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# The Project Change Request Policy: A Case Study of the Reengineering Efforts in the California Department of Transportation (Caltrans)

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# The Project Change Request Policy – A Case Study of The Reengineering Efforts in the California Department of Transportation (Caltrans)

The California Department of Transportation (Caltrans or the Department) is a public service agency with the mission of improving mobility across California (Caltrans' Mission, 2003). It strives to promote economic vitality and enhance the quality of life for the people of California by providing for the movement of people, goods, services, and information. Caltrans is also responsible for the development, construction, operation, and maintenance of the State Highway system and has the ancillary responsibility for Aeronautics, Mass Transportation, Rail and Transportation Planning (Caltrans' Today, 2003).

In 1997, Senator Quentin Kopp authored Senate Bill 45 in order to improve the delivery of transportation projects. This legislation specifically reformed the State Transportation Improvement Program (STIP) and made significant changes in the funding structure. It also changed the relationship and roles between Caltrans and the regional transportation agencies. The significant change that resulted from SB45 is the consolidation of nine transportation funding programs into two programs that made up the STIP: a local discretionary pot called Regional Improvement Program (RIP) and a state discretionary pot called Interregional Improvement Program (IIP).

These RIP funds are now allocated to the regional planning agencies and make up 75% of the STIP and the remaining 25% of the STIP is allocated to Caltrans. Regions now have the discretion to select and program transportation improvement projects (state highways, local roads, transit, bike lanes, and so forth) within the region as it deems necessary. Caltrans will also be responsible for identifying project support costs on a project-by-project basis, something that

was not required in the past. For state highway projects recommended and funded by the RIP, Caltrans will be accountable to the sponsoring region for all project costs, schedules, and implementation.

Transportation Programming is the process by which Caltrans and other local and regional transportation agencies identify specific funds for a transportation project based on a projection of revenues expected to be available at a specific time in the future (STIP Guidelines, 1998). Most State and federal revenues are programmed into the following documents:

- State Transportation Improvement Program (STIP)
- State Highway Operation and Protection Program (SHOPP)
- Traffic Congestion Relief Program (TCRP)
- Toll Bridge Seismic Program and other special programs

Caltrans, local agencies, and the California Transportation Commission (CTC) all have a role in developing these documents. On a biennial basis, Caltrans submits these documents to the CTC for approval and adoption (Statutes, 2001). These programming documents identify the transportation projects, the scope of work, the delivery schedule, engineering support costs, and capital construction costs to be approved for funding. Once the programming document has been approved and becomes a public document, any changes will require an amendment and action by the CTC.

Since the 1987-88 fiscal year, Caltrans' annual budget has been controlled by the State legislature. Currently, the State legislature appropriates funds for Caltrans' use via the Budget Act, on a program-by-program basis (STIP Guideline, 1998). Each transportation project that was identified in a State programming document is tied to a specific fund program. Funding for the resources and capital construction of each project is tied to the commitment to deliver it within the

cost and schedule as programmed. Any changes to the schedule, scope, and cost of the project will require amending the programming documents and possibly changing the original commitment of Caltrans to the legislature. Caltrans, in the eyes of the Legislature, did not perform to expectations. Its delivery reports in the annual Legislative Analyst Office had indicated in past fiscal years that Caltrans had changed the delivery commitments of a number of projects to increase its delivery performance (LAO, 2001).

In order to improve its image and restore the confidence of the Legislature, Caltrans' Division of Project Management issued Project Management Directive Number 6 for the implementation of the new Project Change Request process. The new policy strives to restrict unnecessary changes to the delivery commitments and to minimize the number of programming changes (PMD 6, 2000).

The purpose of this research paper is to determine whether the new Project Change Request (PCR) process issued by Caltrans Division of Project Management is effective in minimizing the number of changes that would require changes in the programming document. By being effective, this new PCR process should be instrumental in reducing the efforts involved in processing the necessary changes. It would also evaluate whether the new policy has any impact on the confidence of other stakeholders in Caltrans' ability to deliver projects as planned. The study would also attempt to identify major factors and trends that could improve the process.

The study will collect pre- and post-policy implementation project change requests and will evaluate the effectiveness of the new policy. This study will also determine if there is any correlation between the implementation of this policy and the delivery records, and will also collect comments and responses from a surveyed sample group of project managers to determine the effectiveness of the policy and to seek possible improvements.

# LITERATURE REVIEW

In order to facilitate the research effort, a literature review of existing sources will be conducted. The purpose of the review is to provide an overview of the literature relevant to the research, and also to provide a context for the research. The literature collected is categorized into the following groups:

- Guidelines and delegated authorities to Caltrans by the CTC
- The new PCR policy and other departmental project management policies
- Delivery Performances Report's of Caltrans
- External sources of information relating to improvement of government process

1. The California Transportation Commission (the Commission) has provided a number of guidelines, reports, and general resolutions that delegated some authorities to Caltrans. This group of literature will provide an overview of how traditional changes to programmed projects were made and the ability of the Department to change a project's scope, funding, and schedule within the set guidelines.

   - The State Transportation Improvement Program guidelines provided policy language that all transportation funds allocated through the State be programmed and expended in a timely manner in order to avoid accumulation of excessive fund balances and to avoid lapse of federal funds. It is the goal of the Commission that transportation projects programmed against funds allocated through the State be delivered no later than scheduled in the appropriate programming document (Statutes, 2001). For the purposes of this goal, delivery means allocation or obligation of funds for the programmed project or project component (LAO, 2001). For projects delivered by Caltrans, the

Commission's delivery goal for each fiscal year (FY) is 90% of the projects programmed in each FY and 100% of the funds programmed in each FY.

In addition to the establishment of annual performance goals, the Commission also provided approval guidelines for the timely use of funds (STIP, 1998). Whenever programmed funds are not allocated by the end of the fiscal year identified in the STIP, the project programming will be deleted from the STIP. These projects will then be competing with others during the next funding cycle. This may delay the projects beyond the five-year cycle of the STIP. However, the Commission may extend the deadlines for: project delivery, allocation of funds, award of a contract, transfer of funds, right-of-way expenditures, or contract completion no more than one time (STIP, 1998). This only occurs when the Commission finds that unforeseen and extraordinary circumstances beyond the control of the responsible agency justify the extension.

This California Transportation Commission's approved guidelines provide a basis on which project changes can be made at a programming level. Additionally, these guidelines also spelled out the purpose and authority of various entities in transportation, the requirements for programming projects, criteria for measuring performance and cost effectiveness, vary funding strategies to fund projects, as well as the schedule for approval of changes. In short, these guidelines provide the programming rules to which the Department would adhere.

- The Resolution G-01-10 or the Delegation of Project Allocation Authority to the Department for the State Highway Pavement Rehabilitation and Safety projects by the Commission authorized the allocation of funds for transportation projects for these types

of projects (Statutes, 2001). The purpose of this resolution is to accelerate the implementation of projects programmed in the State Highway Operation and Protection Program (SHOPP) to rehabilitate pavement on the state highways. Originally, the delegation authority was given to the Department for a one-year trial period. With the success of its implementation, the Department, with approval of the Commission, further expanded its authority to allocating the funds of safety projects. The Commission also allowed the Department to exceed its allocation authority up to 120 percent of the programmed construction amount. Under this resolution, only construction allocation greater than 120 percent of the programmed amount would require the Commission's approval. The Department shall provide the Commission with a monthly report on allocations made under this delegation.

- A key delegation of authority by the Commission to the Department is made through Resolution G-12 (Statutes, 2001). The Commission delegates the authority to adjust project allocations and modify project descriptions to the Caltrans' Director.

  This policy is in effect for capital outlay allocations by the Commission for STIP, SHOPP, and minor SHOPP projects. The Director is authorized to increase individual project construction allocations to allow the advertisement, award, and completion of contracts within the prescribed limits:

  - For programmed STIP and SHOPP projects receiving a Commission allocation of less than $1,000,000, the Director may adjust the funds allocated for construction up to $200,000.

- For programmed STIP and SHOPP projects receiving a Commission allocation of $1,000,000 or more, the Director may adjust the funds allocated for construction by $200,000 plus 10 percent of the initial Commission allocation.
- Any adjustments that exceed the authorized limits must be allocated by the Commission.

The Director is also authorized to modify the Commission-approved project descriptions to meet unforeseen conditions and to correct project description errors provided that these revisions do not change the Commission's intent with regard to an individual project's program component, principal purpose, primary characteristics and general location. Any cost increase resulting from the proposed scope change is within the delegated authority for funding increase. The Commission must approve any needed project scope change, which exceeds the authorized limits (STIP, 1998).

2. A review of the content of the Project Change Request policy and related policies by the Department will provide a better understanding of the background, objective, and the intended goal which would facilitate the assessment of the implementation effectiveness of any policy.

- Project Management Directive 6 (PMD6, 2000) provides the policy that requires any changes will be documented and will only be made when justified as absolutely necessary. A project change request is required to initiate the process to amend a programming document. Further delegation of approval authority from those given by the Commission was done within the Department. The project change requests are categorized into three different levels of approval: those requiring a regional District Director's approval, those

requiring the Headquarters Division Chief's approval, and those requiring the State Chief Engineer and Chief Financial Officer's approval. The levels of approval are dependent upon the delegated authority given to the Department by the Commission.

In addition to the identifying approval authorities, the policy also provided definitions of the types of project changes. These changes are broken down to those changes that require mandatory submittal to Headquarters for review, changes that are advisory, and changes that are discretionary. A mandatory type of PCR occurs when Commission approval is required or to update programming information in a new programming document. An advisory PCR occurs when a management decision is needed in order to proceed with the project. This could involve minor increases in cost or scope changes that are within the authority of the Department to approve. The discretionary PCR does not require submittal for management review. These categories of changes usually relate to cost savings to the project. It is advisable to document this change through a PCR and apply the surplus funds to other projects with cost increases that are in the same region (PMD 6, 2000).

The policy would also clarify the roles and responsibilities of all involved parties. With this information, determination could be made later as to which entity has the overall authority in approving the changes.

- Project Management Directive 3 (PMD3, 1998) identified the roles and responsibilities of the project sponsors, the District Deputy Director of Program and Project Management, the Functional Director in the District, and, more importantly for this research, the project manager. The project manager has the full authority, delegated from the District Division

Chief for Program and Project Management, to produce the intended, meet schedules, stay within budget and keep the sponsors and customers satisfied. The project manager retains the responsibility over the entire life of the project, and is the primary point of contact for the project sponsor. Project managers are expected to perform the following, among other duties:

- Identify the needs and expectations of the project sponsors
- Lead the project team in the development of a project management plan that defines the project scope, schedule, cost, resource needs, risk and communication needs
- Monitor project's performance and take corrective action if necessary
- Resolve problems that affect project scope, cost, or schedule
- Control change to project scope, schedule, and cost throughout the project's life cycle, including construction
- Responsible for timely project completion

This directive aids in the research effort by providing the levels of responsibility associated with being a project manager.

3. The annual Legislative Analyst Office (LAO) Budget reports for fiscal years 2000 to 2003 on transportation issues provided some critical editorial comments. The CTC Annual reports for the same period will also be reviewed for delivery data. The gathered information will be useful in establishing the background for the origination of the new policy. The view of the Legislature on the delivery performance of the Department will be used to document this premise. Brief summaries of some of the findings from these reports are listed below.

For Budget Year 2001, the LAO reported that a record number of STIP Projects were extended to future years. According to CTC, while 1999-00 was a year of high output and achievement for both Caltrans and local agencies, it was also a year of record schedule revisions. Specifically, $788 million worth of projects were rescheduled in the STIP to be delivered in subsequent years (LAO, 2001). These projects included some originally scheduled to be delivered in 1999-00 as well as projects to be delivered in later years. Most of the delays were from one fiscal year to the next. However, more than one-third of the delays were for two fiscal years or more. Of the total amount rescheduled, $646 million were for projects programmed to be delivered in 2000-01 (LAO, 2001).

According to CTC, this record amount of rescheduling was primarily in response to a new (1999) CTC policy that restricts the rescheduling of STIP projects to certain circumstances (CTC, 2001). To avoid those restrictions, both Caltrans and local agencies took advantage of an opportunity to modify any overly optimistic delivery schedules before the new policy took effect (LAO, 2001).

For Budget Year 2002, the LAO reported that Caltrans delivered 97 percent of programmed STIP projects, and almost 100 percent of programmed expenditures (LAO, 2002). However, in terms of the sheer number of STIP projects delivered, it dropped 62 percent from the previous year due to extensive rescheduling of projects by Caltrans prior to 2000-01. The number of projects delivered in 2000-01 was far less than the number delivered in the previous year. In fact, the 38 delivered projects in 2000-01 represent a 62 percent drop from the 101 projects delivered in 1999-00 (LAO, 2002).

According the report, the SHOPP project delivery results are good. The department delivered 242 projects, or 94 percent of the projects that were programmed for delivery. In terms of funding allocations, the department delivered $1.1billion, or 91 percent of the amount in programmed funds (LAO, 2002). The LAO stipulates that since SHOPP projects are far less complicated from a design standpoint and require less extensive environmental review, they would be easier to deliver on schedule than STIP projects.

