



**SB 1  
BASELINE  
AGREEMENTS  
(BA)**

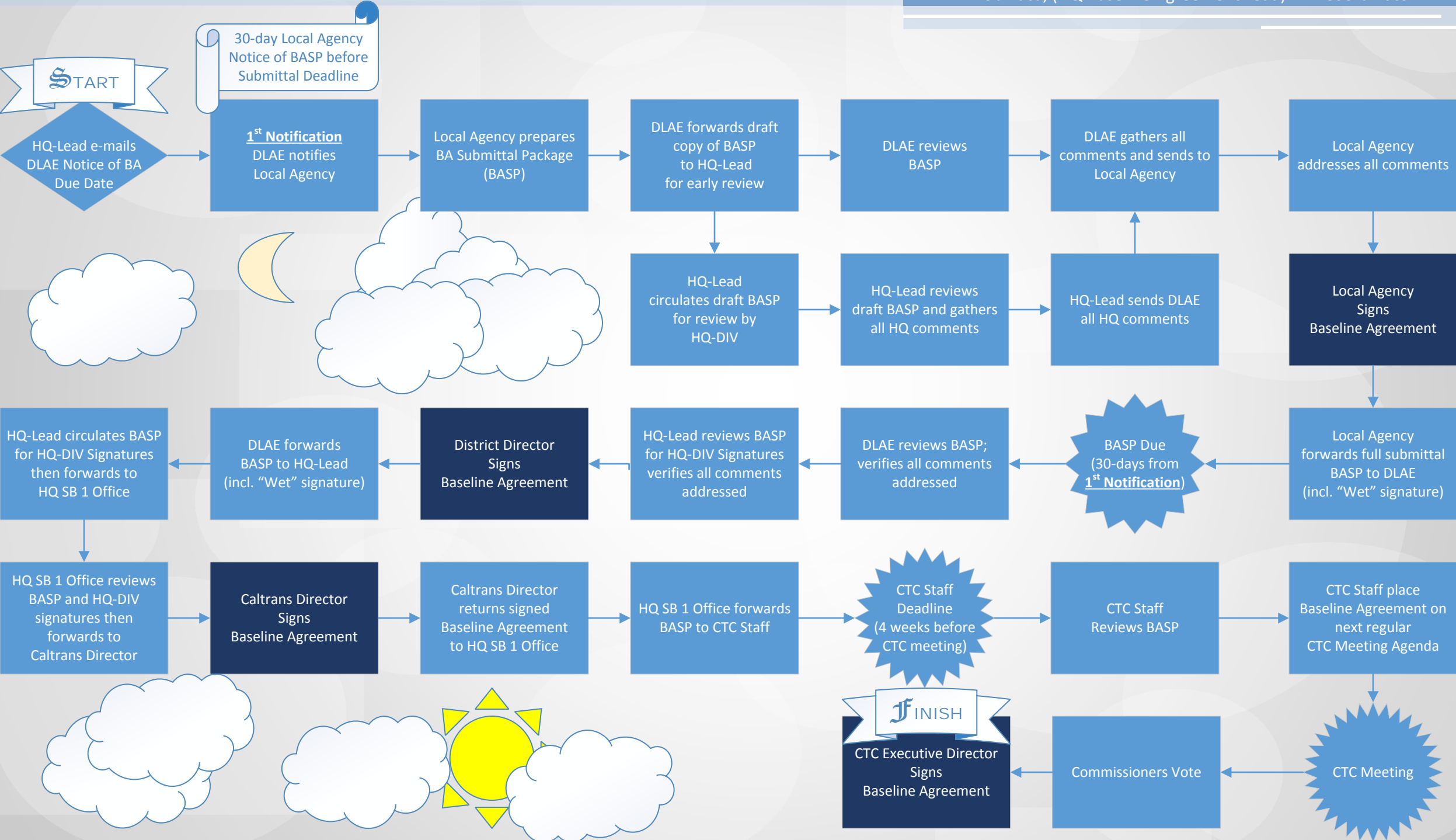
**DRAFT**

1	Approval Process (Flow Chart)
2	Process w/ Partial ENV (Flow Chart & Req'd Submittal Docs)
3	HQ Review Checklist (DLA-OSP)
4	Template (a.k.a. BA Boilerplate)
5	Signature Page (editable Word Doc.)
6	
7	Project Progress Report (for SB 1 Funded Proj. w/ BA)
8	Project Prog. Request (a.k.a. PPR)
9	CTC PSR Guidelines (if ENV ½ done – CEQA, not NEPA)
10	CT PR Template (from CT PDPM Appendix K)
11	HQ Routing Page (for HQ review and signatures )
12	



1





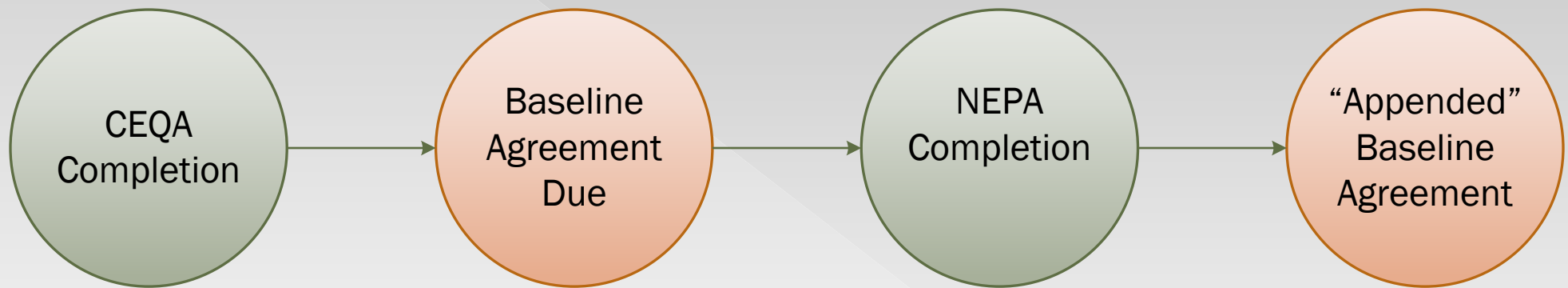


2



# BASELINE AGREEMENT PROCESS

## AN OVERVIEW FOR LOCAL AGENCIES WITH CEQA CLEARANCE BUT PENDING NEPA CLEARANCE



### BA Submittal Requirements

1. Baseline Agreement (with signatures)
2. Project Programming Request Form
3. Draft Project Report, PSR, or PSR equivalent
4. Local Assistance Oversight Addendum
5. Project Progress Report
6. List of Discrepancies with Justification

### "Appended" BA Submittal Requirements

1. Baseline Agreement (new dated signatures; updated)
2. Project Programming Request Form(updated)
3. Final Project Report
4. Local Assistance Oversight Addendum
5. Project Progress Report (updated)
6. List of Discrepancies with Justification (updated)



3



# Baseline Agreement (BA) Review Checklist

## REQUIRED DOCUMENTS

- ☐ Baseline Agreement (based on template)
  - ☐ Signature Sheet (“wet”)
  - ☐ Local Assistance Oversight Addendum (Included as Attachment; referenced in BA)
- ☐ Project Programming Request (PPR)
- ☐ Project Report (☐ PR), Project Study Report (☐ PSR), or ☐ equivalent (\_\_\_\_\_)
- ☐ Project Progress Report for SB1 funded projects w/ Baseline Agreements
- ☐ List of Discrepancies w/ Justification(s)/Explanation(s) (attached separate page; explain any changes in location, scope, schedule, cost and benefits; is a comparison btwn original application and other BA package submittal documents)
- ☐ Original complete CTC Approved App (DLA HQ to add to BA submittal package)
- ☐ Most recent CTIPS printout (DLA HQ to add to BA submittal package)

## REVIEW OF DOCUMENT INFORMATION

### BASILINE AGREEMENT

- ☐ Verify Caltrans isn’t identified as a co-applicant within Baseline Agreement

### SIGNATURE SHEET

- Correctly identified & signed: ☐ ☐ Applicant, ☐ ☐ Implementing, ☐ ☐ District, ☐ ☐ HQ, ☐ ☐ CTC
- ☐ Have signatures from all project sponsors and implementing agencies (for all components)?
- ☐ Project title in the BA (and PPR) must match the project title in the adopted resolution.

### PROJECT PROGRAMMING REQUEST (PPR)

- ☐ Should match CTIPS (not program database), including: ☐ Scope ☐ Political Districts
- ☐ Copy purpose and need from application (restate what is in application)
- ☐ Careful the PPR doesn’t add requirements or commitments (e.g. stick to copying need & purpose from application)
- ☐ Purpose & Need must be consistent between ☐ PPR, ☐ Application, and ☐ PR/PSR
- ☐ Project title in the (BA and) PPR must match the project title in the adopted resolution.
- ☐ List Env Doc type; the PR or link to PR with Env Doc should be included in the submittal package.
- ☐ Project schedule information provided must match the funding years in the application.
- ☐ Take the purpose and need verbatim from the approved project application.
- ☐ Make sure correct units are selected for the outputs (ex. feet versus miles; count all lanes, not centerline, etc.)
- ☐ Project Benefits must be consistent with Application Project Benefits.
  - ☐ All benefits listed, either using the output / outcome dropdown menus or written out on p. 2 of the PPR.
  - ☐ Must include in Benefits Bike/Ped Improvements, if listed in project scope in approved Application.

