FORM AND INSTRUCTIONS FOR PROJECT SCOPE CHANGE REQUEST

(Revised on 4/10/2026)

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 provide 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

3a. 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
  - Current overall project costs based on the originally approved project scope and approved application or project programing request (PPR)
  - Proposed overall project costs based on the proposed scope change
  - Plan for any cost overruns, if applicable.

3b. Programming Change Request (PCR) *(insert a formal PCR here if applicable)*:

Example: This is a formal programming change request to shift PFIP funds from parent projects A, B.. to new child projects a, b, c… as per table below, specifically for these reasons: 1), 2), 3)…

Table # Proposed Programing Change Request and Redistribution of PFIP Funds*: *example*

Parent Projects	PS&E	CON Sup	CON	Total PFIP Funds	Child Projects	PS&E	CON Sup	CON	Total PFIP Funds
A	$560		$26,500	$27,060	AB.1	$60	$635	$1,220	$1,915
B	$720		$26,500	$12,840	AB.2	$536	$400	$15,414	$16,350
					A.1			$13,437	$13,437
					B.1			$8,198	$8,198
Total	**$1,280**	**$0**	**$53,000**	**$39,900**		**$596**	**$1,035**	**$38,269**	**$39,900**

*See PPRs for each project for further details.

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 outputs and outcomes that are part of the approved application and project programing request (PPR), and evaluate whether the proposed scope change impacts the project outputs or benefits as estimated in the approved application and PPR. If the proposed scope change impacts the project benefits, the PPR 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.
- All project elements proposed to change must be included.
- When a project element includes multiple locations/components (as defined in the approved application), the net effect for each separate location/components needs to be discussed.
- Must submit tables below for quantitative comparison between original scope vs proposed scope.

Table 1. Project Deliverables (Outputs) *example*

Outputs / Deliverables	**Originally Approved Quantity (same as approved Application / PPR)**	**Unit**	**Proposed Scope (Quantity)**	**Change in Output (Difference in Quantity)**
Deliverables/Outputs from Approved Application/PPR *(Parent Project if applicable)*				
Parking Lot improvement	60,000	SQFT	50,000	-10,000
Expanded Reefer Capacity	50	EA	30	-20
Output#3				
Only use below rows if splitting parent project				
Deliverables/Outputs if Scope Change is Approved *(Child Project#1 if applicable)*				
Parking Lot improvement	0	SQFT	50,000	
Expanded Reefer Capacity	0	EA	0	
Output#3				
Deliverables/Outputs if Scope Change is Approved *(Child Project#2 if applicable)…*				
Parking Lot improvement	0	SQFT	0	
Expanded Reefer Capacity	0	EA	30	
Output#3				
Total/Combined Outputs *(sum of child projects above, if applicable)*				
Parking Lot improvement	60,000	SQFT	50,000	-10,000
Expanded Reefer Capacity	50	EA	30	-20
Output#3				

<< Add rows to the table as needed>>

Table 2. Project Benefits (Outcomes) *example*

Outcomes / Benefits	**Originally Approved Quantity (same as approved Application / PPR)**	**Unit**	**Proposed Scope (Quantity)**	**Change in Outcome (Difference in Quantity)**
Benefits/Outcomes from Approved Application/PPR *(Parent Project if applicable)*				
Throughput - Twenty-foot Equivalents Units (TEU) Processed	250,0000	TEU	200,000	-50,000
Outcome#2				
Benefits/Outcomes if Scope Change is Approved *(Child Project#1 if applicable)*				
Throughput - TEUs Processed		TEU	150,000	
Outcome#2				
Benefits/Outcomes if Scope Change is Approved *(Child Project#2 if applicable)…*				
Throughput - TEUs Processed		TEU	50,000	

Outcome#2				
Total/Combined Benefits/Outcomes *(sum of child projects above, if applicable)*				
Throughput - TEUs Processed	250,000	TEU	200,000	-50,000
Outcome#2				

<< Add rows to below table as needed>>

Note: If the outcomes benefits are not quantified in the application, then please provide benefit analysis to show how you are achieving the same or better benefits. If the Outputs are reduced a quantitative analysis of Outcomes must be provided.

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

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

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 all that apply):

☐ Original plans/workplan with changes 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 Estimate with changes highlighted
☐ Revised Detailed Engineer's Estimate
☐ Revised Project Programming Request (PPR)
☐ Additional Revised Application Documentation

- Only 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 CalSTA 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 CalSTA 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 District DLAE Area Engineer 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 CalSTA 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 District Area Engineer 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 CalSTA 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.
- Caltrans' final written analysis and recommendations to CalSTA will include:
    - o The agency's formal submittal to Caltrans, including all supporting documentation,
    - o Caltrans written analysis of the agency's proposed scope change,
    - o Caltrans consideration as to whether the proposed scope change is "minor" or "major", and
    - o Caltrans' final recommendation for approval or denial.

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

CalSTA will make the final decision of approval or disapproval based on Caltrans recommendations and the final decision will be documented.

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

[Please do not lock the PDF after signing, to allow for minor corrections and additional approvals.]