For Budget Year 2003, the LAO reported that Caltrans delivered a lower percentage of its planned STIP and SHOPP projects in 2001-02 than in 2000-01, but the total number and value of projects delivered increased substantially. The reason for the large fluctuation in STIP projects delivered from year to year was due to a record amount of project rescheduling in the three previous years, by which the Department and local agencies moved scheduled project delivery dates to later years. Because of this, neither the adopted STIP nor the annual budget reflects Caltrans' actual project delivery schedule, and there is no baseline against which to measure delays in Caltrans' project delivery. In 2001-02, the Department delivered 86 percent of STIP projects and 89 percent of programmed expenditures (LAO, 2003). These percentages represent decreases from 2000-01, but the total number and value of projects delivered increased substantially.

4. In addition to the group of government publications used for resources, some external sources will also be utilized. For example, in Banishing Bureaucracy: The Five Strategies for Reinventing Government by David Osborne and Peter Plastrik, the authors discuss the reinvention movement and recommend five strategies to institutionalize the process. The strategies are reviewing organizational purposes, creating consequences for organizational

performance, becoming customer-driven, empowering workers and communities, and developing an entrepreneurial culture (Osborne & Gaebler, 1997). In Reinventing Government, by David Osborne and Ted Gaebler, the authors provided the concepts of decentralizing authority, meeting the needs of the customers not bureaucracy, and investing in preventing problems rather than curing crises. They posit that too many corporations are still bound to the strict work rules and centralized command that marked the Industrial Age. And similarly, most government agencies are bound by civil service rules and other Progressive Era reforms designed to control costs, eliminate patronage, and guarantee uniform service to the public. Collectively, these texts will, in conjunction with other external sources, be used to support key concepts in bureaucratic reforms.

# METHODOLOGY

## 1. Research methodology overview

The research methodology for the study utilized both quantitative and qualitative research designs. For the qualitative aspect of the project, a case study will be used. The case study will be for the particular program, or specifically, the implementation of the Project Change Request directive. It will study the effectiveness of the PCR policy over a defined period of time. For the quantitative aspect of the project, a survey research will be utilized. The survey is simple in design. A series of questions will be posed to a sample pool of participants. The responses are summarized with percentages and frequency counts, then inferences about the particular population from the data will be made. Both methodologies would help in the collection of data and would be quite useful for generating or providing support for the hypotheses. The research consisted of four components: conduct literature search from existing sources for relevant data, collect data from the PCR files, conduct random interviews with Caltrans staff, and process the data and develop trends.

At the outset, a literature search was conducted to find relevant information regarding the delivery performance of Caltrans. External sources reviewed included reports produced by the LAO and CTC. The annual LAO budget analysis reports for fiscal years from 2000 to 2003 were reviewed along with the Annual Reports to the California Legislature by the CTC for the same period. These reports provided an immeasurable source of information relating to Caltrans' delivery performance. A review of current State Transportation Improvement Plan guidelines and Project Change Request (PCR) directives were also conducted to understand the background of the current PCR process.

Subsequently, data relating to PCR files were collected from the Division of Project Management Headquarters in Sacramento. These data will show whether the number of PCRs has been reduced since the implementation of the policy. Data collected includes the nature or reasons for the changes, location of the projects, the name of the project managers, costs changes, schedule changes. Project delivery information for the fiscal years reviewed was also collected. These data will be used to verify the relationship between the number of changes processed and the delivery performance.

Finally, random interviews with project managers were conducted to gather additional information that was not readily available during the literature and data collection. The responses to a set of questions will provide some useful data. After the collection of such data, an analysis will be conducted to identify trends and similarities among the data.

Research limitations

- Only the period between pre-implementation and post-implementation of policy was studied.

  The Project Change Request (PCR) process being studied had undergone some minor changes since its implementation in September 2000. These changes occurred on September 2002 and continue to date. The changes mainly involved adding another level of review to the "current" process. All PCRs submitted after September 2003 will be reviewed and concurred by program advisors before their submittal to Headquarters. With this change in place, all PCRs sent to Headquarters are now pre-approved and the data collected would be biased since the decision to deny the request had been arbitrarily removed. In order to avoid collecting these data, only the fiscal periods between pre-implementation and post-implementation of policy were studied.

- Data collected is limited to the impact of PCR process to project delivery

  Due to the large number of files that must be reviewed by hand, the data collected is exclusive in studying the impact of PCR process as it relates to project delivery. Only data on the types of change requests such as scope, schedule, cost, splitting or combining of projects, type of funding, approved levels, and project identification were recorded. Specific information regarding the change was not noted. For example, if a PCR was submitted for a schedule change, the data collected was that a change in schedule had occurred and whether or not the PCR was approved. However, the delay to the delivery date beyond the programmed fiscal year was not recorded. Furthermore, there were other factors that may have affected the delivery of projects, but due to the time constraint of the study, were not considered. Some of these are concurrent policies with the PCR directive that were issued by the Department:

  - Other on-going processes that contributed to project delivery changes such as scope change control
  - Advance right of way purchasing
  - Design sequencing of projects
  - Authority for Advertising by the District Director (AADD) change control
  - The funding or programming cycle of projects

  In summary, the effects of the implementation of these policies were not considered in this study.

- Sample group of project managers

Phone calls were made to project managers from a name list generated from the data gathered. Project managers were called individually and an interview was conducted when the phone call was answered live. In effect, the group of interviewees were chosen by phone availability and not by geographic representation or size of district. This provided some randomness and precluded any potential bias against the collection of this data group.

- Case study restriction

  Since this is a case study for the implementation of a specific internal policy, the results and findings may not be generalizable to other situations.

2. Characteristics of the research sample

Project Managers

- For the purpose of this study, project managers' ability to manage projects was not considered. Project managers are assumed to function in their duties adequately and projects' changes were due to the variances in the experience level of project managers.
- The study only included persons currently working as project managers. Past or ex-project managers were not contacted for comments.
- In addition to other duties, project managers are given the tasks of monitoring a project's performance; taking corrective action if necessary; resolving problems that affect project scope, cost, or schedule; and controlling change to project scope, schedule, and cost throughout the project's life cycle.
- Project managers typically managed from 25 to 40 projects. A normal workweek for this classification ranged from 45 to 55 hours.

- Senior transportation engineers, senior landscape architects, and senior right-of-way agents typically filled the project manager's classification. Annual pay for this classification is $74,172 per year. Personnel in this position rarely stay more than two years on the job.

Project Data

- Only data for projects administered by Caltrans are collected.
- PCR are for all programs such as STIP, SHOPP, TCRP, and OTHERS such as Retrofit Soundwall Program, Seismic Retrofit Program, Toll Bridge Program, and so forth.
- Project may be funded by more than one program.
- PCR may have more than one type of changes in the same request.
- PCR change reasons were separated into 11 broad categories:
    - Inaccurate Estimate from PR/PSR
    - Coordination with other projects
    - Internal initiated scope change
    - External or sponsor initiated change
    - Cost or unit escalation
    - Additional studies required (Environmental, Structure, Value engineering, and so forth.)
    - Environmental Permit issues–Scope change
    - Environmental Permit issues–Schedule change
    - Staff resource issues
    - R/W cost constraint
    - Others
- Milestones listed are the commitments of delivery for four major milestones by the Department. These are Project Approval and Environmental Document (PAED), Ready-to-list (RTL), Right-of Way Certification (R/W), and Construction Contract Acceptance (CCA).
- Delivery of projects is defined by the Department as the RTL milestone and not by the CTC's definition of project's allocation for construction capital.

- Changes that need programming were approved by Headquarters Division Chiefs and Deputy Directors. A check into CTIPS was not done to verify that each and every approved PCR was followed by a programming amendment. For the purpose of this study, all approved PCRs by Headquarters will be amended in the programming documents.

3. Data Collection

From Internet

- Information collected from the CTC includes the annual reports to the legislature on the issues and performance of the transportation related actions. Other documents gathered are the STIP guidelines and Activities and Accomplishment reports.
  (http://www.catc.ca.gov/reports/index.htm)

- Information collected from Legislative Analyst Office includes the LAO budget analysis reports for fiscal years from 2000 to 2003 on the delivery performance of the Department.
  (http://www.lao.ca.gov/analysis_2001/transportation/tran_04_2660_anl01.htm)
  (http://www.lao.ca.gov/analysis_2002/transportation/trans_05_deptoftrans_2660_anl02.htm)
  (http://www.lao.ca.gov/analysis_2003/transportation/tran_5_2660_anl03.htm#_Toc32372873)

From Intranet (Caltrans employee access website)

- The Department's project delivery reports are collected through internal web access.
  (http://pm.dot.ca.gov/ProjectOffice/PerformanceReports/DeliveryPerformanceReports.asp)
  The Delivery Performance Reports showed the planned baseline as well as the non-baseline milestones delivery accomplishments by each District/Region or statewide.

- From the office of CTC Liaisons, two sources of reference information were gathered. The CTC resolutions passed over the years and the delegations of authority to the Department were documented under various publications. These can be found on the following website. (http://www.dot.ca.gov/hq/transprog/ctcliaison/Delegations/resindx.htm) (http://www.dot.ca.gov/hq/transprog/ctcliaison/Delegations/G%20DELEGATIONS.pdf)

Data from the Project Change Request files

Project Change Request data were collected from Headquarters Project Management Division Project Change Request files in the Office of Project Delivery. The files are stored in Room 2115 of Caltrans Headquarters Building located at 1120 N Street, Sacramento, CA 95816. The individual files were reviewed by hand for related information and data were later transferred to Excel files for processing.

Data from interviews

Interviews were conducted with a random sample of project managers that have been exposed to change requests pre-implementation and post-implementation of the new process. Each of the subjects responded to a series of questions. The responses were documented and transferred to an Excel file to review for trends.

4. Summary of research process

Developing a number of hypotheses

- The hypotheses are developed
- With the hypotheses listed, data would then be collected to support or disprove them

Perform text review

- Review documents from CTC
- Review documents from the LAO
- Review Caltrans documents
- Review text books for related public administration themes

Collect data

- Collect data from electronic files
- Collect data from PCR binders

Break down data into categories

- Data were collected
- Key entry into an Excel spreadsheet
- Together with Headquarters Project Management Coordinators reviewed the data and categorized into broad areas.
- Common factors were then utilized in creating the interview questions.

Formulate questions for interview

A random group of project managers will be interviewed via phone from a total of 129 project managers statewide. Eight questions will be asked and responses to these questions will be documented. The interview questions consist of both open-ended questions and a multiple-choice question.

1. How long have you been working as a project manager?
2. What was your background prior to becoming a project manager?
3. Did you attend the Project Change Request workshops?
4. Do you think the workshops were helpful in management of your projects?
5. How much time was charged in preparing your last Project Change Request that was submitted?
6. What were the causes for the change in the project?
    (a) PID is inadequate

(b) Additional studies required
(c) Environmental/permit issues
(d) R/W cost constraint
(e) Change in conditions
(f) Cost escalation
(g) Scope creep
(h) Permit issues
(i) Poor coordination with other projects within the same area
(j) Others

7. Is processing a PCR the last resort in the District?
8. What recommendation(s) and/or comments would you make to the current PCR process?

Collect Responses

- Began the interviewing process and collected the responses.
- Responses were transferred onto an Excel spreadsheet for study.

Analyze data for relevancy to hypotheses

## FINDINGS

Research methodology overview

The objective of this research study is to determine whether the new Project Change Request (PCR) process is effective in accomplishing its intended purpose. In order to check for the effectiveness, the research intends to find out whether the new policy actually reduced the overall number of PCRs and specifically address the concerns by the LAO in regard to project delivery performance. It also aims to verify if all change requests submitted required programming changes and whether they were initiated by the Department in an attempt to alter annual delivery performances. The research will seek input from Caltrans' staff for possible improvements to current PCR process.

The methodology for the research consists of four components: conduct literature search from existing sources for relevant data; collect data from the PCR files; conduct random interviews

with Caltrans staffs; and process the data and develop trends. The literature search was conducted to find relevant information regarding the delivery performance of Caltrans followed by the collection of data relating to PCR files from the Division of Project Management Headquarters. These data would be used to provide any support to the effectiveness of the policy. They were also used to verify the relationship between project and programming changes and the delivery performance of the Department. Finally, random interviews with project managers were conducted to gather information that was not available during the literature and data collection. After the collection of these data, analyses were done to identify the trends and similarities and to provide the answers to the following research questions.

Does the new policy reduce the overall number of PCRs and specifically reducing the number of programming changes?

To test whether the new policy is successful in controlling the unnecessary changes to programming documents, it was hypothesized that the number of PCRs submitted has declined since the implementation of the PMD 6 policy. Results from Table 1 demonstrate that the hypothesis is not valid. The overall number of change requests actually increased from 228 to 360 from the time the policy was implemented. However, it would be unfair to compare just the total number of PCR submitted since the number of projects and resources for any given fiscal year fluctuated depending upon the State's budget. Due to this possible factor, the results are further compared with the number of changes submitted as a percentage of the overall delivery milestones committed in that fiscal year. From Table 1, for Fiscal Year 2000/2001, the number of changes per milestone is 21% and escalated to 42 % in the next fiscal year. The District individual data are presented to show whether any one district has had an unusual number of

changes that may have affected the overall number of PCRs. In general, the change requests are up from all districts.