# Baseline Agreement (BA) Review Checklist

## PROJECT PROGRAMMING REQUEST (PPR) –CONTINUED–

- ☐ Outputs and Outcomes are complete, consistent with, & in the approved project Application (ex. throughput, velocity, reliability, safety, congestion reduction/mitigation, bottleneck relief, multi-modal strategy, etc.)
- ☐ Check distance of lane miles improved against the PPR project limits; make sure the distances make sense.
- ☐ Verify the count of improvements like intersection & interchanges match with PPR scope of work under project description.
- ☐ Check to see if Reversible lane analysis was done for a project:
  - If not performed, why? ☐ initially programmed aft. Jan 1, 2017, ☐ Env. was completed bef. Jan 1, 2017
  - ☐ Project doesn't add any lanes, ☐ Other reason: \_\_\_\_\_.
- ☐ If project benefits include Green House Gas (GHG) reduction, results from the analysis showing reduction in different gases should be included in the project benefits, and the GHG reduction box should be checked in the PPR.
- ☐ If claiming Sustainable Community Strategy Goals, all project components must support this goal.

## PR, DRAFT PR, PSR, OR EQUIVALENT

The following discussed and consistent with the other submittal documents:

- |                                  |                                |                                    |
|----------------------------------|--------------------------------|------------------------------------|
| <input type="checkbox"/> Purpose | <input type="checkbox"/> Cost  | <input type="checkbox"/> Estimate  |
| <input type="checkbox"/> Need    | <input type="checkbox"/> Scope | <input type="checkbox"/> Env. Doc. |
- ☐ Copy purpose and need from application (or may accurately restate what is in the approved project application)
  - ☐ Purpose & Need must be consistent with approved application and Project Progress Report. May copy purpose and need from application or restate what is in application.
  - ☐ List Env Doc type; the PR or link to PR with Env Doc should be included in the submittal package.
  - ☐ Project schedule information provided in approved application should match the funding years and the application. Project milestone dates changing significantly need to be highlighted, and communicated to the CTC.
  - ☐ May take the purpose and need verbatim, from the application.
  - ☐ Make sure correct units are selected for the outputs (ex. Feet versus miles; count all lanes, not centerline, etc.)

## PROJECT PROGRESS REPORT

- ☐ Purpose & Need must be consistent with approved application and PPR, and PR (or draft PR, PSR, or PSR Equivalent). May copy purpose and need from application or restate what is in application.
- ☐ Project schedule information provided must match the funding years and the application. Project milestone dates that have significantly changed need to be highlighted and communicated to the CTC.
- ☐ Check PPR Assembly, Senate, and Congressional districts match CTIPS.
- ☐ Purpose & Need must be consistent with approved application and PR (or DRAFT PR, PSR, OR EQUIVALENT). May copy purpose and need from application or restate what is in application.
- ☐ Make sure correct units are selected for the outputs (ex. Feet versus miles; count all lanes, not centerline, etc.)

# Baseline Agreement Review Checklist

## LIST OF DISCREPANCIES

☐ This list should compare the approved project application **with**

☐ BA

☐ PPR

☐ (PR, draft PR, PSR, PSR equivalent: \_\_\_\_\_ )

...and include any, and all, changes in:

☐ Scope ☐ Cost ☐ Schedule ☐ Benefits ☐ Outputs & Outcomes ☐ Purpose & Need ☐ Location

Note: For any changes to the above elements, CTC staff may need to be notified, and changes may require separate CTC approval.

## INVESTMENT ANALYSIS (TCEP ONLY)

☐ For TCEP projects, the summary results of “Investment Analysis” need to be included in the PR (or draft PR, PSR, or PSR equivalent: \_\_\_\_\_), either as a bullet list, or cut and pasted to the benefits table from the analysis.

## GENERAL

- Avoid discrepancies between the Baseline Agreement Submittal Documentation and the original CTC approved application; variances from the original application must be explained/justified
- Information in Baseline Agreement submittal package documents should be consistent with approved application or pointed out and explained on the separately attached “List of Discrepancies.”
- Avoid providing multiple project timelines.
- Make sure any changes to the project are clearly stated and explained (ex. on I “List of Discrepancies”)
- As stated previously, any changes to the scope, cost, schedule, benefits, outputs, outcomes, purpose& need, and/or location may require separate CTC approval; and notice to CTC staff.
- For some projects, the number count for some project improvements, stated in the scope of work should match among all the BA supporting documents and the approved project application.



4



ROAD REPAIR AND ACCOUNTABILITY ACT OF 2017  
PROJECT BASELINE AGREEMENT

Resolution \_\_\_\_\_  
(will be completed by CTC)

**1. FUNDING PROGRAM**

- ☐ Active Transportation Program
- ☐ Local Partnership Program (Competitive)
- ☐ Solutions for Congested Corridors Program
- ☐ State Highway Operation and Protection Program
- ☐ Trade Corridor Enhancement Program

**2. PARTIES AND DATE**

- 2.1 This Project Baseline Agreement (Agreement) for the ,  
effective on, \_\_\_\_\_ (will be completed by CTC), is made by and between the California Transportation  
Commission (Commission), the California Department of Transportation (Caltrans), the Project Applicant,  
*Project Applicant Name* , and the Implementing Agency,  
*Implementing Agency Name* , sometimes collectively referred to as the "Parties".

**3. RECITAL**

- 3.2 Whereas at its *Commission Programmed Project Date* meeting the Commission approved the and included in this program of projects  
the , the parties are entering into this Project Baseline Agreement to document the project cost, schedule, scope and benefits, as detailed  
on the Project Programming Request Form attached hereto as Exhibit A and the Project Report attached hereto as Exhibit B, as the  
baseline for project monitoring by the Commission.
- 3.3 The undersigned Project Applicant certifies that the funding sources cited are committed and expected to be available; the estimated costs  
represent full project funding; and the scope and description of benefits is the best estimate possible.

**4. GENERAL PROVISIONS**

The Project Applicant, Implementing Agency, and Caltrans agree to abide by the following provisions:

- 4.1 To meet the requirements of the Road Repair and Accountability Act of 2017 (Senate Bill [SB] 1, Chapter 5, Statutes of 2017) which  
provides the first significant, stable, and on-going increase in state transportation funding in more than two decades.
- 4.2 To adhere, as applicable, to the provisions of the Commission:
- ☐ Resolution *Insert Number* , "Adoption of Program of Projects for the Active Transportation Program",  
dated
- ☐ Resolution *Insert Number* , "Adoption of Program of Projects for the Local Partnership Program",  
dated
- ☐ Resolution *Insert Number* , "Adoption of Program of Projects for the Solutions for Congested Corridors Program",  
dated
- ☐ Resolution *Insert Number* , "Adoption of Program of Projects for the State Highway Operation and Protection Program",  
dated
- ☐ Resolution *Insert Number* , "Adoption of Program of Projects for the Trade Corridor Enhancement Program",  
dated

- 4.3 All signatories agree to adhere to the Commission's Guidelines. Any conflict between the programs will be resolved at the discretion of the Commission.
- 4.4 All signatories agree to adhere to the Commission's SB 1 Accountability and Transparency Guidelines and policies, and program and project amendment processes.
- 4.5 The *Agency(s) Name* agrees to secure funds for any additional costs of the project.
- 4.6 The *Agency(s) Name* agrees to report to Caltrans on a quarterly basis; after July 2019, reports will be on a semi-annual basis on the progress made toward the implementation of the project, including scope, cost, schedule, outcomes, and anticipated benefits.
- 4.7 Caltrans agrees to prepare program progress reports on a quarterly basis; after July 2019, reports will be on a semi-annual basis and include information appropriate to assess the current state of the overall program and the current status of each project identified in the program report.
- 4.8 The *Agency(s) Name* agrees to submit a timely Completion Report and Final Delivery Report as specified in the Commission's SB 1 Accountability and Transparency Guidelines.
- 4.9 All signatories agree to maintain and make available to the Commission and/or its designated representative, all work related documents, including without limitation engineering, financial and other data, and methodologies and assumptions used in the determination of project benefits during the course of the project, and retain those records for four years from the date of the final closeout of the project. Financial records will be maintained in accordance with Generally Accepted Accounting Principles.
- 4.10 The Transportation Inspector General of the Independent Office of Audits and Investigations has the right to audit the project records, including technical and financial data, of the Department of Transportation, the Project Applicant, the Implementing Agency, and any consultant or sub-consultants at any time during the course of the project and for four years from the date of the final closeout of the project, therefore all project records shall be maintained and made available at the time of request. Audits will be conducted in accordance with Generally Accepted Government Auditing Standards.

