C T C LIAISON
BINDER COPY
DO NOT REMOVE

Memorandum

To: Chairman and Commissioners

Date: July 13, 2001

From: Robert T. Remen

PASSED BY
CTC
JUL 12 2001
CALIFORNIA
TRANSPORTATION COMMISSION

File No: Book Item 4.4b
Action

POLICY FOR APPROVING MINOR/MAJOR AMENDMENTS TO TRAFFIC CONGESTION RELIEF PROGRAM (TCRP) PROJECTS

RESOLUTION G-01-23
AMENDING RESOLUTION G-00-23

Action Taken:

The Commission, at its July 11-12, 2001 meeting, approved Commission and Department staff recommendation for the delegated authority to approve minor TCRP project amendments as follows:

- Delegate authority to the Commission and Department TCR Program Managers to approve minor TCRP project changes. This would allow the timely approval of minor project changes for requests that are consistent with the original project purpose and need in the approved project application, and in which the fiscal year (FY) for the ultimate project completion does not change.

- Direct staff and the Department to include approved minor TCRP changes within their delegated authority report to the Commission.

The Commission requested further clarification between major and minor amendments regarding original project purpose and need. Commission and Department staff are to provide this clarification at the October 3-4, 2001 Commission meeting.

Options Considered:

- Continue Commission approval of *all* TCRP project changes.

- Commission approval of *major* TCRP project changes, and delegate approval authority to Commission and Department staff for *minor* project changes.

C T C LIAISON
BINDER COPY
DO NOT REMOVE

Background:

The TCRP statutes and Commission guidelines (G-00-23) specifically state that the Commission's approval of the project application approves the schedule for each project phase's implementation by fiscal year (FY), and allow the Commission to approve changes in project scope, cost, or schedule of any phase of work as long as the requested changes are consistent with the purpose of the project in the approved application.

To assist the Commission in meeting its intent to expedite project amendments consistent with its oversight responsibilities, Commission and Department staff have identified the types of project changes that may occur, and the most efficient approval actions to assist in the timely delivery of the projects. These actions include delegated approval authority to Commission and Department TCR Program Managers for minor project changes requested by the applicant agency and the Commission's approval for major project changes. (If the Program Managers disagree on the whether the amendment is a major or minor amendment it will go to the Commission for action.)

Major Changes

Major changes requiring Commission approval would include:

- Schedule changes that would impact project delivery by more than one FY;
- TCRF cost increase of greater than 20% for approved project phases;
- Change in project scope where the project is not consistent with the original purpose and need, as approved in the project application and as defined in legislation;
- Change in project scope requiring additional funding not already committed;
- Change in implementing agency; and
- Alternative proposed project.

Minor Changes

Minor changes, which would be approved, by Commission and Department staff through delegated authority would include:

- Schedule changes within the same FY as identified in the approved project application, which do not impact the final project delivery or program year for future allocations;
- FY changes in project milestone delivery that do not impact or change later allocation dates or ultimate project completion;
- Cost/funding changes such as changing the distribution of TCRP funds between project phases with no net change in funding for Phases 1 and 2, and using savings from Phase 1 and 2;
- Increase in TCRP funding for an approved project phase by no more than $1,000,000 or 20% of the originally approved amount; and
- Minor project changes that are consistent with the original project scope, purpose and need in the approved project application.

The attached matrix provides a detailed listing of project changes and the required approvals.

Attachments

C T C LIAISON
BINDER COPY
DO NOT REMOVE

TRAFFIC CONGESTION RELIEF PROGRAM
MINOR/MAJOR APPLICATION/PROJECT CHANGES

Major Changes:

Requiring Commission Action

- Schedule changes that impact project delivery by more than one FY.
- Additional change in FY for allocation requests where ultimate project completion is unchanged.
- Project cost increase greater than 20% including increase between project phases.
- Increase in TCRP funding for an approved project phase by more than $1,000,000 or greater than 20% of the originally approved amount.
- Change in project scope where the project is not consistent with the original purpose and need as approved in the project application and as defined in legislation.
- Project scope requiring additional funding not already committed.
- Implementing agency fails to request an allocation or seek an application amendment in FY approved.
- Change in implementing agency.
- Alternative project proposed.

Minor Changes:

Administrative Changes - Commission and Department Staff Delegated Approval

- Project schedule changes within the same fiscal year (FY) that do not impact final project delivery or program year for future allocation requests.
- FY changes in project milestone delivery that do not impact or change later allocation dates or ultimate project completion.
- Cost/funding changes such as changing the distribution of TCRP funds between project phases with no net change in funding for Phase 1 and 2, and using savings from Phase 1 in Phase 2.
- Minor project changes that are consistent with the original project scope, purpose and need in the approved project application.

Commission and Department Staff Delegated Approval/Agenda Informational Items

- One time FY change for allocation requests where ultimate project completion is unchanged. Any future changes in FY would be categorized as a major change and would require Commission approval.
- Schedule change that would delay ultimate project delivery by one FY.
- Increase in TCRP funding for an approved project phase by no more than $1,000,000 or 20% of the originally approved amount.
- Change in proposed project funding other than TCRP.
- Cost savings at project completion.
- Minor project change that is consistent with original project scope, purpose and need in the approved project application.