**Table 1 – Project Change Request versus Delivery Milestones**

| | Fiscal Year 2000/2001 | | | Fiscal Year 2001/2002 | | |
|---|---|---|---|---|---|---|
| District | Number of PCRs submitted | Number of Delivery Milestones | Ratio of change by Milestone (Percent) | Number of PCRs submitted | Number of Delivery Milestones | Ratio of change by Milestone (Percent) |
| 1 | 12 | 53 | 23 | 11 | 34 | 32 |
| 2 | 9 | 70 | 13 | 20 | 51 | 39 |
| 3 | 22 | 85 | 26 | 40 | 65 | 62 |
| 4 | 44 | 225 | 20 | 61 | 198 | 31 |
| 5 | 23 | 74 | 31 | 28 | 54 | 52 |
| 6 | 12 | 77 | 16 | 35 | 58 | 60 |
| 7 | 16 | 156 | 10 | 40 | 132 | 30 |
| 8 | 40 | 94 | 43 | 69 | 75 | 92 |
| 9 | 1 | 19 | 5 | 7 | 15 | 47 |
| 10 | 24 | 83 | 29 | 20 | 64 | 31 |
| 11 | 14 | 99 | 14 | 17 | 77 | 22 |
| 12 | 11 | 62 | 18 | 12 | 32 | 38 |
| Total | 228 | 1097 | 21 % | 360 | 855 | 42 % |

Tables 2,3, and 4 present the LAO and the CTC reporting numbers for the delivery performance of Caltrans in the fiscal years 1999 through 2002. The data for STIP delivery declined noticeably from 123 projects in fiscal year 99/00 to 39 projects in fiscal year 00/01 and to 49 projects in fiscal year 01/02.

For the SHOPP projects, the number of projects programmed and delivered remained consistent over the three fiscal years. Tables 2, 3, and 4 show that the percentage of projects delivered are 96%, 94%, and 97%, respectively for fiscal years 99/00 through 01/02. One of the key aspects of the 1998 SHOPP program was the flexibility of the Department to change the baseline list of projects in future years. Only the current year delivery is not subject to programming changes without CTC approval. For this reason, SHOPP projects that may have

delivery concerns can be delayed to later years without risk of delivery failures. And more importantly, projects that can be delivered early can also be advanced to fill the funding gap without baseline delivery changes. Hence, SHOPP delivery has been steady over the years.

**Table 2 - Fiscal Year 1999-2000 Caltrans Project Delivery by Number of Projects**

| | By Number of Projects | | | By Expenditures (in thousands $) | | |
|---|---|---|---|---|---|---|
| Program | Projects Programmed | Projects Delivered (a) | Percent Delivered | Projects Programmed | Projects Delivered (b) | Percent Delivered |
| STIP | 123 | 101 | 82% | $749 | $636 | 85% |
| SHOPP | 269 | 258 | 96% | $1,034 | $958 | 93% |
| Totals | 392 | 359 | 92% | $1,783 | $1,594 | 89% |

(a) = Excludes advanced projects. (Source: LAO Budget Analysis Report 2001)
(b) = Excludes expenditure for advanced projects.

**Table 3 - Fiscal Year 2000-2001 Caltrans Project Delivery by Number of Projects**

| | By Number of Projects | | | By Expenditures (in thousands $) | | |
|---|---|---|---|---|---|---|
| Program | Projects Programmed | Projects Delivered (a) | Percent Delivered | Projects Programmed | Projects Delivered (b) | Percent Delivered |
| STIP | 39 | 38 | 97% | $215 | $215 | 100% |
| SHOPP | 257 | 242 | 94% | $1,212 | $1,107 | 91% |
| Totals | 296 | 280 | 95% | $1,427 | $1,322 | 93% |

(a) = Excludes advanced projects. (Source: LAO Budget Analysis Report 2002)
(b) = Excludes expenditure for advanced projects.

**Table 4 - Fiscal Year 2001-2002 Caltrans Project Delivery by Number of Projects**

| | By Number of Projects | | | By Expenditures (in thousands $) | | |
|---|---|---|---|---|---|---|
| Program | Projects Programmed | Projects Delivered (a) | Percent Delivered | Projects Programmed | Projects Delivered (b) | Percent Delivered |
| STIP | 49 | 42 | 86% | $759 | $675 | 89% |
| SHOPP | 180 | 175 | 97% | $843 | $825 | 98% |
| Totals | 229 | 217 | 95% | $1,602 | $1,500 | 94% |

(a) = Excludes advanced projects. (Source: LAO Budget Analysis Report 2003)
(b) = Excludes expenditure for advanced projects.

The expenditures for the capital construction of the projects for the three fiscal years were also included to show the concerns of the LAO. In fiscal years 99/00 and 01/02, the annual expenditures for the STIP projects programmed are $749 million and $759 million. However, in fiscal year 00/01, this number dropped significantly to $215 million (LAO, 2002). The explanation for the large drop-off is due to a 1999 programming policy by the CTC allowing the

Department to modify any overly optimistic delivery schedules before the new policy took effect.

**Table 5 – Changes by Type**

| Type of Change Requested | Fiscal Year 2000-2001 | Fiscal Year 2001-2002 | Difference | Percent Changed from FY 0/1 |
|---|---|---|---|---|
| Cost - Savings | 10 | 29 | + 19 | + 190 % |
| Cost - Increase | 92 | 165 | + 73 | + 80 % |
| Schedule | 103 | 146 | + 43 | + 42 % |
| Scope | 35 | 78 | + 43 | + 123 % |
| Split or Combine | 46 | 80 | + 34 | + 74 % |
| Totals | 286 | 498 | + 212 | + 74 % |

(a) = Some project change request may have more than one type of change.

A tabulation of changes by types is recorded in Table 5. The changes were broken down into cost, schedule, scope, and split or combine by fiscal year. The actual differences and percentages to the previous year's differences in the number of submittals were also noted for each type. The cost change is further separated to whether a cost increase or cost savings is requested for change. Change requests are often regarded in a negative context especially in the eyes of external stakeholders. The opposite conclusion can be drawn from Table 5. The data demonstrated that a large number of change requests were to save funding to be used for other projects. Other changes are for combining projects for construction in order to save construction support costs as well as reduce traffic disruption and delays to the public.

**Table 6 – Changes By Program**

| Program | Fiscal Year 2000-2001 | Fiscal Year 2001-2002 | Number of PCR per program (a) | Percent Changes to FY 00/01 |
|---|---|---|---|---|
| STIP | 166 | 214 | 380 | 59 % |
| SHOPP | 57 | 142 | 199 | 31 % |
| Others | 20 | 44 | 64 | 10 % |
| Totals | 243 | 400 | 643 | 100 % |

(a) = Some projects may receive funding from more than one program.

Table 6 shows the project change request changes by funding program. The actual number of changes in this table is much more than the actual number of change requests submitted since some projects may have more than one funding type. For example, a highway high occupancy vehicle (HOV) project or new "carpool lane" project may have STIP funding for the widening work and could also have SHOPP funding for work relating to improvement to safety features such as upgrading barrier railing. Due to this, the number presented is shown for comparison to the frequency of changes to type of funding. The number of changes by program is shown along with the corresponding percentage changes to referenced year.

**Table 7 – Project Change Request Approval Rate**

| Fiscal Year | No. of PCR submitted | No. of PCR Approved | No. of PCR Denied | Approval Percentage | Rejection Percentage |
|---|---|---|---|---|---|
| 00/01 | 228 | 224 | 4 | 98 % | 2 % |
| 01/02 | 360 | 345 | 15 | 96 % | 4 % |
| Total | 588 | 569 | 19 | 97 % | 3 % |

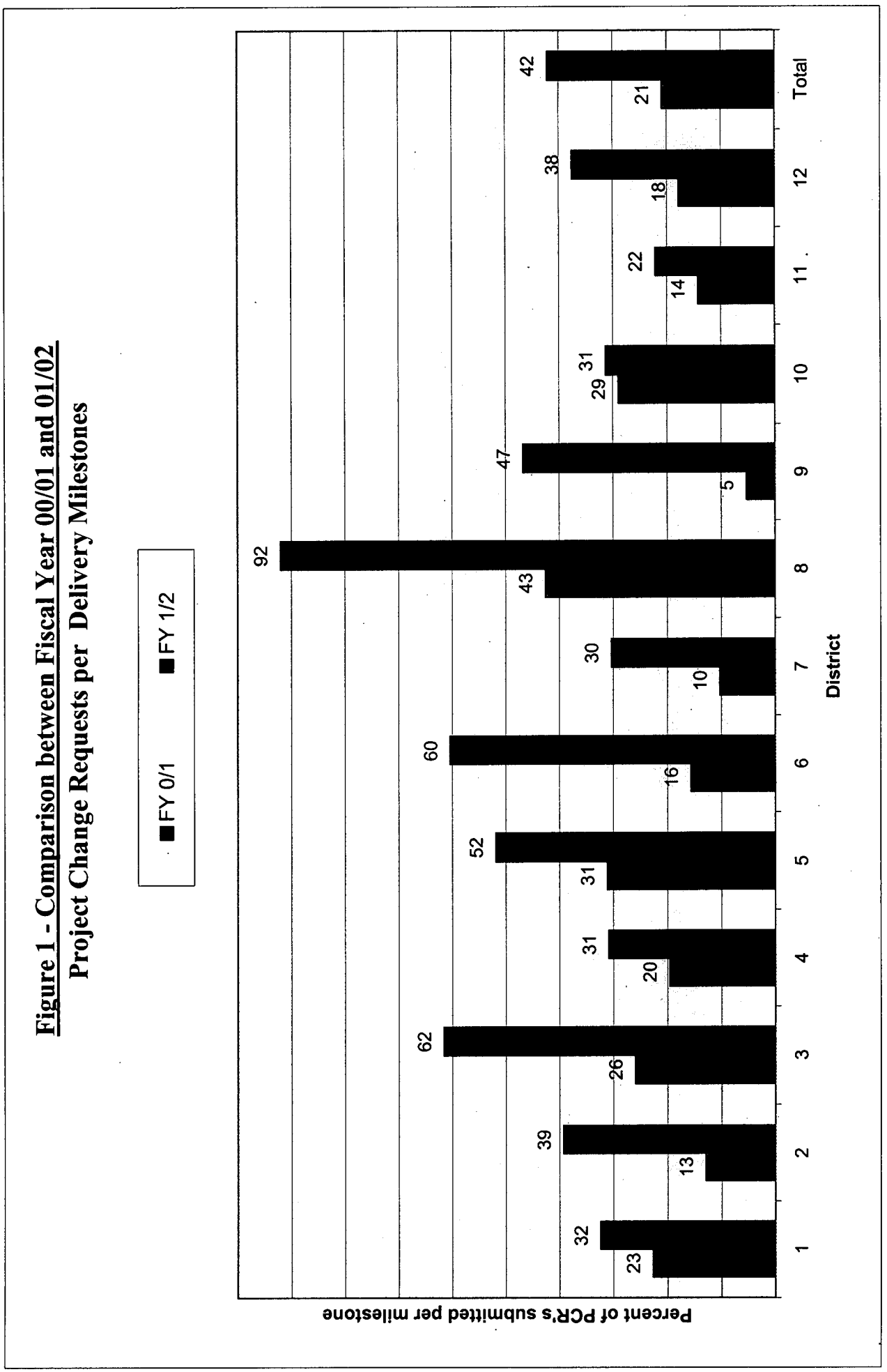
Table 7 represents the rejection rate for the change requests. Previous to the implementation of Project Management Directive 6 in FY 00/01, there were a total of four PCRs that were not approved. Since then, a total of 15 PCRs were denied. However, the overall approval percentage based on total number of changes submitted per fiscal year, is relatively unchanged from 98% down to 96%. The information in this table helps explain one of the questions posed to a group of project managers. The question relates to whether the District has

exhausted all options prior to sending a change request. As shown by the high approval rate, there seems to be a high correlation to the hypothesis that the Department has no choices before making the programming changes.

Figure 1 shows the results of Table 1 in graphical format. The results showed that the project change requests number per milestone increased in every District from Fiscal Year 00/01 to Fiscal Year 01/02. This trend eliminated any potential discrepancies regarding the rural versus the urban area delivery issues.

**Figure 1 - Comparison between Fiscal Year 00/01 and 01/02**

**Project Change Requests per Delivery Milestones**



Do all change requests submitted require programming changes?

It was hypothesized that due to the inability of the Department to deliver projects on time, within cost, and according to the original scope of work, changes in programming were made. Table 8 presents the data to answer whether all project change requests required programming changes. This is shown by the number of changes requested that did not include any programming changes. For schedule changes in STIP program and any current year SHOPP program project, a change request is required before a programming change is made. While the percent of total PCRs increased by 58%, changes not requiring programming increased by 15%, and changes requiring programming increased by 112% over the same period.