## **5. SPECIFIC PROVISIONS AND CONDITIONS**

- 5.1 Project Schedule and Cost  
See Project Programming Request Form, attached as Exhibit A.
- 5.2 Project Scope  
See Project Report or equivalent, attached as Exhibit B. At a minimum, the attachment shall include the cover page, evidence of approval, executive summary, and a link to or electronic copy of the full document.
- 5.3 Other Project Specific Provisions and Conditions

### **Attachments:**

Exhibit A: Project Programming Request Form  
Exhibit B: Project Report

SIGNATURE PAGE  
TO  
PROJECT BASELINE AGREEMENT

Resolution \_\_\_\_\_

\_\_\_\_\_  
Date

Project Applicant

\_\_\_\_\_  
Date

Implementing Agency

\_\_\_\_\_  
Date

District Director

California Department of Transportation

\_\_\_\_\_  
Date

Director

California Department of Transportation

\_\_\_\_\_  
Date

Executive Director

California Transportation Commission



5



## STATE OF CALIFORNIA - CALIFORNIA TRANSPORTATION COMMISSION

CTC-0001 (New 05/2018)

SIGNATURE PAGE  
TO  
PROJECT BASELINE AGREEMENT

[Insert Project Name]

Resolution \_\_\_\_\_  
(will be completed by CTC)

\_\_\_\_\_  
Name Date  
Title  
Project Applicant

\_\_\_\_\_  
Name Date  
Title  
Implementing Agency

\_\_\_\_\_  
Date  
District 3 Director  
California State Department of Transportation

\_\_\_\_\_  
Date  
Laurie Berman  
Director  
California State Department of Transportation

\_\_\_\_\_  
Date  
Susan Bransen  
Executive Director  
California Transportation Commission



6

No Attachment 6



7



STATE OF CALIFORNIA CALIFORNIA TRANSPORTATION COMMISSION PROJECT PROGRESS REPORT – SB1 ACCOUNTABILITY AND TRANSPARENCY (Rev. date 8/14/2018)	<b>SB 1 Funded Projects</b> Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov
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*California Transportation Commission (Commission) SB1 Accountability and Transparency Guidelines Resolution GSIB-G-0708-01. As required by the Guidelines and the project baseline agreement, the implementing agency must submit regular and timely reports on the activities and progress made toward implementation of the project, including but not limited to, the current cost, schedule, scope, and expected benefits as compared to the cost, schedule, scope, and expected benefits approved under the baseline agreement.*

GENERAL PROJECT INFORMATION											
<b>Period of Reporting:</b>		Begin Date:		(mm/dd/yyyy)		End Date:		(mm/dd/yyyy)			
Applicant / Nominating Agency:								LoCode:	0000		
Applicant / Nominating Agency:								LoCode:	0000		
Applicant / Nominating Agency:								LoCode:	0000		
Project Contact:						Email:				Phone:	
Project Title:											
Implementing Agency:		PA&ED									
		PS&E									
		R/W									
		CON									
District:		EA:		PPNO:		EFIS					
County	Route:	PM Bk:	PM Ahd:	County	Route:	PM Bk:	PM Ahd:	County	Route:	PM Bk:	PM Ahd:

APPROVED PROJECT DESCRIPTION											

APPROVED PROJECT SCOPE											

APPROVED PROJECT BENEFITS (include Outputs and Outcomes on next page)											

PROJECT BASELINE AGREEMENT / ENVIRONMENTAL DOCUMENT (mm/dd/yyyy)											
<b>Baseline Agreement</b>		<b>Environmental Document:</b> (select from dropdown)						Planned Completion Date	% Complete	Actual Completion Date	
<input type="checkbox"/> Not Required		CEQA:		#N/A							
Approval Date:		NEPA:		#N/A							

PROJECT MILESTONES (mm/dd/yyyy)											
Phase	Approved Completion Schedule	Planned Completion Date	% Complete (Last Period)	% Complete (This Period)	Actual Completion Date	Contract Award Date	Approved Extensions (in months)			Completion Report Submittal Date	Final Delivery Report Submittal Date
							Contract Award	Allocation of Funds	Expenditure/Completion		
PA&ED											
PS&E											
R/W											
CON											

PROJECT FUNDING (\$1,000s)											
Phase	Approved Project Funding	SB-1 Program Funding						Other Funding (State)	Other Funding (Federal)	Other Funding (Local)	
		SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP				
PA&ED											
PS&E											
R/W											
CON											
TOTAL	0	0	0	0	0	0	0	0	0	0	0

STATE OF CALIFORNIA CALIFORNIA TRANSPORTATION COMMISSION PROJECT PROGRESS REPORT – SB1 ACCOUNTABILITY AND TRANSPARENCY (Rev. date 8/14/2018)						<b>SB 1 Funded Projects</b> Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov							
<i>California Transportation Commission (Commission) SB1 Accountability and Transparency Guidelines Resolution GSIB-G-0708-01. As required by the Guidelines and the project baseline agreement, the implementing agency must submit regular and timely reports on the activities and progress made toward implementation of the project, including but not limited to, the current cost, schedule, scope, and expected benefits as compared to the cost, schedule, scope, and expected benefits approved under the baseline agreement.</i>													
<b>GENERAL PROJECT INFORMATION</b>													
<b>Period of Reporting:</b>		Begin Date:		(mm/dd/yyyy)		End Date:		(mm/dd/yyyy)					
Applicant / Nominating Agency:								LoCode:		0000			
Applicant / Nominating Agency:								LoCode:		0000			
Applicant / Nominating Agency:								LoCode:		0000			
Project Contact:						Email:						Phone:	
Project Title:													
<b>PROJECT EXPENDITURES (\$1,000s)</b>													
Phase	<b>SB-1 Program Funding Expenditure</b>						Other Expenditure (State)	Other Expenditure (Federal)	Other Expenditure (Local)	Total Expenditure (all funds)	Planned Expenditure @ Completion		
	SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP							
PA&ED										0			
PS&E										0			
R/W										0			
CON										0			
<b>TOTAL</b>	0	0	0	0	0	0	0	0	0	0	0		
<b>PROJECT OUTPUTS / OUTCOMES</b>													
Outputs/Outcomes				Unit		Outputs/Outcomes				Unit			
<b>SUMMARY OF PROJECT STATUS</b>													
Briefly describe the activities and progress made toward implementation of the project:													
Expected accomplishments/ milestone next period:													
<i>Is there a change in the project cost, schedule, scope, and/or expected benefits? If so, provide a summary describing the reason for the change AND attach a new Project Programming Request (PPR) form with the changes highlighted and describe below the corrective action plan, if necessary, to manage any risk to the implementation of the project as programmed.</i>													
<b>CORRECTIVE ACTION PLAN</b>													
*If no change from the last Progress Report, indicate "No Change".													
*Cost:													
*Schedule:													
*Scope:													
*Expected Benefits:													
Does the Corrective Action Plan require a time extension? If so, when do you anticipate submitting the request? <div style="display: flex; justify-content: space-between; align-items: center;"> <span><input type="radio"/> YES      <input type="radio"/> NO</span> <span><input style="width: 100px; border: 1px solid black;" type="text"/> (mm/dd/yyyy)</span> </div>													
Does the Corrective Action Plan require a Project Amendment? If so, when do you anticipate submitting the request? <div style="display: flex; justify-content: space-between; align-items: center;"> <span><input type="radio"/> YES      <input type="radio"/> NO</span> <span><input style="width: 100px; border: 1px solid black;" type="text"/> (mm/dd/yyyy)</span> </div>													
<i>I certify that the information contained in the report is correct and consistent with the CTC SB-1 Accountability Guidelines and the project application or approved Baseline Agreement for the project</i>													
PREPARED BY:						DATE:			PHONE:				
Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: <b>sb1.progress.reports@dot.ca.gov</b>													

**ACTIVE TRANSPORTATION PROGRAM PROJECT PROGRESS REPORT**

LAPG 22-S (REV 08/2018)

Page 1 of 4

GENERAL PROJECT INFORMATION						
Date:	Report Number:		Status is Unchanged <input type="checkbox"/>		Project Type:	
<b>Period of Reporting</b>		Begin Date:		End Date:		
District:	Implementing Agency:					
Federal Project Number:			Cycle:	PPNO Number:		
Project Title:						
Project Funding Type:		State Only Funded <input type="checkbox"/>	Federally Funded <input type="checkbox"/>	State & Federally Funded <input type="checkbox"/>		
Approved Application Project Description						
BASELINE AGREEMENT						
Does/Did this project require a baseline agreement?				Execution Date:		
<i>If not executed, provide status:</i>						
CONTACT INFORMATION						
Reporting Contact Name:			Contact Email:		Contact Phone:	
PROJECT SCOPE						
Approved Application Project Scope						
Have there been any changes to the approved application scope?				If yes, provide Approval Date:		
<i>If yes, describe all approved scope changes below:</i>						
PROJECT COSTS (1,000s)						
Component	Estimated Cost (per approved application)			Current Costs (as of report date)		
	Total Phase Cost	Programmed ATP Funding	% ATP Funding	Total Phase Cost	Current ATP Expenditures	% ATP Funds
PA&ED						
PS&E						
R/W						
CON						
CON-NI						
Total	\$0	\$0		\$0	\$0	
<i>Include any project costs comments below:</i>						

**ADA Notice**

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**ACTIVE TRANSPORTATION PROGRAM PROJECT PROGRESS REPORT**

LAPG 22-S (REV 08/2018)

Page 2 of 4

GENERAL PROJECT INFORMATION						
Date:	Report Number:		Status is Unchanged <input type="checkbox"/>		Project Type:	
<b>Period of Reporting</b>		Begin Date:		End Date:		
District:	Implementing Agency:					
Federal Project Number:			Cycle:	PPNO Number:		
Project Title:						
Project Funding Type:    State Only Funded <input type="checkbox"/> Federally Funded <input type="checkbox"/> State & Federally Funded <input type="checkbox"/>						
PROJECT SCHEDULE						
Milestone Dates	Proposed Date of Completion (per Approved Application)		Current Estimated or Actual Date of Completion		Estimated % Complete	
Environmental Document Date (NEPA and/or CEQA)	NEPA	CEQA	NEPA	CEQA	NEPA	CEQA
Final PS&E						
Right of Way Certification Date						
Construction Award Date						
Contract Acceptance/Project Completion						

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**ACTIVE TRANSPORTATION PROGRAM PROJECT PROGRESS REPORT**

LAPG 22-S (REV 08/2018)