TCRP - MINOR/MAJOR CHANGE

	Administrative Change: CT/CTC Staff Approval	CT/CTC Staff Approval. Informational item to CTC at next mtg.	Application Amendment: CTC Action Required	Alternative Project Application: CTC Action Required
MAJOR CHANGE:				
Schedule				
1. Project schedule change from approved application. Schedule change impacts delivery of final project by more than one FY.			X	
2. Project schedule change from approved application. FY change for allocation requests. Ultimate project completion remains in scheduled FY. After first administratively-approved request, all subsequent requests for the same project will require CTC approval.			X	
Cost/Funding				
1. Project cost increase > 20%. Change in use of TCRF from approved application, i.e., changing the distribution of TCRF between project phases. Any change in TCRF for particular phase by more than 20%. Requires additional funding commitment from appropriate agency.			X	
2. Preserve realized TCRF savings for use in subsequent project phase with change greater than $1,000,000 or 20% of approved cost, whichever is greater.			X	
Scope				
1. Change in scope where the resulting project is not consistent with purpose and need as approved in application and as defined in legislation.			X	
2. Change in project scope that requires additional funding not already committed (may or may not be consistent with purpose and need). Also requires concurrence from funding agency.			X	
Expenditure of Funds				
1. Implementing agency fails to request allocation or seek application amendment in FY approved for allocation (voids application approval).			X	

CTC LIAISON
BINDER COPY
DO NOT REMOVE

	Administrative Change: CT/CTC Staff Approval	CT/CTC Staff Approval. Informational item to CTC at next mtg.	Application Amendment: CTC Action Required	Alternative Project Application: CTC Action Required
Implementing Agency				
1. Change in implementing agency.			X	
Alternative or Substitute Project				
1. Alternative project proposal if original project cannot be delivered and meets criteria outlined in statute and guidelines.				X
MINOR CHANGE:				
Schedule				
1. Project schedule change from approved application. No FY changes (delivery or program year for future allocation requests). Meets intent of legislation that application serves to "program" TCRF funds by fiscal year.	X			
2. Project schedule change from approved application. FY change in milestone delivery, but does not impact or change later allocation request dates (within FY) or ultimate project completion.	X			
3. Project schedule change from approved application. FY change for allocation request. Ultimate project completion remains in scheduled FY. FIRST TIME ONLY. Similar FY change requests for the same project will require CTC approval.	X	X		
4. Project schedule change from approved application. Schedule change impacts delivery of final project by one FY.	X	X		
Cost/Funding				
1. Change in use of TCRF from approved application, i.e., changing the distribution of TCRF between project phases covered by the approved application. Shift funds between Phases 1 and 2. No net change in total funding for Phase 1 and 2 combined. Includes using savings from Phase 1 in Phase 2.	X			
2. Change in use of TCRF from approved application, i.e., changing the distribution of TCRF between project phases covered by the approved application. Increase TCRF funding for a particular phase by no more than $1,000,000 or 20% of originally approved amount, whichever is greater. No net project increase. Increase taken from another project phase and does not require additional funding to fully fund project. Includes using savings from early project phase in a later approved phase.	X	X		

CTC LIAISON
BINDER COPY
DO NOT REMOVE

	Administrative Change: CT/CTC Staff Approval	CT/CTC Staff Approval. Informational item to CTC at next mtg.	Application Amendment: CTC Action Required	Alternative Project Application: CTC Action Required
3. Project cost increase < 20%. Change in use of TCRF from approved application, i.e., changing the distribution of TCRF between project phases. Increase TCRF funding for a particular phase by no more than $1,000,000 or 20% of originally approved amount, whichever is greater. Net project increase. Increase taken from another project phase and requires additional funding to fully fund project. Requires additional funding commitment from appropriate agency.	X	X		
4. Change in proposed funding (type) for project for funds other than TCRF.	X	X		
5. Project cost savings at project completion.	X	X		
Scope				
1. Change in scope that is consistent with original project scope, purpose and need in the approved project application. No change to cost, funding, or schedule.	X			
2. Change in scope that is consistent with original project scope, purpose and need in the approved project application. No change to cost or funding. Change in schedule as defined under "Minor Change" - Schedule Changes #1 through #4. Handled pursuant to appropriate "schedule change" process.	X	X		
3. Change in scope that is consistent with original project scope, purpose and need in the approved project application. No change to schedule. Change in cost as defined under "Minor Change" - Cost Changes #1 through #4. Handle pursuant to appropriate "cost change" process.	X	X		
4. Change in project scope that is consistent with original project scope, purpose and need in the approved project application. Change to cost and schedule. Handle through "Minor Change" - Schedule or Cost Changes #1 through #4. Handle pursuant to process which requires highest level of approval.	X	X		
Expenditure of Funds To be handled consistent with corresponding "schedule" change.	X	X		

C T C LIAISON
BINDER COPY
DO NOT REMOVE