

CHAPTER 6 – Project Cost, Scope, and Schedule Changes

Table of Contents

CHAPTER 6 – Project Cost, Scope, and Schedule Changes	6-3
ARTICLE 1 Introduction.....	6-3
Reference Information	6-3
Caltrans' Objective.....	6-3
ARTICLE 2 Policies and Procedures.....	6-3
District Responsible for Project Delivery.....	6-3
Purpose of Procedures	6-4
Change Approval Authority.....	6-4
Processing Change Requests	6-4
Procedures for Special Funded Projects	6-4
ARTICLE 3 Scope Change.....	6-5
Scope Approval	6-5
Supplemental Project Development Reports	6-5

CHAPTER 6 – Project Cost, Scope, and Schedule Changes

ARTICLE 1 Introduction

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.

Caltrans' Objective

Caltrans' objective is to excel at delivering projects on schedule and within budget, and to do so in a cost-effective manner.

Review and update of the scope, schedule and cost of each project must be done at least annually. Documentation of the review and update must be signed and dated by the project manager. The one-year requirement does not preclude formally updating the scope, cost, and schedule on a more frequent basis, such as at project milestones or if significant changes occur between milestones. Refer to [Chapter 20](#) for information about project capital cost estimating.

ARTICLE 2 Policies and Procedures

District Responsible for Project Delivery

The District Directors are responsible for project delivery and implementation of project management. Refer to Deputy Directive 23, Roles and Responsibilities for Development of Projects on the State Highway System and Deputy Directive 34, Program and Project Management for Capital Outlay Projects.

Purpose of Procedures

Project development procedures establish a process to document considerations of all possible alternatives and all decisions affecting project delivery commitments. Project development procedures support the commitment of Caltrans to deliver all programmed projects on schedule, within budget and scope, and to meet the performance targets of the Transportation Asset Management Plan.

Change Approval Authority

The Director has delegated departmental responsibility for approving changes in project scope, cost, and schedules to the Deputy Director for Finance. The Deputy Director for Project Delivery provides the necessary engineering evaluations of the district's proposed changes to guide these approvals. Further delegation makes the Chiefs of the Divisions of Transportation Programming and Project Management responsible for acting on all project change requests. Refer to the memo [*Project Change Requests from Robert Garcia and Brent Felker dated October 8, 2003*](#). Approvals received through this process do not constitute a change in the programming documents. Changes in the programming documents occur either by amendments or through the normal programming process. It should be noted that only the California Transportation Commission (CTC) can change the programmed cost, scope, performance measures and programmed fiscal year for projects in most programming documents.

Processing Change Requests

See the [*Project Changes Handbook*](#) and the [*Project Management Manual*](#) for information on project cost and schedule changes (including performance measures in accordance with the Transportation Asset Management Plan) and for information on the details and format for requesting changes to project scope. The [*SHOPP Guidelines*](#) establish delegation thresholds below which the District Director may approve changes.

Procedures for Special Funded Projects

Procedures for management of the cost and schedule of special funded projects, which are not listed in a programming document, are provided for in the cooperative agreement for the project if done by Caltrans as reimbursed

work, or otherwise is under the control of the local agency or private entity. Project scope must be in accordance with the project cooperative agreement.

ARTICLE 3 Scope Change

Scope Approval

The District Director approves the project scope, as defined in the project initiation document (see [Chapter 9](#) – Project Initiation for types of project initiation documents). Once a project is programmed, any changes to the scope may require an amendment of the programming document.

Supplemental Project Development Reports

Changes in scope that affect need and purpose or modify asset management should be discussed with the Headquarters project delivery coordinator and appropriate Headquarters program advisor to determine the appropriate documentation or approval process or both. A determination should be made regarding the need for a supplemental project development report. Examples of minor and major scope changes follow:

Minor Scope Change

Minor scope changes usually do not require a supplement to the project initiation document (PID) or project report, nor an amendment to the programming document (see [Chapter 4](#) – Programming). See Supplemental PID Guidance and [Chapter 9](#) – Project Initiation, “Essential Procedures” for guidance on project scope. See [Chapter 12](#) – Project Approvals and Changes to Approved Projects, Section 1, “General” and Section 6, “Changes to Approved Projects for additional guidance on scope change determination and when a supplemental project report is needed.

Examples of minor scope changes include:

- Small changes to project limits or work
- Providing required safety features
- A change in the engineering solution to the transportation problem. (for example, changing the barrier type on a guardrail project)

Major Scope Change

A major scope change may require a supplement to the PID or project report, or an amendment to the programming document, or both (see [Chapter 4](#) – Programming). See Supplemental PID Guidance and [Chapter 9](#) – Project Initiation, “Essential Procedures” for guidance on project scope. See [Chapter 12](#) – Project Approvals and Changes to Approved Projects, Section 1, “General” and Section 6, “Changes to Approved Projects for additional guidance on scope change determination and when a supplemental project report is needed. Also see the [Project Changes Handbook](#) for additional information on the programming procedural requirement process.

Examples of major scope changes include:

- Large changes to project limits or work (for example, changing to a no build alternative)
- Adding lanes or pavement widening
- Adding a structure (for example, a retaining wall or sound wall)
- A change of pavement strategy or structure rehabilitation strategy (for example a change from 2R to CAPM or a change from bridge rail replacement to structure replacement)
- Eliminating work that will need to be reprogrammed in the next programming document cycle

Complete Streets Facilities Change

Except for permanent restoration (131), SHOPP safety (010), and projects-funded-by-others (local agency funded projects), a complete streets decision document (CSDD) is required to document complete streets facilities. Refer to the memorandum [Complete Streets Decision Document – Implementation](#) dated February 11, 2021. If complete streets facilities change after project approval or differ from the facilities identified in the CSDD, a superseding CSDD is required. If a supplemental project approval document is prepared, the superseding CSDD is attached to it. If a supplemental project approval document is not required, the superseding CSDD is placed in the permanent project history file. See [Appendix FF](#) for superseding CSDD instructions and template.