Page 3 of 4

GENERAL PROJECT INFORMATION							
Date:		Report Number:		Status is Unchanged <input type="checkbox"/>		Project Type:	
<b>Period of Reporting</b>		Begin Date:		End Date:			
District:		Implementing Agency:					
Federal Project Number:			Cycle:		PPNO Number:		
Project Title:							
Project Funding Type:		State Only Funded <input type="checkbox"/>		Federally Funded <input type="checkbox"/>		State & Federally Funded <input type="checkbox"/>	
Timely Use of Funds							
Component	Approved Application Allocation Date	Approved Application Allocation Deadline	Length of Time Extension in Months (if applicable)	Actual Allocation Date	E-76 Approval Date (federally funded projects only)	Expenditure Deadline	Actual Expenditure Completion Date
E&P (PA&ED)							
PS&E							
R/W							
CON							
CON-NI							
CON Sub-Components	Contract Award Deadline		Actual Contract Award Date				
CON							
CON-NI							
Include any schedule comments below:							
PROJECT COUNTS							
<b>Before Counts</b>				Describe the methodology used for each before count type:			
Count Type	Count	Begin Date	End Date				
Bicycle							
Pedestrian							
INFRASTRUCTURE PROJECT DELIVERABLES							
Please provide a narrative of progress:							
NON-INFRASTRUCTURE PROJECT DELIVERABLES							
Completion Percentage:							
Please provide a narrative of progress:							
Attach sign in sheets and preferably pictures to show some progress and success stories:							

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## Page 4 of 4

GENERAL PROJECT INFORMATION			
Date:	Report Number:	Status is Unchanged <input type="checkbox"/>	Project Type:
<b>Period of Reporting</b>	Begin Date:	End Date:	
District:	Implementing Agency:		
Federal Project Number:	Cycle:	PPNO Number:	
Project Title:			
Project Funding Type:	State Only Funded <input type="checkbox"/>	Federally Funded <input type="checkbox"/>	State & Federally Funded <input type="checkbox"/>
PLAN PROJECT DELIVERABLES			
<i>Please provide a narrative of progress:</i>			
GENERAL PROJECT COMMENTS			
<i>Use this space to include any issues or concerns regarding the project:</i>			
GREENHOUSE GAS REDUCTION FUNDING BENEFITS			
ATP projects programmed using funds from the Greenhouse Gas Reduction Fund must report on the status and outcomes of projects per CARB's reporting guidance available at: <a href="http://www.arb.ca.gov/ccifundingguidelines">http://www.arb.ca.gov/ccifundingguidelines</a> .			

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8



# **Project Programming Request Instructions**

**(Programming Fact & Funding sheets  
For Programming new and amending existing  
STIP, SB 1 ie. (TCEP), (SCCP), (LPP) and Prop 1B Bond Projects)**

**Caltrans  
Transportation Programming**

## Project Programming Request Instructions

### **GENERAL INSTRUCTIONS**

The California Transportation Commission (CTC) State Transportation Improvement Program (STIP) Guidelines requires a Project Programming Request (PPR) be prepared whenever a project is added to the STIP, or whenever there is a proposed change to a project in conjunction with an Amendment request. The PPR provides the information necessary to properly program or amend a project in the STIP in accordance with State statutes and CTC policies. PPR's are prepared by the Project Sponsor or implementing agency, with assistance from the Regional Transportation Planning Agency (RTPA), Metropolitan Planning Organization (MPO), Caltrans District Office or Headquarters (HQ) Transportation Programming, as appropriate.

In addition to STIP funded projects, PPR forms are to be used for projects with Corridor Mobility Improvement Account (CMIA), State Route 99 Bond, Trade Corridor Improvement Fund (TCIF), and/or Senate Bill (SB1) funded programs.

The CTC STIP, Bond and SB1 Guidelines are located on the Office of Capital Improvement Programming (OCIP) website at the following link: <http://www.dot.ca.gov/hq/transprog/ocip.htm>

### **PROJECT INFORMATION FORM**

#### **New project**

For new projects to be programmed in the upcoming STIP cycle, the PPR template is located under the STIP Resources Page sub-heading "Guidelines & Resources"

#### **Amendment (Existing Project)**

To amend an existing programmed project, a PPR can be generated directly from CTIPS. This process will automatically populate the PPR with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to (CTIPS Account Administrator) under the CTIPS Contact page at the following link: <http://www.dot.ca.gov/hq/transprog/newctips.html>

#### **Date**

Date the PPR was last updated (in mm/dd/yy format). This field is automatically changed every time the file is saved.

#### **District**

"District" is the Caltrans district in which the project is located.

#### **EA**

"Expenditure Authorization (EA)" is a unique, 5-digit number assigned by Caltrans.

#### **Project ID**

"Project ID" is a unique 10-digit number assigned by Caltrans.

#### **PPNO**

"PPNO" is an identification number assigned by Caltrans District offices for all STIP and Bond and SB1 projects. Caltrans HQ Transportation Programming assigns PPNOs for intercity Rail projects administered by the Caltrans Intercity Rail Program and programmed through the Interregional Transportation Improvement Program (ITIP). All projects voted by the CTC require a PPNO.

#### **Alternate Project ID**

Select the main funding program and add associated project identification number if different from PPNO.

**County**

"County" is the 3-character County abbreviation for the county in which the project is located. If the project is located in more than one county, input other counties on rows below. If the project is located in more than three counties, select "VAR".

**Route/Corridor**

"Route/Corridor" is the State Highway or intercity rail corridor on which the project is located. If the project is located on more than one route, input other routes on rows below. If the project is on more than three route, input "VAR".

**PM Back and PM Ahead**

"PM Back" is the Post Mile (PM) location, including prefix, on the State Highway or Intercity Rail line for the beginning project limits. "PM Ahead" is the Post Mile (PM) location, including prefix, on the State Highway or Intercity Rail Line for the ending project limits. If the project is located at various locations along a route, input "VAR".

**Project Sponsor/Lead Agency (Applicant)**

"Project Sponsor/Lead Agency" is the primary supporter for the project, and is usually, but not necessarily, Caltrans, the RTPA or MPO.

**MPO**

Metropolitan Planning Organization for project, if applicable.

**Element**

Capital Outlay (all on-system projects), Local Assistance, Mass Transit, and Rail (Intercity Rail), are the appropriate designations based on the type of project.

**Project Title**

"Project Title" is a concise statement of the Project Description.

**Project Manager/Contact, Phone & E-mail**

The "Project Manager" section identifies the individual responsible for delivering the project within cost, scope and schedule.

**Location, Project Limits, Description, Scope of Work**

The "***Location and Project Limits***" is a brief description of the project location. The location should start with a listing of the cities or communities in which the project is located followed by the cross streets or other distinguishing features that identify the beginning and ending project limits as appropriate. Long-distance Rail projects should include a listing of the counties in which the project is located followed by the cities or communities or other distinguishing features that identify the beginning and ending project limits. For rural projects, the nearest community should be identified along with the beginning and ending limits.

Project description should be in the following format (the underlined text represents variables):

- "*In (or Near) city or town, on road, from start location to end location. Construct (or Install) item of work."*
- If the city has the same name as a county (such as Fresno, Sacramento, Los Angeles, etc.), say "In the city of city".
- Don't mention the route if the road is a state highway.

The ***Description and Scope of Work*** is a brief description of the elements of work. Generally the description should be two lines or less, but more complex projects, with several different activities, may require more. A more detailed list of the scope will be included in the Outputs/Outcomes section. If additional space is needed, continue the location, project limits, description and scope of work on page 2.

**Implementing Agency**

“Implementing Agency” is the recipient of the funds allocated by the Commission and the agency responsible for delivering the project within cost, scope and schedule.

The identification of the Implementing Agency determines how project components are programmed, and therefore must be properly identified. Whenever Caltrans is identified as the Implementing Agency, Right of Way Support and Construction Support will be programmed separately from Right of Way Capital and Construction Capital. For Implementing Agencies other than Caltrans, Right of Way Support and Construction Support are programmed together with the Right of Way Capital and Construction Capital components.

**Assembly, Senate and Congressional Districts**

This information must be included at time of programming.

**Project Benefits**

Describe the expected project benefits not included in the **Outputs/Outcomes** section of the PPR. For STIP projects, see Section 19 Paragraph D of the STIP guidelines. For SB1 projects see additional SB1 guidance.

**Purpose and Need**

Provide brief purpose and explanation of the need for the project. This section provides an overview of the purpose of the project and helps justify the funding. If additional space is needed, continue the Purpose and Need on page 2.

**Outputs/Outcomes**

Choose a **Category**, ie. Highway Road construction or Local Road and then select the appropriate **Outputs/Outcomes** from the pull down menu. You must then select the **unit** and **quantity** for each. Please add to Page 2 if needed. If the desired Output/Outcome is not listed, you may type it in the blank field as needed.

**Check boxes**

Select (Y) for Yes or (N) for No if the project includes any of the following;

“**ADA Improvements**” Project includes Americans with Disability Act Improvements.

“**Bike and Ped Improvements**” Project includes Bike and or Pedestrian Improvements. See Outputs/Outcomes to quantify

“**Reversible Lane Analysis**” For projects not already programmed and the project qualifies as a capacity-increasing, or a major street or highway lane realignment project, this analysis must be done.

“**Supports Sustainable Communities Strategy (SCS) Goals**” box if the project supports Sustainable Communities Strategy goals as identified in the Regional Transportation Plan in accordance with SB 375. Identify the SCS goals supported by the project on page 2.

“**Reduces Greenhouse Gas Emissions**” box if the project reduces greenhouse gas emissions. Quantify the greenhouse gas reductions in the Project Benefits section or on page 2. If the project includes ADA improvements or bicycle/pedestrian improvements, check the appropriate boxes.

**Project Milestones**

Enter the proposed schedule or actual completion of various project milestones. Any project milestone revision to projects funded with Prop 1B Bond funds must be addressed on the Amendment Information form.

## **PROJECT PROGRAMMING REQUEST**

### **Funding Information**

#### **FUNDING INFORMATION FORM**

##### **General**

The Funding portion of the Project Programming Request provides a detailed view of the proposed or amended project programming. This form distinctly identifies the various sources of funding that may be involved in a project. It delineates the programming breakdown for each funding source, and for each component within the funding source.