**Table 8 – PCRs Requiring Programming Change**

| Fiscal Year | Number of PCR submitted | Programming Change Not Required | Programming Required |
|---|---|---|---|
| 00/01 | 228 | 134 | 90 |
| 01/02 | 360 | 154 | 191 |
| Difference | + 132 | + 20 | + 101 |
| Percent changed from FY0/1 | + 58 % | + 15 % | + 112 % |

Table 9 summarizes the approval level of each project change request. According to some of the delegations of authority from the CTC to the Department, a number of changes in projects can be done without going through programming changes. For District Director Approved, these changes do not require any programming changes. The requests usually involved cost savings or minor changes in scope. For programming changes required, Headquarters Division chiefs and the Deputy Directors of Engineering and Finance signatures are needed prior to any programming processing.

**Table 9 – Project Change Request by Approval Level**

| Fiscal Year | Number of PCR submitted | District Director Approved | HQ Division Chiefs Approved | HQ Deputy Directors Approved | Not Approved |
|---|---|---|---|---|---|
| 00/01 | 228 | 134 | 83 | 7 | 4 |
| 01/02 | 360 | 154 | 142 | 49 | 15 |
| Difference | + 132 | + 20 | + 59 | + 42 | + 11 |
| Percent changed from FY0/1 | + 58 % | + 15 % | + 71 % | + 600 % | + 275 % |

Are all change requests initiated by the Department?

Table 10 shows the change reasons for each PCR based on each fiscal year. The PCRs were listed for the actual reasons by going through the files and reviewing the justifications for the change request. Assisting in this review for this research study were the Headquarters Project Management Coordinators, who each reviewed his/her regions and categorized the request into the list of change reasons shown in the table.

The Legislative Analyst Office believes that the Department maintains a high level of delivery performance by constantly changing its delivery commitments. By changing the programming documents, the Department was able to remove and replace larger projects with smaller ones. Table 10 also shows that not all of the changes originated from the Department. A small number of changes were from the local regions as indicated by the number of External or sponsor-initiated changes that went from 4 to 27.

Other changes that are beyond the control of the Department are the Environmental Permits changes. Caltrans relied on other agencies such as the Federal Highway Administration (FHWA), Department of Fish and Game (F&G), and other resource agencies for their reviews, comments and/or approval of permits. It is impossible for the Department to anticipate schedule

delays due to untimely correspondences or additional environmental document revisions that could alter the original scope of work.

**Table 10 – Project Change Request by Change Reasons**

| | Fiscal Year 2000/2001 | | Fiscal Year 2001/2002 | | | |
|---|---|---|---|---|---|---|
| Change Reasons | Number of PCRs | Percent of total | Number of PCRs | Percent of total | Number of PCRs changed | Percent Changed from FY 0/1 |
| Inaccurate Estimate from planning | 44 | 19 % | 68 | 19 % | + 24 | + 55 % |
| Coordination with other projects | 43 | 19 % | 53 | 15 % | + 10 | + 23 % |
| Internal initiated scope change | 32 | 14 % | 41 | 11 % | + 9 | + 28 % |
| External/sponsor initiated change | 4 | 2 % | 27 | 8 % | + 23 | + 575 % |
| Cost or unit escalation | 22 | 10 % | 42 | 12 % | + 20 | + 91 % |
| Additional studies required | 17 | 7 % | 38 | 11 % | + 21 | + 123 % |
| Environmental permit-scope | 11 | 5 % | 26 | 7 % | + 15 | + 136 % |
| Environmental permit-schedule | 24 | 11 % | 13 | 4 % | - 11 | (- 46 %) |
| Staff resource issues | 14 | 6 % | 22 | 6 % | + 8 | + 57 % |
| Right-of-way constraint | 4 | 2 % | 8 | 2 % | + 4 | + 100 % |
| Other | 13 | 6 % | 22 | 6 % | + 9 | + 70 % |
| Total | 228 | 100 % | 360 | 100 % | + 132 | + 58 % |

Was the project management training provided by Headquarters adequate in explaining the goals of the policy?

To adequately assess whether the policy is effectively implemented, the research study would like to establish if the new policy was properly communicated to its staff by asking the following questions: Was the project management training provided by Headquarters adequate in explaining the goals of the policy? Were sufficient instructions provided to District staff in documenting the changes for management to review and making the right decision? For the policy to be truly effective, the District staff would be able to meet the intended goal to minimize the efforts in processing the requests.

Results of the Project Managers' surveys

To help answer the above questions, a mixed sample of 27 of the available 129 project manager subjects in districts throughout the state were interviewed. A phone interview with each of these project managers was conducted during the second week of March 2003. The interviews were conducted based on the availability of these managers during this period. A series of questions were asked and the responses were recorded on Table A6 of the Appendix. A number of subjective responses were grouped and categorized along with similar responses. The results of the interviewed are listed below.

Question 1: *How long have you been working as a project manager?*

It was hypothesized that the experience level in this classification contributed to the high number of project changes. The survey data collected is to verify if this has any direct correlation. Responses to the question are as low as 6 months to a high of 8 years with the majority (16 of 27) of the responses in the 2 to 5 years range.

Question 2: *What was your background prior to becoming a project manager?*

The intent of the question is to validate whether experience in district design process will help prepare the project manager in dealing with the myriad of responsibilities of his/her duties. According to the survey sample, 59% of the project managers were from district design units, 18% from other sources such as headquarters, outside agencies, or private consultants. The remaining managers were from district construction and division of structures.

Question 3: *Did you attend the Project Change Request workshops?*

The intent of the question is to determine whether headquarters was committed to the new directive by providing adequate directions to individuals performing the work. Of all the responses, all of the project managers with 2 or more years of experience have attended the

workshops. None of the project managers with less than 2 years had attended. Discussions with the project management coordinators from headquarters yielded that the workshops were conducted at only one time in each district. Due to a reduced budget, workshops to address the turnover in the project managers in the districts were not scheduled.

Question 4: *Do you think the workshops were helpful in management of your projects?*

The purpose of this question is to determine if the new directive has been properly communicated to the project managers as to the intent and the expected results of the directive. The Headquarters project management coordinators were asked to present the new policy to all project managers within their areas through the workshop. All project managers that have attended the workshops felt that the message was properly communicated. The purpose of the directive and the expectations of the roles and responsibilities between district personnel and headquarters management was clear.

Question 5: *How much time was charged in preparing your last Project Change Request that was submitted?*

The intent of this question is to determine the amount of lost time or non-productive time due to preparing the changes. Annual resource allocation by the Legislature does not account for any resources other than what was needed for project delivery purposes. According to the sample group, the average time that was charged in making and documenting the changes is 41.85 hours total by the project managers. A number of project managers explained that the large number of hours charged is due to the long list of documents that the PCR process requires. For example, in a schedule change, before submitting the final package, project managers are required to verify their current schedule with team members and then to proceed with creating a new work plan identifying the new schedule. Headquarters Management wants to make sure that

districts have looked at their plans to see if it will be realistic. The new schedule will then be discussed among the district team members to see if there are any possible impacts to other projects. Once agreed upon by everyone, the PCR package will be circulated for all required signatures. Included in this package are the reasons for the change, a fact sheet or background information of the project, and the revised schedule.

Question 6: *What were the cause(s) for the change in the project?*

The purpose of this question is to determine the common factors in problem areas of project delivery. After consulting with the Headquarters project management coordinators, the responses were narrowed down to a selection list of eleven choices: scope creep, cost escalation, changes in field conditions, inadequate project initiation document preparation, coordination with other projects within the area, and others (See Appendix page A4 and A5). The result of the interviews showed that about half (51%) of the problems requiring a project change request are due to poor project initiation documents (PID). Further questions to the associated project manager provided that most of the PIDs were completed years before under other design engineers. Due to the lack of the departmental resources during Governor Wilson's administration of 1992-1998, planning efforts were cut back in exchange for project delivery efforts. Most of the inherent lack of in-depth studies that should have been completed prior to locking down the scope of the project has now shown up in the changes to programmed projects. Examples of the changes are the biological studies or archaeological studies that should have been done at the preliminary stage that have become a change in the limits of the projects due to the larger affected zone or area.

Question 7: *Is processing a PCR the last resort in the District?*

The question addresses whether the Department of Transportation would take the simple way out to improve its performance. The intent of the directive is to exhaust all possible alternatives before processing the change. From the perspective of those asking for the change, all project managers responded that processing a PCR is out of necessity rather than of convenience. The project manager and the Deputy Project Management Division Chief (also known as the single focal point) of each district must answer questions from headquarters management in regards to the reasons behind the decision to seek changes before any decision will be made whether to proceed with the programming changes.

Question 8: *What recommendation(s) and/or comments would you make to the current PCR process?*

The recommendation by an overwhelming number of project managers in the sample group is to remove videoconferencing from the process. The videoconference is the forum by which headquarters management can communicate directly with the staff and the single focal points. Other comments relate to the lengthiness of the process in general. It usually takes more than one month in order to get any changes made in the programming document. The current process requires that the PCR will require management's approval in order to proceed with the programming changes. If there is insufficient information for a decision by the videoconference meeting, the request will be delayed into the next month's meeting. Some project managers in the sample group felt that the PCR process is unnecessary since almost all PCRs submitted are approved.

The findings of the implementation of the new PCR policy through a collection of literature reviews, data collection, and staff interviews showed that the intended result has not been achieved. The data collected in Table 1 actually showed a reverse trend to the expected

result. Instead of having fewer changes, the Department is facing more changes than ever before.

## SUMMARY

The goal of the research study is to determine whether the new Project Change Request (PCR) policy issued by Caltrans Headquarters' Project Management is effective in meeting its purpose. By being effective, Caltrans will be able to reduce the total number of changes without expending any more resources than the periods prior to the implementation of the new process. The findings of this study showed that this policy did not perform as intended. The most critical determinant that the policy is not effective is shown in Table 1 and Figure 1. Prior to the policy implementation, the number of changes were only 21% of the measured milestones, yet after the policy was implemented, this number doubled to 42% of the measured milestones. Although the funding cycle or the revision of the 2002 STIP and SHOPP contributed to the large number of changes, it does not account for the large number of overall changes since these changes were submitted prior to the current fiscal shortage in the State Highway Account. As for the recommended changes to improve the policy, the project managers interviewed provided some valuable input. One of the recommended changes is to remove the videoconferencing that occurred every month. According to the comments, the meeting does not add any value to the overall process since almost all requests are eventually approved. The other change that may improve the PCR policy is to automate the process to the programming process. Since the two processes are not inter-connected, district project managers were required to have an approved PCR prior to processing the actual programming document submittal. Sometimes it may take more than two months to process the programming changes and may result in delays to the

project's delivery. With these and other improvements, perhaps the policy will perform to the expectations of management.

It is also important to note that the project change request policy began as a form of performance measure to control the number of changes. And according to the National Performance Review, performance measurement yields many benefits for an organization. One benefit is that it provides a structured approach for focusing on a program's strategic plan, goals, and performance. Another benefit is that measurement provides a mechanism for reporting on program performance to upper management. Other advantages of capturing measurement information are that they enable organizations to set goals and standards; detect and correct problems; manage describe, and improve processes; and document accomplishments.

Caltrans and its executive management had always been advocates in the implementation of performance measures. The success or failure of the PCR policy implementation still resides in the consequences or lack thereof of the Districts and Headquarters. However, through the implementation of this policy, it can be seen that the Department is expanding its reinvention efforts. By working toward better customer service and being reactive to customer needs, Caltrans implemented this PCR policy which began as a reaction to comments made by the LAO.

It should not overlooked that there are policies implemented by the Department such as scope change control, AADD, Design Sequencing, and so forth, which embrace employee empowerment by allowing them to determine efficient ways to deliver the project and proceed with its execution. The project change request policy, on the contrary, is actually increasing the authority of Headquarters central power over regional employees.

## AREAS FOR FURTHER RESEARCH

To fairly assess the implementation of the policy, an expanded time period after the implementation is needed. Additionally, the time period will be void of potential anomalies such as a new STIP or SHOPP funding cycle, a change in fiscal economy such as the one California is currently facing. For example, since the State Budget was reduced, the Transportation Congestion Relief Program was also reduced to zero funding for the next fiscal year and beyond, this change will require a number of changes to programming documents.

The effect of the implementation of the policy on project delivery will require extensive control over other factors that would contribute to improvement in project delivery such as scope change control, or design sequencing. Any new study will need to carefully select a sample pool to avoid influences from such factors.

A number of local projects are also subject to the same programming requirements as Caltrans. It would be of interest to compare how the Department performs in controlling its changes versus the local transportation agencies. This would provide a truer account as to the effectiveness of the policy since external factors will be faced by both groups and comparison could be assess using this benchmark process.

Finally, a careful selection of the sample group of participants in the Project Change Request policy implementation will reduce any uncertainty regarding the human factor. A small group of representatives from each region with similar background, experience, workload will be compared with each other for the changes to their projects.

