional five copies are sent to Headquarters Division of Engineering Services-Program/Project Resource Management. See Appendix H – Preparation Guidelines for Capital Preventive Maintenance Project Report for CAPM-PR outline.
Expenditure Authorization Project Report for Maintenance Projects

All maintenance projects (20.80 Program) done by contract utilize an expenditure authorization project report (EA-PR) as both the project initiation document and the project approval document. An example is provided in Appendix B – Preparation Guidelines for Expenditure Authorization Project Report.
SECTION 5 Federal Highway Administration and California Transportation Commission Approval of Projects

Federal Participation

Caltrans’ policy requires pre-qualification of most projects for federal funding participation. Minimum dollar amounts for federal participation are established by the Headquarters Division of Budgets for various program items. Current instructions from the Headquarters Division of Budgets should be consulted, as the limits change according to financial conditions. Refer to Deputy Directive DD-11 – Federal Aid Project Funding.

When State-only funding is requested for a project, but State-only funding has not been identified in the programming document, specific approvals must be obtained from the Headquarters Division of Transportation Programming. The project report (PR) proposing State-only funding should fully explain the efforts taken to qualify the project for federal participation and explain why federal funding could not be obtained.

If such a determination is made late in the process, approval from the Headquarters Division of Budgets is required. State-only funding requests must be reviewed and approved by the Headquarters Project Delivery Coordinator prior to submittal to the Division Chief of the Headquarters Division of Transportation Programming or the Division Chief of the Headquarters Division of Budgets. A copy of the approved PR should be attached to the request.

The amount of State-only funds may be limited. All approvals are based on availability of funds at the time of advertising.

Federal Highway Administration Approvals

Certain projects require Federal Highway Administration (FHWA) review and/or concurrence, regardless of source of funding. For more information, see Chapter 2 – Roles and Responsibilities.

For example, when a project includes a new or modified Interstate access, regardless of the funding, FHWA approval is required. The FHWA approval process for a new
or modified interstate access consists of two steps: a Determination of Engineering and Operational Acceptability and a Final Approval. Refer to Chapter 27 – New Public Road Connections for more information.

Any requests for FHWA approval or concurrence are submitted by the district to the FHWA. To insure FHWA approval, it is necessary to involve and inform them of project development from the beginning of studies through preparation of the plans, specifications, and estimate (PS&E). Whenever possible, the FHWA liaison engineer should informally review requests for approvals prior to submittal of the formal request. This facilitates the processing of the formal request.

The current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement and Record of FHWA Involvement form is available at: http://www.dot.ca.gov/hq/oppd/stewardship/

**Federal Highway Administration Location and Design Approval**

For actions covered by an environmental impact statement (EIS) or finding of no significant impact (FONSI), FHWA signing of the final environmental impact statement (FEIS) Cover Sheet or execution of the FONSI constitutes FHWA acceptance of the general location and project design features unless delegated to Caltrans under stewardship. If environmental documents are tiered and separate location and design hearings are held, FHWA makes specific acceptance of the location or the design. FHWA signing of the FONSI or of the record of decision (ROD) for a FEIS, is required for FHWA approval to proceed with design or acquisition of right-of-way.

For other required FHWA approvals, by type of facility, refer to Chapter 2 – Roles and Responsibilities, Section 7. For details on preparation (including level of documentation) and approval of the FONSI and the ROD, refer to the Standard Environmental Reference.

**California Transportation Commission Approvals**

When the California Transportation Commission (CTC) approves a route adoption or a new freeway connection, or when it is a responsible agency under California
Environmental Quality Act (CEQA) because it will approve the allocation of funding, CTC approval of the project is needed.

**Reports for Route Adoptions**

The project report serves as an information source for processing route adoptions through the CTC. When the PR (with the mandatory attachment of the final environmental document [FED]) is transmitted to Headquarters Division of Design, Attention: Office of Project Development Procedures, a reproducible and three prints of the route adoption map are submitted concurrently (not as attachments) to Headquarters Division of Design, Attention: Office of Project Development Procedures. The Headquarters Division of Design prepares the Route Adoption Report for CTC action. See [Chapter 24](#) – Freeway Agreements, for route adoption procedures.