Though the PPR is formatted to suit a majority of situations that may arise in nominating/amending projects, PPRs are updated periodically for formatting purposes. Therefore, it is strongly recommended to download a new copy of the PPR every time their use is warranted.

A project receiving funds for a smaller distinct useable segment of an overall larger project displays only the funds contributing to the distinct useable segment. If funds are used in such a manner that the funds are not a distinct useable segment, then funding for the entire overall project must be displayed. Often, funding for larger projects may be split into smaller distinct useable segments or activities for programming and construction/contract award purposes. Caution must be used in displaying the various fund sources for these types of projects so that funding is not double counted when programmed.

Information entered in the proposed funding fields must be numbers only (no alpha characters, and no 'blanks' or 'spaces'). Otherwise the spreadsheet formulas will not function properly, resulting in incorrect programming.

All components proposed for programming **must** be fully funded. Generally the earlier components, such as project development, must be fully funded prior to programming later components such as construction. Future funding needs can be shown under a "Future Need" category.

For additional guidance on programming project components, see "Programming Project Components Sequentially" of the STIP guidelines.

In accordance with the CTC STIP Guidelines, all programmed component amounts must be escalated to the appropriate fiscal year, and rounded to thousands.

##### **Project Development Components**

"Environmental Studies and Permits (E&P)", also referred to as "Project Approval and Environmental Document (PA&ED)", is programmed in the fiscal year during which environmental studies will begin. "Plans Specifications and Estimates (PS&E)" is programmed in the fiscal year during which design will begin. Refer to "Program Year for Cost Components" of the CTC STIP guidelines for further information on programming Project Development components.

##### **Right of Way Components**

"Right of Way (R/W)", including Caltrans "Right of Way Support (R/W SUP)", is programmed in the first fiscal year(s) during which Right of Way acquisition (including utility relocation) contracts will be executed. Refer to "Program Year for Cost Components" of the CTC STIP Guidelines for further information. For Caltrans projects, STIP amendments for R/W Capital and R/W Support are only permitted in conjunction with the Annual Right of Way Plan. Refer to "STIP Amendments" of the CTC STIP Guidelines.

"Right of Way Support (R/W SUP)" is used only for projects implemented by Caltrans. For all other implementing agencies, Right of Way Support costs are included in the Right of Way Capital component.

**Construction Components**

“Construction (CON)”, including Caltrans “Construction Support (CON SUP)”, is programmed in the fiscal year during which the construction allocation will be approved by the CTC. All construction costs that are associated with a single construction contract should be listed in one fiscal year. If a project will have multiple contracts to be advertised in different fiscal years, then the construction costs (including Caltrans support costs) may be programmed in multiple years. In this case, a PPR must be completed for each segment.

“Construction Support (CON SUP)” is used only for projects implemented by Caltrans. For all other implementing agencies, Construction Support costs are included in the Construction Capital component.

**Fiscal Years**

Funding for each component is programmed according to appropriate fiscal year. The cost of each project component will be listed in the STIP no earlier than in the State fiscal year in which the particular project component can be delivered. Since the **2018 STIP** covers the five-year period from **FY 18/19** through **FY 22/23**, STIP funding may only be programmed in this five-year period. Any programming of STIP funds beyond the five-year period of the STIP must remain in the unprogrammed balance for programming in a future STIP cycle. Committed non-STIP funds for years beyond the five-year period of the STIP may be combined together into the **“23/24+”** column. Any additional funds needed, but not yet committed for the project, may also be shown for in the fiscal year **“23/24+”** column.

**Program Code**

Program Codes are used by Caltrans to allow projects to be categorized for program and project tracking purposes. The codes are normally assigned by the Caltrans District Offices and are available at the following locations: Appendix J of the OCIP Desktop procedures manual or by visiting [Chapter 4](http://accounting.onramp.dot.ca.gov/coding-manual-volume-1) of the accounting manual located on their website at; <http://accounting.onramp.dot.ca.gov/coding-manual-volume-1>

**Funding Agency**

The “Funding Agency” is the agency providing the local (non-state) funding contributions to the project.

**Fund Source**

The source of funds contributed to the project (i.e., RIP, IIP, [SB 1- TCEP, SCC, LPP, ATP] , Prop 1B Bond, RSTP, CMAQ, Local Measure, etc.)

**Notes**

The “Notes” field is available to include any pertinent information regarding the funding. For example the fund source may be more fully described, or if funds are being reduced for a particular component, the reason for the reduction should be noted.

## **FUNDING TABLES**

### **EXISTING FUNDING (This is a Protected field)**

The Existing Funding tables are generated directly from CTIPS and display current programming for the project. Any changes to existing funding must be explained using the Amendment form of the PPR.

### **PROPOSED FUNDING (This is an editable field)**

The Proposed Funding tables display the proposed programming of funds for a new project or for a change to an existing project. . The proposed funding is the summation of the existing funds and the increase/decrease that is being requested. For example, if a project has \$100,000 programmed in the current STIP for PS&E in FY 15/16 and \$50,000 is proposed to be added to this component in the same year, the "Existing Funding" column will show \$100,000 for PS&E under 15/16 and the "Proposed RTIP Funds" column will show \$150,000 (sum of the existing \$100,000 and the \$50,000 increase requested) for PS&E under FY 15/16. Funding removed from an existing component is handled in a similar manner. If no change is being proposed to any of the information in the "Existing Funding" table, the information in the "Proposed Funding" table shall be exactly the same as in the "Existing Funding" table.

Please note the requirements of "Full and Partial Funding" in "Programming Project Components Sequentially" of the STIP guidelines.

### **PROPOSED TOTAL PROJECT COST (The contents in this table are calculated automatically)**

The "Proposed Total Project Cost" table at the top of the funding information page provides an overview of the total funding proposed for each component of the project. All the information in this table is calculated automatically by summing up the values in the various fund source tables.

## **AMENDMENT INFORMATION**

### **General**

This form must be completed for STIP, SB1 and Bond Amendment requests. Amendment request submittal requirements are available at the following website:

[http://www.dot.ca.gov/hq/transprog/ocip/stip/amend\\_submission\\_procedures.pdf](http://www.dot.ca.gov/hq/transprog/ocip/stip/amend_submission_procedures.pdf).

An amendment may change the scope, cost, schedule or implementing agency of a project. In general, amendments for STIP, SB1 and Prop 1B Bond projects will be treated the same. However, there are some differences:

- Projects programmed in the STIP require at least 30 days public notice before the Commission will approve an amendment. SB1 and Prop 1B Bond project amendments may be approved at the same CTC meeting presented to the Commission. If a project is programmed using multiple funding sources, including STIP, the amendment request will be handled in the same manner as a STIP amendment.
- The Commission will not amend a project programmed in the STIP to delete or change the program year of the funding for any project component after the beginning of the fiscal year for which it is programmed.
- Amendments to projects programmed under SB1, please see the specific SB1 program guidelines for limitations.

### **Project Background**

Provide detailed background of the project, including project programming and amendment history.

**Programming Change Requested**

Provide a detailed description of the proposed programming action. Enough information should be provided in order to clearly explain the programming change to the Commission.

**Reason for Proposed Change**

Explain need for programming action and why it is needed now.

- For STIP projects, can this programming action wait until the next STIP Cycle?
- For Caltrans implemented projects, attach an approved Program Change Request (PCR).
- For TCRP projects, can this amendment wait until allocation of the component?

**If Proposed change will delay one or more components, clearly explain reason for delay, cost increase related to delay, and how cost increase will be funded**

For STIP projects, an amendment that would delay the year of construction, the agency requesting the amendment should submit a project construction history. It is the Commission's intent to review this history when considering an amendment that would delay the year of construction. See the "Delivery Deadline Extensions" section in the STIP Guidelines for further guidance.

## PROJECT PROGRAMMING REQUEST

DTP-0001 (Revised June, 7 2018 v7.09)

General Instructions

Amendment (Existing Project) Y/N					Date:	8/30/18	
District	EA	Project ID		PPNO	MPO ID		Alt Proj. ID / prg.
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency			
				MPO		Element	
Project Manager/Contact		Phone		E-mail Address			
Project Title							
Location (Project Limits), Description ( Scope of Work)							
Component	Implementing Agency						
PA&ED							
PS&E							
Right of Way							
Construction							
Legislative Districts							
Assembly:		Senate:		Congressional:			
Project Benefits							
Purpose and Need							
Category		Outputs/Outcomes			Unit	Total	
ADA Improvements Y/N		Bike/Ped Improvements Y/N			Reversible Lane analysis Y/N		
Inc. Sustainable Communities Strategy Goals Y/N				Reduces Greenhouse Gas Emissions Y/N			
Project Milestone					Existing	Proposed	
Project Study Report Approved							
Begin Environmental (PA&ED) Phase							
Circulate Draft Environmental Document				Document Type			
Draft Project Report							
End Environmental Phase (PA&ED Milestone)							
Begin Design (PS&E) Phase							
End Design Phase (Ready to List for Advertisement Milestone)							
Begin Right of Way Phase							
End Right of Way Phase (Right of Way Certification Milestone)							
Begin Construction Phase (Contract Award Milestone)							
End Construction Phase (Construction Contract Acceptance Milestone)							
Begin Closeout Phase							
End Closeout Phase (Closeout Report)							

## ADA Notice

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento,

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised June, 7 2018 v7.09)

**Date:** 8/30/18

**Additional Information**

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised June, 7 2018 v7.09)