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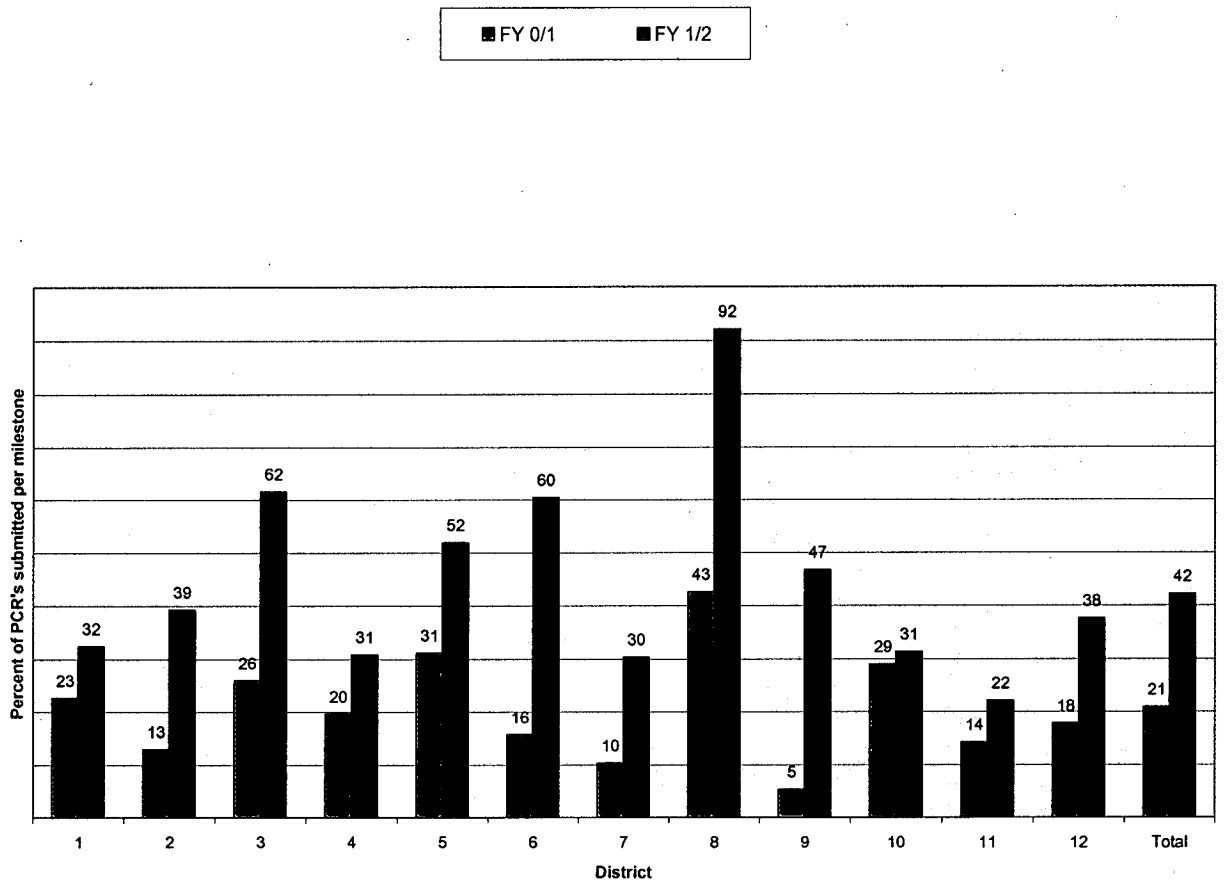
Send final capstone paper (which is bound, with appendices and attachments) must be sent via certified mail.
The exact GGU address is:

Dr. Jay Gonzalez
EMPA Program, ASOB
Golden Gate University
536 Mission Street
San Francisco, CA 94105-2968
Tel: (415) 442-6576

**TABLE 1 - Comparison of the Change Requests submitted versus Milestones**

| | Fiscal Year 2000/2001 | | | Fiscal Year 2001/2002 | | |
|---|---|---|---|---|---|---|
| District | No. of PCR Submitted | No. of Milestones in Delivery Plan | Ratio of PCR vs. Milestones (Percent) | No. of PCR Submitted | No. of Milestones in Delivery Plan | Ratio of PCR vs. Milestones (Percent) |
| 1 | 12 | 53 | 23 | 11 | 34 | 32 |
| 2 | 9 | 70 | 13 | 20 | 51 | 39 |
| 3 | 22 | 85 | 26 | 40 | 65 | 62 |
| 4 | 44 | 225 | 20 | 61 | 198 | 31 |
| 5 | 23 | 74 | 31 | 28 | 54 | 52 |
| 6 | 12 | 77 | 16 | 35 | 58 | 60 |
| 7 | 16 | 156 | 10 | 40 | 132 | 30 |
| 8 | 40 | 94 | 43 | 69 | 75 | 92 |
| 9 | 1 | 19 | 5 | 7 | 15 | 47 |
| 10 | 24 | 83 | 29 | 20 | 64 | 31 |
| 11 | 14 | 99 | 14 | 17 | 77 | 22 |
| 12 | 11 | 62 | 18 | 12 | 32 | 38 |
| Total | 228 | 1097 | 21 | 360 | 855 | 42 |

**Figure 1 - Comparison between Fiscal Year 00/01 and 01/02**
**Project Change Requests per Delivery Milestones**



## TABLE 2 - Non-Approval Rate of the Change Requests Submitted

| Fiscal Year | No. of PCR Submitted | No. of Milestones in Delivery Plan | Ratio of PCR vs. Milestones | No. of PCR Un-Approved | No. of Milestones in Delivery Plan | Ratio of PCR vs. Milestones |
|---|---|---|---|---|---|---|
| 00/01 | 228 | 1097 | 21 | 4 | 1097 | 0.36 |
| 01/02 | 360 | 855 | 42 | 15 | 855 | 1.75 |
| Average | 588 | 1952 | 30 | 19 | 1952 | 1 |

**Figure 2 - Rate of PCR Not Approved between Fiscal Year 00/01 and 01/02**

**(Project Change Requests per Delivery Milestones)**

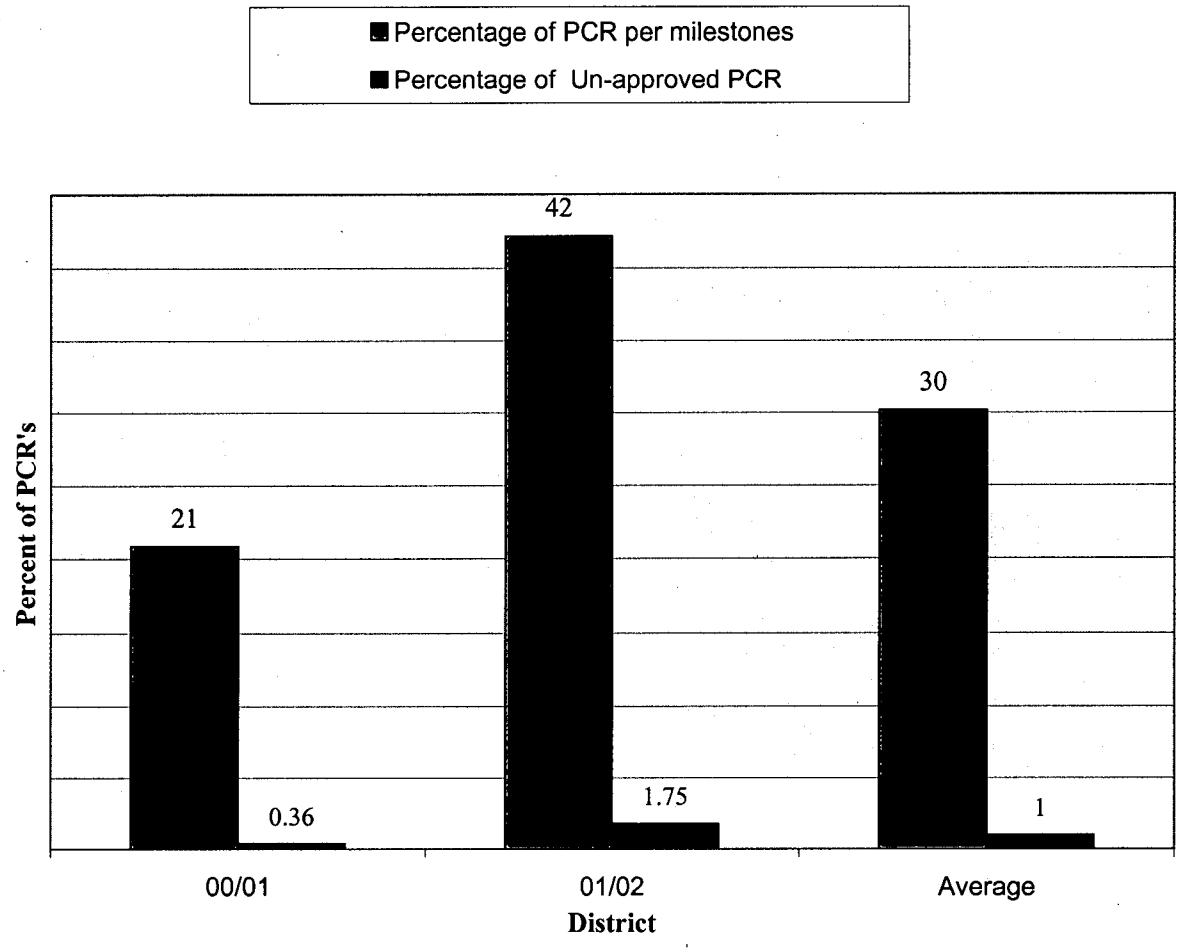
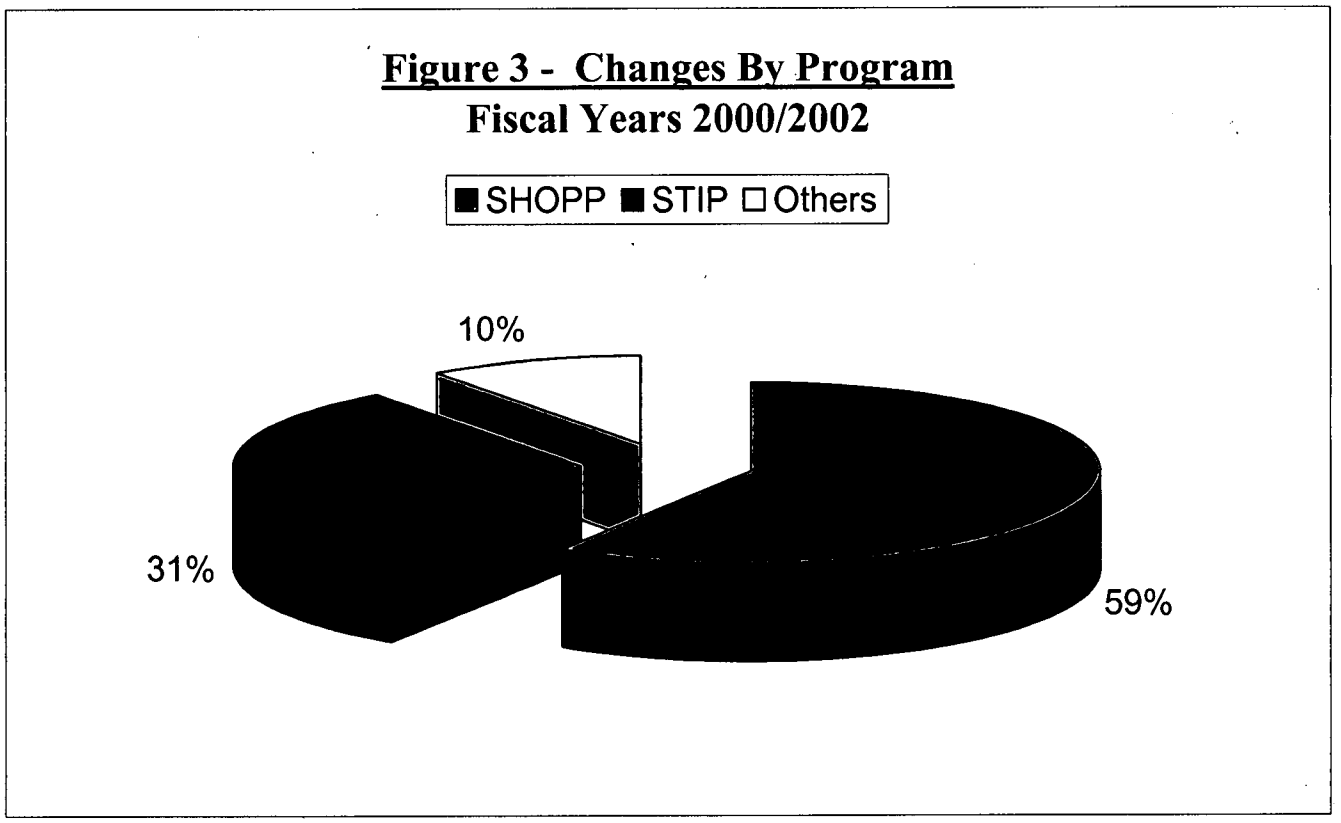


