



# 6 Project Management

# Project Management

## BASELINE AGREEMENTS

### Baseline Agreements Thresholds and Requirements

- Projects with a total project cost of \$25 million or greater or a total programmed amount of \$10 million or greater
- The process to complete and execute the agreement begins after the environmental document is complete
- If CEQA is complete at the time of project adoption, BAs are due to Caltrans within 4 months
- If CEQA is not complete at the time of project adoption, the BA is due to Caltrans 6 months after CEQA is completed
- [SB 1 Accountability and Transparency Guidelines](#)



# Project Management

## BASELINE AGREEMENTS

### Baseline Agreements Thresholds and Requirements

- If the project funding/costs exceed the BA threshold any time after approval, then a BA is due within 60 days from when the change was identified
- An executed BA is required prior to allocating any phase other than PA&ED or CON-NI
- BAs are executed at CTC meetings



## BASELINE AGREEMENTS

### Baseline Agreement Documentation

- The agreement (must have signature of authorized officer of the applicant/implementing agency)
- Project Programming Request Form (PPR)
- Original Approved Project Application (added to package by HQ)
- Environmental Document (CEQA or NEPA)
- Benefits Form (current and projected user counts are required)

**Length of Process  
(to complete and execute BA)**

**~2 to 3  
months**

To properly complete the package, circulate for Caltrans executive review (District and HQ), and prepare for the CTC agenda.

# Project Management

## PROJECT SCOPE

**"The application is the approved scoping document"**

- Scope of work must be completed as it was written within the original application
- Deviating from the original scope is considered a scope change and must be approved in advance
  - There are a few situations that may be considered as a minor modification, but this also must be approved.



# Project Management

## SCOPE CHANGES

Note: Approved Eligible Scope could be audited!

### SCOPE CHANGE TYPES

1

**Design Modification:**

Still meets the original intent/design.  
Approved by Caltrans HQ

2

**Minor Scope Change:**

Does not impact project benefits.  
Approved by CTC staff

3

**Major Scope Change:**

Impacts project benefits.  
Voted by the Commissioners at a CTC Meeting



# Project Management

## SCOPE CHANGES

### Scope Changes Process:

- Scope change processes can be found in LAPG Chapter 25
- LAPG 25-E includes instructions for Scope Change Request form 25-D
- Discuss with District and HQ PMs before preparing LAPG 25-D – [found here](#)
- Note: Scope change needs to be approved before CON phase allocation



# Project Management

## FUNDING DISTRIBUTION CHANGE REQUEST

### **Funds can be redistributed among project development phases**

- 1
  - Funds cannot be moved out of construction
  - The request cannot be made in the same state fiscal year in which the funds have been programmed
  - The funds cannot be allocated

2 **An agency can only request a Funding Distribution Change once during the life of the project**

3 **Use Exhibit 25-G Request for Funding Distribution Change and Instructions (Form 25-G1)**

4 **Fund Distribution changes are voted by the Commissioners at CTC meetings**



# Project Management

## Project Cost Savings

To move amounts between allocated phases\*

1. The limit is 20% of the smaller programmed amount (ATP Guidelines section 36)
  - From PA/ED to PS&E, no limit
2. The funds and phases are subject to the Timely Use of Funds policy and the funds in both allocated phases need to be active (not expired)
3. A revised finance letter is needed to reflect the change