Date: 8/30/18

District	County	Route	EA	Project ID	PPNO	Alt. ID
		1 1				
<b>Project Title:</b>						

Existing Total Project Cost (\$1,000s)									Implementing Agency
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total	
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Total Project Cost (\$1,000s)									Notes
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total	
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									

Fund No. 1:	Existing Funding (\$1,000s)									Program Code
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total	Funding Agency	
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										
Proposed Funding (\$1,000s)									Notes	
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total		
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										

Fund No. 2:	Existing Funding (\$1,000s)									Program Code
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total	Funding Agency	
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										
Proposed Funding (\$1,000s)									Notes	
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total		
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										



Fund No. 6:									Program Code
Existing Funding (\$1,000s)									
Component	Prior	18-19	19-20	20-21	21-22	22-23	23-24+	Total	Funding Agency
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised June, 7 2018 v7.09)

**Complete this page for amendments only**

Date: 8/30/18

District	County	Route	EA	Project ID	PPNO	Alt. ID

**SECTION 1 - All Projects****Project Background****Programming Change Requested****Reason for Proposed Change**

If proposed change will delay one or more components, clearly explain 1) reason the delay, 2) cost increase related to the delay, and 3) how cost increase will be funded

**Other Significant Information****SECTION 2 - For SB1 Projects Only**

Project Amendment Request (Please follow the individual SB1 program guidelines for specific criteria)

**SECTION 3 - All Projects****Approvals**

I hereby certify that the above information is complete and accurate and all approvals have been obtained for the processing of this amendment request.\*

Name (Print or Type)	Signature	Title	Date

**Attachments**

- 1) Concurrence from Implementing Agency and/or Regional Transportation Planning Agency
- 2) Project Location Map

9



**CALIFORNIA TRANSPORTATION COMMISSION**  
**Adoption of PSR Guidelines**

**Resolution G-99-33**  
Replacing Resolution G-99-30

- 1.1 WHEREAS in accordance with section 65086.5(d) of the Government Code, the California Department of Transportation (Department), in consultation with cities, counties, regional transportation planning agencies, and county transportation commissions, prepared Project Study Report (PSR) Guidelines adopted by the Commission on September 12, 1991, and
- 1.2 WHEREAS the Guidelines require updating because of changes in regulations, policies, and statutes as a result of Senate Bill (SB) 45, and
- 1.3 WHEREAS the Department submitted revised Guidelines to the Commission on July 14, 1999, and
- 1.4 WHEREAS the proposed PSR Guidelines provide the policy, standards, and criteria the Commission expects that agencies will use in the development of PSRs, and
- 1.5 WHEREAS in accordance with section 65086.5(d) of the Government Code, the Commission is required to adopt the PSR Guidelines, and
- 1.6 WHEREAS Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) has been enacted and requires guidelines for an expedited process through which projects may comply with the requirement that a PSR be prepared in order for a project to be considered for programming in the STIP, and
- 1.7 WHEREAS the proposed PSR Guidelines meet the intent of the provisions for an expedited process as required in AB 1012.
- 2.1 NOW THEREFORE BE IT RESOLVED the California Transportation Commission does hereby adopt the PSR Guidelines as proposed, and
- 2.2 BE IT FURTHER RESOLVED the adopted PSR Guidelines shall supersede the PSR Guidelines adopted by the Commission on September 12, 1991.
- 2.3 BE IT FURTHER RESOLVED that Caltrans will report to the Commission on a monthly basis the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the Commission may include, on a future meeting agenda, an item to discuss an appealed PSR.

# **GUIDELINES FOR THE PREPARATION OF PROJECT STUDY REPORTS**

## **I. Introduction**

On September 12, 1991, the California Transportation Commission adopted guidelines for the preparation of Project Study Reports (PSR) pursuant to Chapter 715, Statutes of 1990 (AB 2038). The purpose of the guidelines was to assure a consistent approach in the preparation of PSRs regardless of who prepared the document.

Chapter 622 of the Statutes of 1997 (SB 45, Kopp – STIP Reform) was enacted on January 1, 1998 and has modified programming responsibilities for the State Transportation Improvement Program (STIP). Additionally, Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) was enacted on October 10, 1999 and provides provisions for an expedited process for projects to meet the requirement that a project study report be prepared to be considered for STIP programming. These guidelines have been prepared to be consistent with these legislation and it supersedes the September 12, 1991 guidelines.

## **II. Applicability**

These guidelines shall apply to all projects proposed for STIP programming through the Regional Transportation Improvement Program (RTIP) or the Interregional Transportation Improvement Program (ITIP). Its purpose is to assure a consistent and uniform approach in the preparation of Project Study Reports and project study report equivalents once a decision has been made to prepare this report. The decision to prepare a Project Study Report is a cooperative effort between the Caltrans Districts and their respective regional transportation planning agencies or county transportation commissions.

Additionally, some regional transportation planning agencies or county transportation commissions may use the SB 45 Planning Memorandum of Understanding (MOU) to provide a framework under which the Caltrans Districts and regional transportation planning agencies or county transportation commissions will cooperatively work together and communicate throughout the planning process and through completion of the Project Study Report, while other regional transportation planning agencies or county transportation commissions may already have established ongoing procedures for cooperatively working together in developing Project Study Reports.

### **III. Definition**

Project Study Reports and project study report equivalents are engineering reports whose purpose is to document agreement on the scope, schedule, and estimated cost of a project so that the project can be considered for inclusion in a future programming document such as the STIP. (PSRs are also used by Caltrans for certain project candidates for the State Highway Operation and Protection Program (SHOPP) and the Toll Bridge Program and for certain locally funded projects on the State highway system.)

Project Study Reports are prepared for State highway projects. The format of a PSR and its content are outlined in Caltrans Project Development Procedures Manual. Project study report equivalents are prepared for projects not on the State highway system. A project study report equivalent contains the same information required in a PSR, but need not be in the same format as a PSR.

### **IV. Existing Law**

Under State law (Government Code section 14529(e)), the State Transportation Improvement Program (STIP) is limited to projects submitted or recommended through the Caltrans Interregional Transportation Improvement Program (ITIP) or a region's Regional Transportation Improvement Program (RTIP). The law further provides that neither the ITIP nor and RTIP may include a project without a Project Study Report or project study report equivalent (Government Code sections 14526(b) and 14527(g)).

Chapter 622 of the Statutes of 1997 (SB 45, Kopp) provided the framework to allow environmental and design support components to be programmed in the STIP prior to the programming of right-of-way and construction capital components. Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) has further emphasized the need and use of the PSR (Project Development Support) to facilitate the expeditious programming of projects while meeting the requirements of completing a project study report for STIP programming considerations. These guidelines provide the use of Project Study Reports to program the project development support components. The PSR (Project Development Support) is the appropriate document for programming these support components.

Permanent STIP Guidelines have been adopted by the Commission to assist Caltrans and the regions in the development of the future STIP and to provide further guidance on the implementation of SB 45.

### **V. Preparation and Review**

For projects on the State highway system, it is expected that during the development of a project and the preparation of the Project Study Report, there is open and continuous communication between Caltrans, the sponsoring agency (if applicable), and the regional transportation planning agency/county transportation commission.

Caltrans will work cooperatively with the sponsoring local agency and regional transportation planning agency/county transportation commission to determine the appropriate programming strategy for the project. The Project Study Report (Project Development Support) shall be used to facilitate the programming of support costs to complete the environmental process and/or the design phase of a project.

Caltrans will prepare and approve Project Study Reports on the State highway system or will review and approve Project Study Reports prepared by local agencies for projects proposed on the State highway system pursuant to Government Code section 65086.5(c). By statute, Caltrans is required to review and provide comments within 60 days of the PSR submittal by the local agency. Upon submittal of the revised PSR by the local agency, Caltrans is required to complete its review within 30 days. This process is repeated until the PSR is approved.

For projects not on the State highway system, project study report equivalents will be prepared by the local agency having jurisdiction on the local street or road. Project study report equivalents for these projects do not require review and approval by Caltrans unless the proposed project impacts the State right-of-way or facility. If there is an impact, Caltrans review will only be on the portion of the State right-of-way or facility that is impacted.

## **VI. Approval Authority**

Caltrans or local agencies are responsible for approving projects proposed on State highways or local streets and roads within their respective jurisdictions. Specifically:

1. Caltrans will approve all Project Study Reports for projects on the State highway system.
2. The appropriate city or county will approve all project study report equivalents for projects that are on a local street or road within its respective jurisdiction.

Unless they are the lead agency for a project, regional transportation planning agencies and county transportation commissions do not approve Project Study Reports or project study report equivalents. Regional transportation planning agencies and county transportation commissions may, at their option, retain approval authority for project study report equivalents prepared for projects off the State highway system. However, prior to programming a project in the RTIP, regional transportation planning agencies and county transportation commissions are responsible to verify that a Project Study Report or project study report equivalent has been prepared and that the information contained within is sufficient for programming purposes.

The PSR or project study report equivalent is not required to be submitted with the RTIP or ITIP. However, the Commission or its staff may request copies of a project's report to document the project's cost or deliverability.

## **VII. Executive Review Committee**

An Executive Review Committee will be established in each District to ensure that the project scope, cost, and schedule address transportation needs and provide optimal traffic operations and safety for those who travel and work on the state highway system. Either Caltrans, the sponsoring local agency, or regional transportation planning agency/county transportation commission may request that a project be reviewed by the District Executive Review Committee. The Committee will assess whether the scope, cost and schedule have been adequately identified and addressed in the Project Study Report.

The members of the Committee shall include the District Division Chief for Design, the District Division Chief for Planning, the District Division Chief for Program/Project Management, a regional transportation planning agency/county transportation commission representative, and a local agency representative. The regional transportation planning agency/county transportation commission representative and the local agency representative shall be independent of the proposed project and will be appointed by the District Director. The Executive Review Committee will make a final recommendation to the District Director.