**TABLE 3 : Changes per Program**

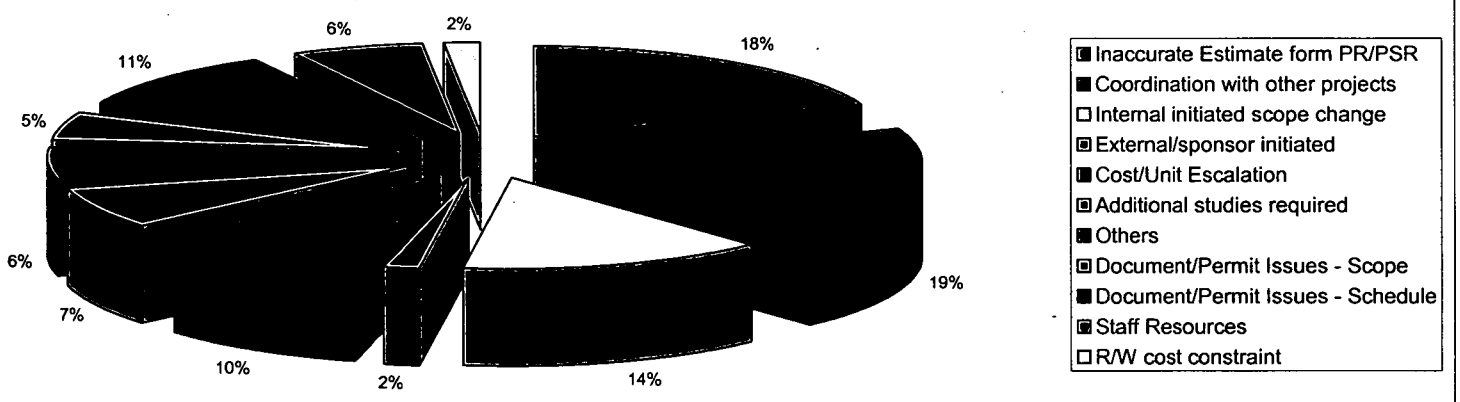
| Program | Number of changes FY 00/01 | Number of changes FY 01/02 | Total Change per program | Percent of changes |
|---|---|---|---|---|
| SHOPP | 166 | 214 | 380 | 59% |
| STIP | 57 | 142 | 199 | 31% |
| Others | 20 | 44 | 64 | 10% |
| Total | 243 | 400 | 643 | 100% |

Note: Some projects receive funding from more than one programs



| Changes Reasons | Total | % |
|---|---|---|
| Inaccurate Estimate form PR/PSR | 44 | 19.3 |
| Coordination with other projects | 43 | 18.9 |
| Internal initiated scope change | 32 | 14.0 |
| External/sponsor initiated | 4 | 1.8 |
| Cost/Unit Escalation | 22 | 9.6 |
| Additional studies required | 17 | 7.5 |
| Others | 13 | 5.7 |
| Document/Permit Issues - Scope | 11 | 4.8 |
| Document/Permit Issues - Schedule | 24 | 10.5 |
| Staff Resources | 14 | 6.1 |
| R/W cost constraint | 4 | 1.8 |
| | 228 | 100 |

**Figure 4 - Number of PCR's per Change Reasons**
**Fiscal Year 2000/2001**



| Changes Reasons | Total | % |
|---|---|---|
| Inaccurate Estimate from PR/PSR | 68 | 18.9 |
| Coordination with other projects | 53 | 14.7 |
| Internal initiated scope change | 41 | 11.4 |
| External/sponsor initiated | 27 | 7.5 |
| Cost/Unit Escalation | 42 | 11.7 |
| Additional studies required | 38 | 10.6 |
| Others | 22 | 6.1 |
| Document/Permit Issues - Scope | 26 | 7.2 |
| Document/Permit Issues - Schedule | 13 | 3.6 |
| Staff Resources | 22 | 6.1 |
| R/W cost constraint | 8 | 2.2 |
| | 360 | 100 |

**Figure 5 - Number of PCR's per Change Reasons**
**Fiscal Year 2001/2002**

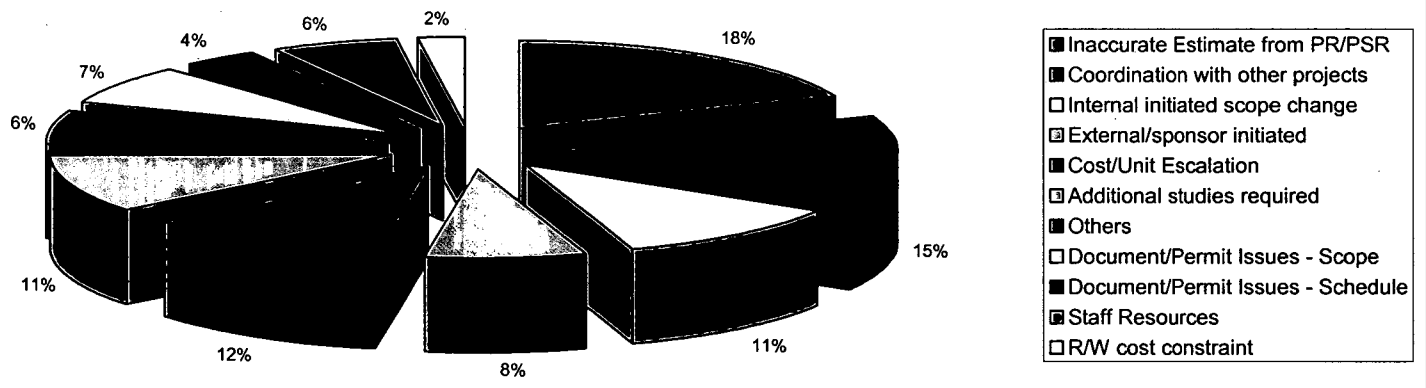


TABLE 6 - Project Managers' Survey

| Question Number | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|---|---|---|---|---|---|---|---|---|---|
| Project Manager | District | How long have been PM ? | Background Position prior to PM | Attend PCR Training ? | Training Helpful ? | Approx. Time spent on last PCR | Cause of Change | Is the PCR being viewed as last resort within your District? | Recommendation(s) or comments to the current PCR Process? |
| | | Years | Design Construction Structures Other | | | Hours | Scope Creep Cost Escalation Change in Field Cond. Inadequate PID | | |
| 1 | 1 | 1 | Design | No | N/A | 32 | Scope | Yes | No more videoconferencing |
| 2 | 1 | 8 | Design | Yes | Yes | 40 | PID | Yes | Takes too long to process |
| 3 | 2 | 5 | Other | Yes | Yes | 56 | Cost Esc | Yes | Too many signatures required |
| 4 | 3 | 1.5 | Design | No | N/A | 48 | PID | Yes | Too many signatures required |
| 5 | 3 | 1 | Design | No | N/A | 24 | PID | Yes | Takes too long to process |
| 6 | 3 | 0.5 | Structures | No | N/A | 64 | Cost Esc | Yes | Too many signatures required |
| 7 | 3 | 1 | Other | No | N/A | 24 | PID | Yes | Process not automated, still has to send in amendment later |
| 8 | 3 | 2 | Design | Yes | Yes | 44 | PID | Yes | No more videoconferencing |
| 9 | 4 | 1 | Construction | No | N/A | 60 | Condition | Yes | Too many signatures required |
| 10 | 4 | 0.5 | Design | No | N/A | 48 | Scope | Yes | Process not automated, still has to send in amendment later |
| 11 | 4 | 1.5 | Design | No | N/A | 60 | Cost Esc | Yes | Untimely meeting schedule with needed |
| 12 | 4 | 1 | Other | No | N/A | 36 | PID | Yes | PCR Process is redundant since all is approved |
| 13 | 5 | 5 | Design | Yes | Yes | 30 | PID | Yes | PCR Process is redundant since all is approved |
| 14 | 5 | 4 | Design | Yes | Yes | 40 | PID | Yes | No more videoconferencing |
| 15 | 6 | 4 | Construction | Yes | Yes | 48 | PID | Yes | PCR Process is redundant since all is approved |
| 16 | 6 | 3 | Design | Yes | Yes | 16 | PID | Yes | Takes too long to process |
| 17 | 6 | 2 | Construction | Yes | Yes | 60 | Cost Esc | Yes | No more videoconferencing |
| 18 | 7 | 3 | Design | Yes | Yes | 32 | Coordination | Yes | Process not automated, still has to send in amendment later |
| 19 | 7 | 4 | Design | Yes | Yes | 40 | PID | Yes | PCR Process is redundant since all is approved |
| 20 | 7 | 2 | Other | Yes | Yes | 44 | PID | Yes | No more videoconferencing |
| 21 | 7 | 4 | Structures | Yes | Yes | 48 | Scope | Yes | Takes too long to process |

TABLE 6 - Project Managers' Survey

| Question Number | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|---|---|---|---|---|---|---|---|---|---|
| Project Manager | District | How long have been PM ? | Background Position prior to PM | Attend PCR Training ? | Training Helpful ? | Approx. Time spent on last PCR | Cause of Change | Is the PCR being viewed as last resort within your District? | Recommendation(s) or comments to the current PCR Process? |
| | | Years | Design Construction Structures Other | | | Hours | Scope Creep Cost Escalation Change in Field Cond. Inadequate PID | | |
| 22 | 7 | 2 | Design | Yes | Yes | 40 | PID | Yes | No more videoconferencing |
| 23 | 8 | 2 | Design | Yes | Yes | 56 | Cost Esc | Yes | No more videoconferencing |
| 24 | 8 | 1.5 | Design | No | N/A | 24 | Coordination | Yes | No more videoconferencing |
| 25 | 8 | 2.5 | Construction | Yes | Yes | 40 | PID | Yes | Takes too long to process |
| 26 | 11 | 5 | Design | Yes | Yes | 32 | Cost Esc | Yes | Process not automated, still has to send in amendment later |
| 27 | 11 | 3.5 | Other | Yes | Yes | 44 | Coordination | Yes | Too many signatures required |
| | | | | | | 41.85 | | | |

# Statewide
## FY 1999/00 CAPITAL IMPROVEMENT PROJECTS
### FOURTH QUARTER DELIVERY REPORT

**STIP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 23 | 16 | 7 | 11 | 57 | 23 | 38 | 23 | 38 | 40% | 53% | 40% | 53% | 100% |
| RTL | 6 | 15 | 23 | 13 | 57 | 36 | 54 | 36 | 54 | 63% | 72% | 63% | 72% | 100% |
| R/W Cert. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| CCA | 22 | 27 | 13 | 11 | 73 | 42 | 58 | 42 | 58 | 58% | 65% | 58% | 65% | 100% |
| **Total** | **51** | **58** | **43** | **35** | **187** | **101** | **150** | **101** | **150** | **54%** | **64%** | **54%** | **64%** | **100%** |

**TCRP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 2 | 3 | 2 | 0 | 7 | 4 | 5 | 4 | 5 | 57% | 63% | 57% | 63% | 100% |
| RTL | 2 | 1 | 5 | 4 | 12 | 9 | 9 | 9 | 9 | 75% | 75% | 75% | 75% | 100% |
| R/W Cert. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| CCA | 1 | 2 | 1 | 0 | 4 | 1 | 1 | 1 | 1 | 25% | 25% | 25% | 25% | 100% |
| **Total** | **5** | **6** | **8** | **4** | **23** | **14** | **15** | **14** | **15** | **61%** | **63%** | **61%** | **63%** | **100%** |

**SHOPP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 54 | 62 | 35 | 26 | 177 | 75 | 126 | 75 | 126 | 42% | 55% | 42% | 55% | 100% |
| RTL | 25 | 53 | 81 | 44 | 203 | 129 | 170 | 129 | 170 | 64% | 70% | 64% | 70% | 100% |
| R/W Cert. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| CCA | 54 | 80 | 47 | 43 | 224 | 138 | 166 | 138 | 166 | 62% | 66% | 62% | 66% | 100% |
| **Total** | **133** | **195** | **163** | **113** | **604** | **342** | **462** | **342** | **462** | **57%** | **64%** | **57%** | **64%** | **100%** |

**OTHER**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 21 | 18 | 14 | 10 | 63 | 21 | 35 | 21 | 35 | 33% | 45% | 33% | 45% | 100% |
| RTL | 14 | 20 | 17 | 10 | 61 | 39 | 52 | 39 | 52 | 64% | 70% | 64% | 70% | 100% |
| R/W Cert. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| CCA | 15 | 20 | 11 | 13 | 59 | 37 | 52 | 37 | 52 | 63% | 70% | 63% | 70% | 100% |
| **Total** | **50** | **58** | **42** | **33** | **183** | **97** | **139** | **97** | **139** | **53%** | **62%** | **53%** | **62%** | **100%** |

**ALL**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 100 | 99 | 58 | 47 | 304 | 123 | 204 | 123 | 204 | 40% | 53% | 40% | 53% | 100% |
| RTL | 47 | 89 | 126 | 71 | 333 | 213 | 285 | 213 | 285 | 64% | 70% | 64% | 70% | 100% |
| R/W Cert. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| CCA | 92 | 129 | 72 | 67 | 360 | 218 | 277 | 218 | 277 | 61% | 66% | 61% | 66% | 100% |
| **TOTAL** | **239** | **317** | **256** | **185** | **997** | **554** | **766** | **554** | **766** | **56%** | **63%** | **56%** | **63%** | **100%** |

| | |
|---|---|
| **BASELINE PLAN** | Number of baselined milestones planned for delivery in each quarter of the current fiscal year |
| **FYTD DLVRY (Baseline)** | Number of planned baseline milestones completed year-to-date (I.e., planned deliveries) |
| **FYTD DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FYTD DLVRY % (Baseline)** | Number of planned baseline milestones completed year-to-date **divided** by number of baselined milestones planned year-to-date |
| **FYTD DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by (number of baselined milestones planned to-date + fiscal year early baseline and non-baseline milestones completed to-date) |
| **FY DLVRY (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date |
| **FY DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FY DLVRY % (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date **divided** by fiscal year Baseline Plan |
| **FY DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by Fiscal year Baseline Plan plus non-baseline milestones completed year-to-date |
| **FY Projection %** | Fiscal Year Baseline Plan minus Baselined Milestones that have slipped out of the year **divided** by Fiscal Year Baseline Plan |