REQUEST FOR PROJECT SCOPE CHANGE

To: <<DLAE name>>
<<District#>>
DLAE Caltrans
<<District Address>>

Date:

Project ID (s) *(FPN/Other)*:

Advantage ID(s):

PPNO(s):

Project Name(s): *(same as approved PPR)*

Approved Project Description(s): *(As submitted in Application/PPR)*

Approved Project Limits: *(As submitted in Application):*

Current FTIP/FSTIP Description: *(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>>

Table 1. Project Cost – Project Title *(Add separate table, with title, for each project; for each parent and child if applicable)*:

		Programed		Proposed		Cost Expended to Date			Change		
Phase	Funding Source	Amount	FY	Amount	FY	Expended	% Expended	% Complete	Amount	%	FY
PA&ED											
PS&E											
R/W Sup											
Con Sup											
R/W											
Con											
Total											

<< Add rows in table as needed for each funding source, if applicable>>

Programming Change Request (PCR) *(insert a formal PCR here if applicable)*:
This is a formal programming change request to shift PFIP funds from projects A to projects a, b, c… as per table below, specifically for these reasons: 1), 2), 3)…

Table # Proposed Programing Change Request and Redistribution of PFIP Funds*:

Parent Projects	PS&E	CON Sup	CON	Total PFIP Funds	Child Projects	PS&E	CON Sup	CON	Total PFIP Funds
Total									

*See PPRs for each project for further details.

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 are listed below:

Table # Project Schedule-Project Title *(Add separate table, with title, for each project; for each parent and child if applicable)*:

Phase	Current Milestone Date	Proposed Milestone Date	Change (Months)	Current Allocation Date	Proposed Allocation Date	Change (Months)
PA&ED						
PS&E						
R/W						
CON						

Note: Allocation dates are deadlines or June 30th of the programed fiscal year. For example, for FY24/25, it would be 6/30/2025.

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

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 benefits and outcomes as compared to the benefits identified in the project application (increase or decrease):

Table #. Project Deliverables (Outputs)

Outputs / Deliverables	Originally Approved Quantity (same as approved Application / PPR)	Unit	Proposed Scope (Quantity)	Change in Output (Difference in Quantity)
Deliverables/Outputs from Approved Application/PPR *(Parent Project#1 if applicable)*				
Output#1				
Output#2				
Only use below rows if combining or splitting parent project				
Deliverables/Outputs from Approved Application/PPR *(Parent Project#2 if applicable)*				
Output#1				
Output#2				
Total/Combined Outputs *(sum of parent projects above, if applicable)*				
Output#1				
Output#2				
Deliverables/Outputs if Scope Change is Approved *(Child Project#1 if applicable)*				
Output#1				
Output#2				
Deliverables/Outputs if Scope Change is Approved *(Child Project#2 if applicable)…*				
Output#1				
Output#2				
Total/Combined Outputs *(sum of child projects above, if applicable)*				
Output#1				
Output#2				

<< Add/delete rows in table as needed>>

Table # Project Benefits (Outcomes)

Outcomes / Benefits	Originally Approved Quantity (same as approved Application / PPR)	Unit	Proposed Scope (Quantity)	Change in Outcome (Difference in Quantity)
Benefits/Outcomes Approved from Approved Application/PPR *(Parent Project#1 if applicable)*				
Outcome#1				
Outcome#2				
Only use below rows if combining or splitting parent project				
Benefits/Outcomes Approved from Approved Application/PPR *(Parent Project#2 if applicable)*				
Outcome#1				
Outcome#2				
Total/Combined Benefits/Outcomes *(sum of parent projects above, if applicable)*				
Outcome#1				
Outcome#2				
Benefits/Outcomes if Scope Change is Approved *(Child Project#1 if applicable)*				
Outcome#1				
Outcome#2				
Benefits/Outcomes if Scope Change is Approved *(Child Project#2 if applicable)…*				
Outcome#1				
Outcome#2				
Total/Combined Benefits/Outcomes *(sum of child projects above, if applicable)*				
Outcome#1				
Outcome#2				

<< Add/delete rows in table as needed>>

Note: If the outcomes benefits are not quantified in the application, then please provide benefit analysis to show how you are achieving the same or better benefits. If the Outputs are reduced a quantitative analysis of Outcomes must be provided.

4. An explanation of the methodology used to develop estimates:

5. Does this scope change require revalidation of your environmental document? (Yes/No) If yes, what is the actual/estimated date of revalidation?

6. 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 all that apply)

☐ Original plans/workplan with changes 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 Estimate with changes highlighted
☐ Revised Detailed Engineer's Estimate
☐ Revised Project Programming Request (PPR)
☐ 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: _____

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

Contact: _____ at phone number: _____

Email Address: _____

Agency Authorizing Signature: *(Please do not lock the PDF after signing.)*

_____ _____
Name: Date
Title:
Local Public Agency:

Recommendation:

☐ Approval ☐ Denial ☐ _____

_____ _____
Name: Ping Qiu Date
Title: Chief, Office of State Programs,
Division of Local Assistance, Caltrans

Approval/Denial:

☐ Approved ☐ Denied

_____ _____
Name: Christine Casey Date
Title: Deputy Secretary for Freight Policy
California State Transportation Agency (CalSTA)