**Reports for New Public Road Connections**

Reports for CTC approval of new public road connections to freeways and controlled access highways are prepared by the Headquarters Division of Design. See [Chapter 13](#) – Project Related Permits, Licenses, Agreements, Certifications, and Approvals; and [Chapter 27](#) – New Public Road Connections for new connection procedures.

**Reports for Consideration of Future Funding**

The Headquarters Division of Environmental Analysis prepares reports for approval of a project for future consideration of funding by the CTC. Refer to the [Standard Environmental Reference](#) for details.
SECTION 6 Changes to Approved Projects

Major/Minor Change Determination

To guard against future litigation, care should be exercised in determining whether a project change is major or minor. A highly detailed, approved plan of development establishes an understanding of what is to take place. Generally speaking, the greater the detail shown on the exhibit maps in the environmental document (ED) or at the public hearing, the smaller the proposed change must be to qualify as a minor change.

Minor Changes

Minor changes are usually defined as small variations of design that do not significantly affect costs, adjacent properties, or environmental impacts. Minor changes to previously approved major design features normally do not require recycling of the environmental and public hearing processes, but do require concurrence from appropriate entities.

Approvals

Approval to proceed with a minor change to an approved project is given by the District Director, and when appropriate, by the Federal Highway Administration (FHWA). The approval request shall include an explanation of what prompted the change as well as a substantive justification for approving the change.

Major Changes

Major project changes include any change in project concept or a substantial change in project scope.

Reevaluate Concept

Because of the long lead time associated with major projects, changing land-use patterns, or loss of funding, there is often a need to reevaluate the concept and scale of previously approved projects. If a previously approved project or its ultimate scope has materially changed in concept, current detailed information should be evaluated before the extent of rescoping is decided. Proposed major deviations from approved concepts should be discussed with the Headquarters Project Delivery Coordinator before undertaking full-scale environmental and design studies.
Required Reports

Any change in concept and substantial changes in scope should be discussed in a supplemental project report (PR). If the project development team determines that a new or supplemental draft environmental document (DED) is required, a supplemental draft project report (DPR) is prepared. In some cases, it may be appropriate to begin again with a new project study report (PSR). After approval, two copies of the final document should be forwarded to the Headquarters Division of Design, Attention: Office of Project Development Procedures, as appropriate.

Rescoping

Supplemental DPRs and supplemental PRs covering rescoping place particular emphasis on the following:

- The degree to which rescoping limits future expansion or flexibility.
- The impacts on adjacent, local street systems and the ability of local agencies to adjust their programs to match.
- Alternatives and their trade-offs in cost, traffic service, and economic, social, and environmental effects.
- Problems and costs resulting from right-of-way acquisition and contractual commitments previously made within these project limits.

If rescoping involves rescission of an adopted alignment and the disposal of acquired right-of-way, then the processes for modifying an adopted route designation and the process for recycling freeway route adoptions are involved. These are outlined in Chapter 23 – Route Adoptions.

Headquarters Division of Project Management-Project Delivery & Workload Development should be advised of cost and schedule changes.

Staged Projects

A supplemental PR is not required if a currently programmed project has been identified as a stage of a previously approved project and it is consistent with the ultimate concept of the original project.

Staging, as appropriate, should be discussed in a DPR and a DED, or in an environmental reevaluation, or in a supplemental DPR and DED, as appropriate. The final PR and final environmental document (FED) must address a fundable project.
Content of the Supplemental Project Report

All supplemental PRs require the same signatures as a PR and require the same statements covering environmental determination. The magnitude of project change determines the format and level of detail for the body of the report. Smaller project changes would require preparation of a memorandum that describes the changes to the original, approved project; changes of greater magnitude would require the preparation of a complete new report, following the PR outline provided in Appendix K – Preparation Guidelines for Project Report.