# Statewide
# FY 2000/01 CAPITAL IMPROVEMENT PROJECTS
## FOURTH QUARTER DELIVERY REPORT

**STIP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 24 | 22 | 28 | 10 | **84** | 48 | 54 | 48 | 54 | 57% | 60% | 57% | 60% | 100% |
| RTL | 1 | 15 | 22 | 8 | **46** | 31 | 45 | 31 | 45 | 67% | 75% | 67% | 75% | 100% |
| R/W Cert. | 7 | 14 | 17 | 11 | **49** | 34 | 47 | 34 | 47 | 69% | 76% | 69% | 76% | 100% |
| CCA | 4 | 11 | 5 | 8 | **28** | 20 | 26 | 20 | 26 | 71% | 76% | 71% | 76% | 100% |
| **Total** | **36** | **62** | **72** | **37** | **207** | **133** | **172** | **133** | **172** | **64%** | **70%** | **64%** | **70%** | **100%** |

**TCRP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 5 | 3 | 1 | 0 | **9** | 6 | 12 | 6 | 12 | 67% | 80% | 67% | 80% | 100% |
| RTL | 0 | 1 | 2 | 1 | **4** | 2 | 7 | 2 | 7 | 50% | 78% | 50% | 78% | 100% |
| R/W Cert. | 1 | 0 | 3 | 1 | **5** | 2 | 8 | 2 | 8 | 40% | 73% | 40% | 73% | 100% |
| CCA | 0 | 0 | 0 | 1 | **1** | 1 | 1 | 1 | 1 | 100% | 100% | 100% | 100% | 100% |
| **Total** | **6** | **4** | **6** | **3** | **19** | **11** | **28** | **11** | **28** | **58%** | **78%** | **58%** | **78%** | **100%** |

**SHOPP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 40 | 42 | 37 | 29 | **148** | 103 | 133 | 103 | 133 | 70% | 75% | 70% | 75% | 96% |
| RTL | 15 | 34 | 74 | 17 | **140** | 118 | 177 | 118 | 177 | 84% | 89% | 84% | 89% | 98% |
| R/W Cert. | 21 | 41 | 53 | 15 | **130** | 110 | 196 | 110 | 196 | 85% | 91% | 85% | 91% | 97% |
| CCA | 27 | 63 | 45 | 44 | **179** | 130 | 237 | 130 | 237 | 73% | 83% | 73% | 83% | 93% |
| **Total** | **103** | **180** | **209** | **105** | **597** | **461** | **743** | **461** | **743** | **77%** | **85%** | **77%** | **85%** | **96%** |

**OTHER**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 20 | 29 | 15 | 8 | **72** | 47 | 144 | 47 | 144 | 65% | 85% | 65% | 85% | 96% |
| RTL | 6 | 15 | 19 | 13 | **53** | 32 | 104 | 32 | 104 | 60% | 83% | 60% | 83% | 96% |
| R/W Cert. | 7 | 14 | 15 | 16 | **52** | 34 | 109 | 34 | 109 | 65% | 86% | 65% | 86% | 94% |
| CCA | 20 | 18 | 33 | 26 | **97** | 61 | 85 | 61 | 85 | 63% | 70% | 63% | 70% | 98% |
| **Total** | **53** | **76** | **82** | **63** | **274** | **174** | **442** | **174** | **442** | **64%** | **82%** | **64%** | **82%** | **96%** |

**ALL**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 89 | 96 | 81 | 47 | **313** | 204 | 343 | 204 | 343 | 65% | 76% | 65% | 76% | 97% |
| RTL | 22 | 65 | 117 | 39 | **243** | 183 | 333 | 183 | 333 | 75% | 85% | 75% | 85% | 98% |
| R/W Cert. | 36 | 69 | 88 | 43 | **236** | 180 | 360 | 180 | 360 | 76% | 87% | 76% | 87% | 97% |
| CCA | 51 | 92 | 83 | 79 | **305** | 212 | 349 | 212 | 349 | 70% | 79% | 70% | 79% | 95% |
| **TOTAL** | **198** | **322** | **369** | **208** | **1097** | **779** | **1385** | **779** | **1385** | **71%** | **81%** | **71%** | **81%** | **97%** |

| | |
|---|---|
| **BASELINE PLAN** | Number of baselined milestones planned for delivery in each quarter of the current fiscal year |
| **FYTD DLVRY (Baseline)** | Number of planned baseline milestones completed year-to-date (I.e., planned deliveries) |
| **FYTD DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FYTD DLVRY % (Baseline)** | Number of planned baseline milestones completed year-to-date **divided** by number of baselined milestones planned year-to-date |
| **FYTD DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by (number of baselined milestones planned to-date + fiscal year early baseline and non-baseline milestones completed to-date) |
| **FY DLVRY (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date |
| **FY DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FY DLVRY % (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date **divided** by fiscal year Baseline Plan |
| **FY DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by Fiscal year Baseline Plan plus non-baseline milestones completed year-to-date |
| **FY Projection %** | Fiscal Year Baseline Plan minus Baselined Milestones that have slipped out of the year **divided** by Fiscal Year Baseline Plan |

# Statewide
# FY 2001/02 CAPITAL IMPROVEMENT PROJECTS
# FOURTH QUARTER DELIVERY REPORT

**STIP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 9 | 22 | 20 | 10 | 61 | 43 | 51 | 43 | 51 | 70% | 74% | 70% | 74% | 75% |
| RTL | 0 | 8 | 18 | 17 | 43 | 31 | 41 | 31 | 41 | 72% | 77% | 72% | 77% | 88% |
| R/W Cert. | 1 | 8 | 24 | 15 | 48 | 41 | 53 | 41 | 53 | 85% | 88% | 85% | 88% | 94% |
| CCA | 4 | 12 | 5 | 8 | 29 | 24 | 36 | 24 | 36 | 83% | 88% | 83% | 88% | 86% |
| **Total** | **14** | **50** | **67** | **50** | **181** | **139** | **181** | **139** | **181** | **77%** | **81%** | **77%** | **81%** | **85%** |

**TCRP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 2 | 1 | 2 | 1 | 6 | 6 | 9 | 6 | 9 | 100% | 100% | 100% | 100% | 100% |
| RTL | 2 | 2 | 0 | 1 | 5 | 5 | 8 | 5 | 8 | 100% | 100% | 100% | 100% | 100% |
| R/W Cert. | 3 | 1 | 0 | 0 | 4 | 4 | 8 | 4 | 8 | 100% | 100% | 100% | 100% | 100% |
| CCA | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0% | 0% | 0% | 0% | 0% |
| **Total** | **7** | **4** | **3** | **2** | **16** | **15** | **25** | **15** | **25** | **94%** | **96%** | **94%** | **96%** | **94%** |

**SHOPP**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 26 | 30 | 23 | 17 | 96 | 70 | 109 | 70 | 109 | 73% | 81% | 73% | 81% | 74% |
| RTL | 8 | 31 | 60 | 26 | 125 | 116 | 159 | 116 | 159 | 93% | 95% | 93% | 95% | 94% |
| R/W Cert. | 14 | 26 | 55 | 25 | 120 | 113 | 167 | 113 | 167 | 94% | 96% | 94% | 96% | 96% |
| CCA | 29 | 83 | 42 | 29 | 183 | 155 | 215 | 155 | 215 | 85% | 88% | 85% | 88% | 86% |
| **Total** | **77** | **170** | **180** | **97** | **524** | **454** | **650** | **454** | **650** | **87%** | **90%** | **87%** | **90%** | **88%** |

**OTHER**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 8 | 8 | 9 | 4 | 29 | 25 | 38 | 25 | 38 | 86% | 90% | 86% | 90% | 83% |
| RTL | 3 | 8 | 10 | 6 | 27 | 20 | 56 | 20 | 56 | 74% | 89% | 74% | 89% | 85% |
| R/W Cert. | 2 | 6 | 5 | 18 | 31 | 29 | 73 | 29 | 73 | 94% | 97% | 94% | 97% | 94% |
| CCA | 13 | 19 | 8 | 7 | 47 | 38 | 48 | 38 | 48 | 81% | 84% | 81% | 84% | 85% |
| **Total** | **26** | **41** | **32** | **35** | **134** | **112** | **215** | **112** | **215** | **84%** | **91%** | **84%** | **91%** | **87%** |

**ALL**

| | BASELINE PLAN | | | | | FYTD DLVRY | | FY DLVRY | | FYTD DLVRY % | | FY DLVRY % | | FY Projection % |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Q 1 | Q 2 | Q 3 | Q 4 | Total | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline | Overall | Baseline |
| PA&ED | 45 | 61 | 54 | 32 | 192 | 144 | 207 | 144 | 207 | 75% | 81% | 75% | 81% | 77% |
| RTL | 13 | 49 | 88 | 50 | 200 | 172 | 264 | 172 | 264 | 86% | 90% | 86% | 90% | 92% |
| R/W Cert. | 20 | 41 | 84 | 58 | 203 | 187 | 301 | 187 | 301 | 92% | 95% | 92% | 95% | 95% |
| CCA | 46 | 114 | 56 | 44 | 260 | 217 | 299 | 217 | 299 | 83% | 87% | 83% | 87% | 85% |
| **TOTAL** | **124** | **265** | **282** | **184** | **855** | **720** | **1071** | **720** | **1071** | **84%** | **89%** | **84%** | **89%** | **87%** |