In the event that issues cannot be resolved through this Committee, a final appeal may be made to the Deputy Director for Project Development (Chief Engineer) for final consideration.

Caltrans will report on a monthly basis to the Commission the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the Commission may include, on a future meeting agenda, an item to discuss an appealed PSR.

### **VIII. Intent**

The California Transportation Commission intends that Project Study Reports and project study report equivalents will be prepared to the quality and breadth of examination necessary to define the scope, schedule, and cost estimate of a project. The Commission intends that the process and requirements for PSRs and project study report equivalents be as simple, timely, and workable as practical, given that they must be prepared at the front end of the project development process, before in-depth environmental evaluation and detailed design. They must provide a sound basis for commitment of future state funding and project delivery. A PSR or project study report equivalent also provides a key opportunity to achieve consensus on project scope, schedule, and proposed cost. The Commission also intends that PSRs and project study report equivalents will not forestall or preclude the programming of a project. Use of the Project Study Report (Project Development Support) will enable the programming of the project development support components to allow engineering and environmental studies to proceed to evaluate the merits and feasibility of alternatives before a preferred alternative is selected for the programming of right-of-way and construction capital costs.

### **IX. Report Standards**

The Project Study Report or project study report equivalent shall be prepared under the direction of a California registered Civil Engineer. The document will be stamped and signed as such.

A Caltrans Project Manager will be assigned to every capital outlay project on the State highway system, including projects sponsored by a local agency. The Project Manager is the single focal point for the project, is responsible for obtaining consensus on project scope, cost and schedule, and is responsible for the delivery of a quality project on time and within budget. The Project Manager is responsible for all project development activities from project initiation through closeout of the construction contract. Similarly, for projects not on the State highway system, the responsible local agency will assign a Project Manager or will designate the person most knowledgeable about the project, who shall be responsible for answering all project-related questions from Caltrans or the Commission.

The PSR or project study report equivalent shall include, at a minimum, the following information as appropriate to address the specific project:

- Need and purpose for the project
- Background and project history
- Discussion and analysis of the alternatives (including project costs) that satisfy project need and purpose. The discussion of alternatives should include a Minimum Project Alternative. Project costs shall be summarized in the project components as follows:
  1. Completion of all permits and environmental studies
  2. Preparation of plans, specifications, and estimates
  3. Acquisition of right-of-way
  4. Construction and construction management and engineering, including surveys and inspection

For projects on the State highway system, project component No. 3 and No. 4 shall be further distinguished as follows:

- 3a. Right-of-way capital
  - 3b. Acquisition of right-of-way (support/soft costs)
  - 4a. Construction capital
  - 4b. Construction management and engineering, including surveys and inspection
- System planning, including coordination and consistency with statewide, regional, and local planning
  - Inventory of environmental resources, identification of potential environmental issues and anticipated environmental processing type. Potential mitigation requirements and associated costs should also be identified.
  - Description of potential hazardous materials/waste problems and potential mitigation or avoidance. Associated costs should also be identified.
  - Identification of the potential or proposed sources of funding, project funding eligibility (e.g., "Federal aid eligible"), discussion of proposed implementation, and the tentative delivery schedule of the significant milestones. Significant milestones include:
    - Start Environmental Studies
    - Draft Environmental Document
    - Final Environmental Document
    - Begin Design Engineering
    - Completion of Plans, Specifications, and Estimates
    - Start Right-of-Way Acquisition
    - Right-of-Way Certification
    - Ready to Advertise
    - Start Construction (Contract Award)
    - Project Completion
  - Identification of the potential programming and funding of the project
  - Appropriate supporting attachments (i.e., maps, advance planning studies, cost estimate sheets, etc.)
  - Project Nomination Fact Sheet as described in the STIP Guidelines shall be included as an attachment. Template for this Fact Sheet may be found on the Internet at: <http://www.dot.ca.gov/hq/transprog/stip.htm>.

## **X. Cost Estimates**

The Project Study Report (and equivalent) cost estimate is to be based on preliminary-level engineering, but needs be to the level of detail that, when considering the project for programming, will provide a reasonable approximation of the funding and staff resources that will be needed to deliver the project within the proposed schedule as outlined in the report.

Project costs shall be summarized in the project components identified above in "Report Standards". Although a Project Study Report or project study report equivalent may focus on the project components proposed for programming (i.e., "completion of all permits and environmental studies"), a preliminary cost estimate for all project components must be included in the PSR or PSR equivalent. This will enable the regional transportation planning agencies, county transportation commissions, Caltrans, and the Commission to evaluate future program needs for construction compared to anticipated future program capacity.

In preparing the capital cost estimates, the degree of effort and detail for each study is expected to vary depending on the complexity and sensitivity of the issues. A cost breakdown for each of the major elements (i.e., roadway, structures, utility relocation, right-of-way acquisition, etc.) of the project must be provided. A contingency factor to cover unanticipated items of work or cost increases may be applied. Generally, a factor of 25% is acceptable. However, a higher or lower percentage may be used, if justified. In addition, the accuracy of cost estimates is usually less for PSRs which involve project development support (also known as "PSR (Project Development Support)") than it is for standard PSRs or PSR equivalents.

## **XI. Documents Meeting Report Standards**

Although regional transportation planning agencies and county transportation commissions who are responsible for the programming of projects in the RTIP may, at their option, adopt additional standards, policies and procedures for projects off the State highway system, the use of the following documents meets the above-mentioned report standards:

1. Project Study Report and Project Study Report (Project Development Support) as outlined in Caltrans Project Development Procedures Manual (PDPM). This is the standard for all projects proposed on the State highway system regardless of who prepares the document or is the project sponsor. Caltrans may in the future make changes to the PDPM which are technical in nature. Technical changes to the PDPM which relate to project study reports will be shared with Commission staff. Changes to policy require adoption by the Commission.

For retrofit noise barrier projects, the Noise Barrier Scope Summary Report (NBSSR) outlined in Caltrans Project Development Procedures Manual is an appropriate document.

The Caltrans Project Development Procedures Manual can be found on the Internet at: <http://www.dot.ca.gov/hq/oppd/>.

2. Preliminary Environmental Study (PES) form and the Field Review Form as described in Caltrans Local Assistance Procedures Manual (LAPM). This is the standard for all projects proposed off the State highway system and is equivalent to the Project Study Report. Agencies may also, at their option, adopt Caltrans' Project Study Report for use on projects that are not on the State highway system. Caltrans may in the future make changes to the LAPM which are technical in nature. Technical changes to the LAPM which relate to project study report equivalents will be shared with Commission staff. Changes to policy require adoption by the Commission.

The Caltrans Local Assistance Procedures Manual can be found on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>.

3. Project Study Report (Local Rehabilitation). This document is an appropriate document for pavement rehabilitation projects proposed off the State highway system and can be used by agencies at their option. This PSR format was transmitted to all Regional Transportation Planning Agencies and County Transportation Commissions in a letter dated December 8, 1998 from Mr. Robert L. Buckley, Program Manager, Design and Local Programs. It can also be found on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>.
4. Uniform Transit Application. The Commission's Uniform Transit Application is the appropriate document for transit projects.
5. TEA Application. An application prepared in accordance with the Commission's Transportation Enhancement Activities (TEA) program guidelines is the appropriate document for TEA projects.

10



District - County - Route - Begin Post Mile/End Post Mile  
Expenditure Authorization (EA) – Project Number – Planning Program Number (PPNO)  
Program Code – Program Name  
Month/Year

## Project Report

***Enter reason(s) per Appendix K***

On Route \_\_\_\_\_

Between \_\_\_\_\_

And \_\_\_\_\_

I have reviewed the right-of-way information contained in this report and the right-of-way data sheet attached hereto, and find the data to be complete, current and accurate:

\_\_\_\_\_  
Name, District Division Chief, Right of Way

APPROVAL RECOMMENDED:

\_\_\_\_\_  
Name, Project Manager

PROJECT APPROVED: *(only include "PROJECT" for milestone M200 PA&ED)*

\_\_\_\_\_  
Name, District Director *(or delegated authority)*

\_\_\_\_\_  
Date

## Vicinity Map

*Insert a vicinity map, showing:*

- *Project limits*
- *Topographical features listed in report*
- *North arrow*

This project report has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

---

REGISTERED CIVIL ENGINEER

DATE



## Table of Contents

*As needed, include a table of contents with the topics from the body of the report.*

**1. INTRODUCTION**

Project Description:

*Describe the proposed project.*

<b>Project Limits</b>	<i>District-County-Route Begin Post Mile/End Post Mile</i>	
<b>Number of Alternatives</b>	<i>Delete row if not applicable</i>	
	<b>Current Cost Estimate:</b>	<b>Escalated Cost Estimate:</b>
<b>Capital Outlay Support</b>		
<b>Capital Outlay Construction</b>		
<b>Capital Outlay Right-of-Way</b>		
<b>Funding Source</b>	<i>Enter program code(s)</i>	
<b>Funding Year</b>		
<b>Type of Facility</b>	<i>#-lane conventional highway, expressway, freeway</i>	
<b>Number of Structures</b>		
<b>SHOPP Project Output</b>	<i>Delete row for non-SHOPP projects</i>	
<b>Environmental Determination or Document</b>		
<b>Legal Description</b>	<i>See the Plans Preparation Manual Section 2-2.2 heading "Title Sheet Project Descriptions"</i>	
<b>Project Development Category</b>	<i>See PDPM Chapter 8, Section 5</i>	

**2. RECOMMENDATION**

*State the recommendation.*

**3. BACKGROUND**

*Discuss the background.*

**4. PURPOSE AND NEED**

**Purpose:**

*State the purpose of the project.*

**Need:**

*State the need of the project.*

- A. Problem, Deficiencies, Justification
- B. Regional and System Planning
- C. Traffic

## 5. ALTERNATIVES

### 5A. Viable Alternatives

*Discuss viable alternatives.*

*For a draft project report with multiple build alternatives—include the design standards risk assessment table for the alternatives with proposed nonstandard design features.*

Design Standards Risk Assessment			
Alternative	Design Standard from Highway Design Manual Tables 82.1A & 82.1B	Probability of Nonstandard Design Feature Approval (None, Low, Medium, High,)	Justification for Probability Rating

*The project engineer lists the standards for each alternative. The appropriate approval authority (as designated in Chapter 21 – Design Standard Decisions, Article 3 “Policies”) provides the probability rating, justification, and language to summarize their understanding of the design standards risk assessment. The table and summary must be included in this report.*

### 5B. Rejected Alternatives

*Discuss rejected alternatives.*

## 6. CONSIDERATIONS REQUIRING DISCUSSION

### 6A. Hazardous Waste

### 6B. Value Analysis

### 6C. Resource Conservation

### 6D. Right-of-Way Issues

**6E. Environmental Compliance**

**6F. Air Quality Conformity**

**6G. Title VI Considerations**

**6H. Noise Abatement Decision Report**

**7. OTHER CONSIDERATIONS AS APPROPRIATE**

Public Hearing Process  
Route Matters  
Permits  
Cooperative Agreements  
Other Agreements  
Report on Feasibility of Providing Access to Navigable Rivers  
Public Boat Ramps  
Transportation Management Plan  
Stage Construction  
Accommodation of Oversize Loads  
Graffiti Control  
Other Appropriate Topics

**8. FUNDING, PROGRAMMING AND ESTIMATE**

Funding

*Discuss the project funding and include one of the following statements:*

It has been determined that this project is eligible for Federal-aid funding.

*Or*

It has been determined that this project is not eligible for Federal-aid funding.

Programming

*If the project is already programmed, include the data for comparison and discuss how the proposed estimates compare to the current programmed amounts.*

*Discuss if project has been combined.*

*Complete the table for each funding source. Consult with the project manager to determine the fiscal funding year, the escalated estimates, and the escalation rates.*

*Enter funding source, estimates, adjust fiscal year designations as needed, and state any key assumptions including the escalation rates used.*

Fund Source	Fiscal Year Estimate								
20.XX.###.###	Prior	14/15	15/16	16/17	17/18	18/19	19/20	Future	Total
Component	In thousands of dollars (\$1,000)								
PA&ED Support									
PS&E Support									
Right-of-Way Support									
Construction Support									
Right-of-Way									
Construction									
Total									

*State the support cost ratio. Consult with the project manager to determine the support cost ratio.*

The support cost ratio is ##.##%.

#### Estimate

*Discuss significant aspects of the construction estimate. Refer to attachment as needed.*

## 9. DELIVERY SCHEDULE

Project Milestones		Milestone Date (Month/Day/Year)	Milestone Designation (Target/Actual)
PROGRAM PROJECT	M015		
BEGIN ENVIRONMENTAL	M020		
NOTICE OF PREPARATION (NOP)	M030		
NOTICE OF INTENT (NOI)	M035		
CIRCULATE DPR & DED EXTERNALLY	M120		
PA & ED	M200		
BEGIN STRUCTURE	M215		
PS&E TO DOE	M377		
DRAFT STRUCTURES PS&E	M378		
PROJECT PS&E	M380		
RIGHT OF WAY CERTIFICATION	M410		
READY TO LIST	M460		
HEADQUARTERS ADVERTISE	M480		
AWARD	M495		

APPROVE CONTRACT	M500		
CONTRACT ACCEPTANCE	M600		
END PROJECT EXPENDITURES	M800		
FINAL PROJECT CLOSEOUT	M900		

*The Milestone Designation column may be deleted when all the milestone dates are in the future. Delete rows as needed:*

*M030 is only required when there is an EIR environmental document*

*M035 is only required when there is an EIS environmental document*

*M120 is only required if there is a draft environmental document that will be released to the public*

*M215 is only required if there are structures involved*

*M377 is not required, but optional*

*M378 is not required, but optional if there are structures involved*

*M480 is not required, but optional*

## 10. RISKS

*Summarize information from the risk register.*

## 11. EXTERNAL AGENCY COORDINATION

Federal Highway Administration (FHWA)

*Discuss if the project has been identified as a "Project of Division Interest."*

*Discuss project actions, as appropriate, assumed by Caltrans and any coordination with the FHWA for review and approval of project actions.*

*If the project proposes new or modified Interstate access, include a discussion of any issues and the proposed or actual dates for the Determination of Engineering and Operational Acceptability and Final Approval.*

The project requires the following coordination:

*The following is a list of common entities that Caltrans coordinates with on projects, delete and add to the list as appropriate.*

US Army Corps of Engineers

Department of the Army Permit for:

Clean Water Act Section 404

Rivers and Harbors Act of 1899 Section 9

Rivers and Harbors Act of 1899 Section 10

General Permits (Regional Permit, Nationwide Permit or Programmatic Permit)

Standard Permits (Individual Permit or Letter of Permission)  
Section 9 Permit

United States Coast Guard

Rivers and Harbors Act of 1899 Section 9  
Bridge Permit

California Department of Fish and Wildlife

California Fish and Game Code Section 1602  
Lake or Streambed Alteration Agreement

California Coastal Commission and/or Local Coastal Program

California Public Resources Code Division 20 (California Coastal Act)  
Coastal Development Permit

California State Lands Commission

California Public Resources Code Division 6  
Permit

Central Valley Flood Protection Board

California Water Code Division 5, Part 4  
Encroachment Permit

Regional Water Quality Control Board

Clean Water Act Section 401  
Water Quality Certification

San Francisco Bay Conservation and Development Commission

California Government Code Title 7.2  
California Public Resources Code Division 19  
Major Permit, Administrative Permit, or Regionwide Permit

Local Agency

Cooperative Agreements with \_\_\_\_\_

Local Agency

Agreements with \_\_\_\_\_

Railroads

Railroad Agreement for at-grade or separated-grade crossings

Other

Specify \_\_\_\_\_

## 12. PROJECT REVIEWS

Scoping team field review	_____	Date	_____
Scoping team field review attendance roster attached.			
District Program Advisor	Enter Name	Date	_____
Headquarters SHOPP Program Advisor	Enter Name	Date	_____
District Maintenance	Enter Name	Date	_____
Headquarters Project Delivery Coordinator	Enter Name	Date	_____
Project Manager	Enter Name	Date	_____
FHWA	Enter Name	Date	_____
District Safety Review	_____	Date	_____
Constructability Review	_____	Date	_____
Other	_____	Date	_____

## 13. PROJECT PERSONNEL

*List the project personnel, such as:*

Name, Title	Phone #
-------------	---------

## 14. ATTACHMENTS (Number of Pages)

*List attachments with the number of pages, such as:*

- A. Location map (1)
- B. Storm Water Data Report-signed cover sheet (1)



11



## Directors Signature Request

### SB-1 Project Baseline Agreement:

The Commission adopted the original SB-1 Accountability and Transparency Guidelines on March 21, 2018, and a revised version on May 16, 2018. The Guidelines require the development of project baseline agreements for Commission adopted SB-1 programs, subject to certain cost thresholds and conditions. The baseline agreement is to be signed by the Project Applicant, Implementing Agency, Caltrans District Director, Caltrans Director of Transportation, and the Executive Director of the California Transportation Commission. It is anticipated that the Commission will approve the baseline agreement at their meeting scheduled for: [Click here to enter a date.](#)

Attached baseline agreement is for Project:

[Click here to enter text.](#)

Project is funded from the following SB-1 Program(s):

☐ SHOPP

☐ TCEP

☐ SCCP

☐ LPP

☐ ATP

1. **Baseline Agreement Review & Approval:** Signature confirms package from Project Applicant is complete and consistent with Approved Project Application, adopted Commission Program(s), and Project Report and Environmental Document, as applicable. Conflicts between Approved Project Application, adopted Program and Project Report/Environmental Document must be addressed in writing by the Project Applicant and Approved by the Commission before circulating the Baseline Agreement for Director's Signature. Multi-jurisdictional projects must be approved by respective Division Chief(s).

Lead HQ Division: ☐ Project Management ☐ Rail & Mass Transportation ☐ Local Assistance

Reviewer's Name: [Click here to enter text.](#)

Michael Kever  
Project Management

Division Chief Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Dara Wheeler  
Rail & Mass Transportation

Division Chief Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Rihui Zhang  
Local Assistance

Division Chief Signature: \_\_\_\_\_

Date: \_\_\_\_\_

2. **Concurrence by:** Signature acknowledges Program responsibilities with regards to Project and that appropriate staff have been assigned to support the delivery of the project.

#### On-System Projects

Karla Sutliff  
Project Delivery

Date: \_\_\_\_\_

#### Off-System Projects

Coco Briseno  
Planning & Modal Programs

Date: \_\_\_\_\_

3. **Concurrence by: Programming and Chief Financial Officer Concurrence (All Projects):**

Bruce de Terra  
Transportation Programming

Steven Keck  
Chief Financial Officer

Date: \_\_\_\_\_

### Next Steps:

4. To SB-1 Office for Director's Signature
5. SB-1 Office to return Commission signed copy of Baseline Agreement to Lead HQ Division
6. SB-1 Office to return Commission Signed copy of Baseline Agreement to Transportation Programming for all Projects, except ATP