| | |
|---|---|
| **BASELINE PLAN** | Number of baselined milestones planned for delivery in each quarter of the current fiscal year |
| **FYTD DLVRY (Baseline)** | Number of planned baseline milestones completed year-to-date (I.e., planned deliveries) |
| **FYTD DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FYTD DLVRY % (Baseline)** | Number of planned baseline milestones completed year-to-date **divided** by number of baselined milestones planned year-to-date |
| **FYTD DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by (number of baselined milestones planned to-date + fiscal year early baseline and non-baseline milestones completed to-date) |
| **FY DLVRY (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date |
| **FY DLVRY (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date |
| **FY DLVRY % (Baseline)** | Number of baselined milestones (planned plus fiscal year early) completed year-to-date **divided** by fiscal year Baseline Plan |
| **FY DLVRY % (Overall)** | Number of baselined milestones (planned plus fiscal year early) and non-baseline milestones completed year-to-date **divided** by Fiscal year Baseline Plan plus non-baseline milestones completed year-to-date |
| **FY Projection %** | Fiscal Year Baseline Plan minus Baselined Milestones that have slipped out of the year **divided** by Fiscal Year Baseline Plan |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | SCL | 87 | 241401 | 9/26/2000 | | | X | | | | | | X | | | | | | n/a |
| 4 | ALA | 92 | 277400 | | | | | | | JOHN HAYNES | | | X | | | | | | X |
| 4 | ALA | 880 | 277900 | | | | | | | JOHN HAYNES | | | | | | | | | |
| 1 | DN | 101 | 293110 | 6/28/2001 | | | X | X | X | GARY BANDUCCI | | | X | | | | X | | n/a |
| 10 | AMA | 49 | 356000 | 6/28/2001 | | | X | | | ROBERT EFFINGER | | | | | | | | X | n/a |
| 7 | VEN | | 206011 | 9/14/2001 | | | | | | | | | | | | | | | |
| 12 | ORA | 55 | 95621 | 1/30/2001 | X | 66 | X | X | | | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 40861 | 1/30/2001 | X | 33 | | X | X | ADNAN MAIAH | | | | | | | X | | |
| 12 | ORA | 22 | 40881 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 11 | IMP | 98 | 229000 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173400 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 8 | RIV | 10 | 437901 | 1/30/2001 | X | 12 | | | | WENDY LI | | | X | | | | X | | n/a |
| 8 | SBD | 18 | 5611 | 1/30/2001 | X | 7 | | | | GEORGE MORHIG | | | X | | | | X | | n/a |
| 8 | RIV | 215 | 462711 | 4/25/2001 | X | 25 | | X | X | CLIFF SHIEH | X | | | | | | | X | |
| 8 | RIV | 215 | 334801 | 4/25/2001 | | | X | | | CLIFF SHIEH | X | | | | X | | X | | |
| 8 | RIV | 91 | 4221U1 | 1/30/2001 | X | 19 | | | | SATAA BAYATI | | | X | | | | X | | n/a |
| 5 | SB | 101 | 448301 | 4/25/2001 | X | 30 | | | X | ROBERT MILLER | | | X | | | | X | | n/a |
| 10 | STA | 120 | 2812U1 | | X | 90 | X | X | | JOHN ENSCH | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 349701 | 1/30/2001 | X | -16 | | | | MARCELLA NANKERVIS | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 2618U1 | 1/30/2001 | X | 26 | | | X | MARCELLA NANKERVIS | X | | | | | | X | | |
| 6 | KER | 5 | 421001 | 1/30/2001 | X | 25 | | | | JIM HAMMER | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 53271 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 7 | LA | 405 | 1178U1 | 3/13/2001 | | | | | X | GABE HAMIDI | X | | | | X | | X | | |
| 4 | NAP | 29 | 120611 | 4/5/2001 | | | X | | X | CRISTINA FERRAZ | X | | | | | | X | | |
| 3 | SAC | 160 | 447101 | 4/18/2001 | X | 65 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | YOL | 80 | 395901 | 4/18/2001 | X | -39 | | | | ROBERT D. MORRISON | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T1010 | 4/19/2001 | | | X | | | KATIE YIM | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T090 | 4/16/2001 | | | X | | | | | | X | | | X | | | n/a |
| 5 | MON | 101 | 0161A1 | 4/17/2001 | X | | | X | | JOSE PONCE | | | X | | | X | | | n/a |
| 5 | SB | 166 | 0A490K | 4/4/2001 | | | X | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 5 | SLO | 46 | 486701 | 4/17/2001 | X | 36 | | | | RON KRAEMER | | | X | | | X | | | n/a |
| 6 | KER | 99 | 31820 | 4/19/2001 | | | X | | | GLENN BLAKE | | | X | | | X | | | n/a |
| 6 | TUL | 198 | 403500 | 4/17/2001 | X | 18 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 6 | TUL | 99 | 432000 | 4/17/2001 | X | 20 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 8 | SBD | VAR | 47790K | 5/3/2001 | X | -53 | | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 8 | SBD | 40 | 483700 | 4/24/2001 | X | -8 | | | | HELENA SULLIVAN | | | X | | | X | | | n/a |
| 8 | SBD | 210 | 4432T1 | 4/23/2001 | | | X | | | STEVEN KEEL | | | X | | | X | | | n/a |
| 8 | RIV | 15 | 398801 | 6/6/2001 | | | X | | | BRUCE KO | | | X | | | X | | | n/a |
| 8 | RIV | 111 | 428111 | 4/24/2001 | | | X | | | MANUEL FARIAS | | | X | | | X | | | n/a |
| 10 | MER | 5 | 1A430 | 6/29/2001 | X | 19 | | | | ELBERT COX | | | X | | | X | | | n/a |
| 11 | SD | 78 | 165731 | 4/19/2001 | | | X | X | | | | | X | | | X | | | n/a |
| 1 | MEN | 128 | 362400 | 4/30/2001 | | | X | | | ALAN ESCARDA | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 447901 | 4/30/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | SBD | 83 | 449700 | 4/30/2001 | | | X | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 420731 | 6/23/2001 | X | 42 | | | | DAIVID RASMUSSEN | | | X | | | X | | | n/a |
| 6 | KIN | 41 | 32151 | 6/23/2001 | | | X | | | TERRY OGLE | | | X | | | X | | | n/a |
| 6 | KIN | 41 | 393801 | 6/23/2001 | | | X | | | TERRY OGLE | | | X | | | X | | | n/a |
| 6 | KER | 41 | 38290 | 6/23/2001 | | | X | | | TERRY OGLE | | | X | | | X | | | n/a |
| 7 | LA | 39 | 133201 | 6/12/2001 | | | X | | | JOHN K. LEE | | | X | | | X | | | n/a |
| 8 | RIV | 86 | 428161 | 4/13/2001 | | | | | | | | X | | | | | | | |
| 10 | STA | 120 | 345400 | 4/25/2001 | X | | X | | | DAVID MENDOZA | | X | | | | | X | | |
| 7 | VEN | 101 | 192901 | 4/5/2001 | X | -38 | | X | | MUMBIE FREDSON-COLE | | | X | | | | X | | n/a |
| 7 | LA | 405 | 191301 | 4/5/2001 | X | 11 | | | | EDWARD ANDRAOS | X | X | | | | | X | | |
| 11 | IMP | 7 | 65100 | 4/5/2001 | | | X | | | JOHN P. RIEGER | X | | | | | | X | | |
| 6 | KER | 58 | 400100 | 4/9/2001 | X | | X | X | | JIM HAMMER | X | X | | | | | X | | |
| 4 | SM | 280 | 135991 | 6/27/2001 | X | 134 | | X | | KAI CHAN | | | X | | | | X | | n/a |
| 4 | CC | 4 | 228770 | 4/5/2001 | | | | | X | RAYMOND PANG | X | X | | | X | | X | | |
| 4 | ALA | 580 | 181791 | 4/5/2001 | X | 161 | | X | | LYLE B. OEHLER | X | | | | | | X | | |
| 4 | ALA | 580 | 410951 | 4/9/2001 | | | X | | | ROBERT ANDERSON | | | | | X | | X | | |
| 4 | SOL | 37 | 0T1411 | 4/5/2001 | X | 9 | | | | KATIE YIM | X | | | | | | X | | |
| 4 | ALA | 80 | 254800 | 4/5/2001 | X | 39 | | | | MIKE WELSCH | X | | | | | | X | | |
| 2 | PLU | 70 | 3016U1 | 4/5/2001 | | | | | X | PHIL BAKER | | | X | | | | X | | n/a |
| 4 | CC | 680 | 228560 | 4/13/2001 | X | 35 | X | | | MAXIMO ANASCO | X | | | | X | | X | | |
| 4 | SF | 101 | 291001 | 4/9/2001 | | | | | X | SIROUS DEYLAMIAN | | | X | | | | X | | n/a |
| 7 | LA | 210 | 136901 | 1/30/2001 | X | 134 | | | | OJI KALU | | | | | X | | X | | |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 8 | SBD | 210 | 443701 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | X | | X | | |
| 8 | SBD | 210 | 443801 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 443901 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 444001 | 4/13/2001 | | | | | X | STEVEN KEEL | X | X | | | | | X | | |
| 8 | RIV | 86 | 428131 | 4/13/2001 | | | | | X | MANUAL FARIAS | | X | | | | | X | | |
| 11 | SD | 15 | 23262K | | | | X | | | LARRY CARR | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173410 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 229010 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 10 | MER | 99 | 363100 | 4/13/2001 | X | 30 | X | X | | NEIL E. BRETZ | X | X | | | X | | X | | |
| 10 | MER | 152 | 2A6901 | 6/26/2001 | X | 103 | | | | PHILLIP R. SANCHEZ | | | X | | | X | X | | n/a |
| 3 | SAC | 80 | 3546U1 | 4/13/2001 | | | | | X | ROBERT D. MORRISON | X | | | | | | X | | |
| 3 | ED | 89 | 0A3901 | 5/4/2001 | | | X | | | TIMOTHY B. SOBELMAN | | | X | | | | X | | n/a |
| 5 | SCR | 1 | 129101 | | X | 11 | | | | LUIS DUAZO | X | | | | | | X | | |
| 7 | LA | 1 | 145501 | 5/4/2001 | | | | | X | STEVE TRAN | | X | | | X | | X | | |
| 4 | SON | 12 | 2198U1 | 4/13/2001 | | | | | X | PATRICK PANG | | | X | | | | X | | n/a |
| 1 | MEN | 1 | 307900 | 4/16/2001 | | | X | | | ALAN ESCARDA | | | X | | | X | | | n/a |
| 3 | BUT | 99 | 338700 | 4/18/2001 | X | 40 | | X | | SUKHMINDER B. | | | X | | | X | | | n/a |
| 3 | BUT | 70 | 367001 | 4/18/2001 | X | 9 | | | | | | | X | | | X | | | n/a |
| 3 | PLA | 80 | 4A240 | 4/18/2001 | X | 33 | | | | KARL DREHER | | | X | | | X | | | n/a |
| 3 | SAC | 5 | 4A0401 | 4/18/2001 | X | 48 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | SAC | 99 | 4A7401 | 4/18/2001 | X | -20 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | SIE | 49 | 449511 | 3/15/2001 | X | 19 | | | | DOUGLAS | | | X | | | X | | | n/a |
| 3 | SIE | 89 | 0A7001 | 4/18/2001 | X | 6 | | X | | DOUGLAS | | | X | | | X | | | n/a |
| 1 | DN | 101 | 363410 | 10/30/2000 | X | | | | | GARY BANDUCCI | | | X | | | X | | | n/a |
| 1 | MEN | 4 | 310100 | 10/24/2000 | | | X | | | LENA ASHELY | | | X | | | X | | | n/a |
| 8 | SBD | 395 | 434701 | 5/28/2001 | | | X | | | TEDDY ODOYE | | | X | | | X | | | n/a |
| 10 | STA | 132 | 27882 | 6/23/2001 | X | 43 | | | | DAVID FRANKE | | | X | | | X | | | n/a |
| 10 | CAL | 12 | 379300 | 6/23/2001 | | | X | | | PHILLIP R. SANCHEZ | | | X | | | X | | | n/a |
| 2 | TEH | 99 | 343701 | 1/30/2001 | X | 10 | | | | MARCELLA NANKERVIS | | | X | | | | X | | n/a |
| 12 | ORA | 605 | 0A2001 | 6/1/2001 | X | 4 | | | | | | | X | | | X | | | n/a |
| 10 | MER | 140 | 0A5801 | 6/23/2001 | | | X | | | NEIL E. BRETZ | | | X | | | X | | | n/a |
| 10 | AMA | 88 | 264420 | 6/23/2001 | X | | X | | X | RONN J. DRAGOO | | | X | | | X | | | n/a |
| 5 | SLO | 101 | 475801 | 6/23/2001 | X | -51 | | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 11 | SBD | 5 | 185941 | 4/19/2001 | X | 51 | | X | | | | | X | | | X | | | n/a |
| 10 | AMA | | 1A6800 | 6/23/2001 | | | X | | | RONN J. DRAGOO | | | X | | | X | | | n/a |
| 10 | MER | 140 | 1A46U1 | 6/23/2001 | | | | | X | RONN J. DRAGOO | | | X | | | X | | | n/a |
| 4 | SOL | 80 | 259011 | 5/8/2001 | X | 24 | X | | | | | | X | | | X | | | n/a |
| 4 | ALA | 580 | 162000 | 5/8/2001 | X | 285 | X | | | PATRICK PANG | | | X | | | X | | | n/a |
| 3 | PLA | 80 | 4A620 | 5/8/2001 | X | 14 | | | | ROBERT D. MORRISON | | | X | | | X | | | n/a |
| 1 | MEN | 101 | 29830 | 5/8/2001 | | | | X | | | | | X | | | X | | | n/a |
| 11 | IMP | 98 | 60701 | 4/30/2001 | | | | X | | | | | X | | | X | | | n/a |
| 8 | RIV | 15 | 402200 | 5/3/2001 | | | | | | BRUCE KO | | | X | | | X | | | n/a |
| 4 | ALA | 80 | 181621 | 5/2/2001 | X | | | | | LYLE B. OEHLER | X | | | | | X | | | |
| 8 | SBD | 15 | 406801 | 5/3/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | RIV | 15 | 385301 | 5/3/2001 | | | X | | | BRUCE KO | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 448501 | 5/3/2001 | | | X | | | MELECIO CHALCO | | X | | | | X | | | |
| 10 | MER | 59 | 1A0700 | 6/25/2001 | X | 37 | X | | | NEIL E. BRETZ | | | X | | | X | | | n/a |
| 10 | MER | 99 | 480601 | 6/25/2001 | | | X | | | NEIL E. BRETZ | | | X | | | X | | | n/a |
| 2 | LAS | 395 | 25850 | 5/15/2001 | | | X | | | | | | X | | | X | | | n/a |
| 7 | LA | 710 | 183101 | 5/15/2001 | | | X | | | JAMES HSU | | | X | | | X | | | n/a |
| 2 | TEH | 99 | 251471 | 5/15/2001 | | | X | | | | | | X | | | X | | | n/a |
| 4 | SON | 101 | 263900 | 5/15/2001 | | | X | | | NINO CERRUTI | X | | | X | | X | X | | |
| 4 | SON | 101 | 245400 | 5/15/2001 | | | X | | X | NINO CERRUTI | X | X | | | | X | | | |
| 4 | NAP | 121 | 209401 | 5/8/2001 | X | 86 | X | | | CRISTINA FERRAZ | | | X | | | X | | | n/a |
| 11 | IMP | 8 | 167310 | 5/19/2001 | | | X | | | | | | X | | | X | | | n/a |
| 8 | SBD | 10 | 467700 | 5/24/2001 | | | X | | | | | | | | | X | | | |
| 4 | SOL | 80 | 0T1600 | 5/24/2001 | | | X | | | KATIE YIM | | X | | | | X | | | |
| 4 | SCL | 880 | 122911 | 9/26/2000 | X | -40 | | X | | LORENA WONG | | | | | | X | | | |
| 10 | AMA | 49 | 0A6600 | 6/25/2001 | X | 81 | X | | | RONN J. DRAGOO | | | X | | | X | | | n/a |
| 3 | BUT | 70 | 2A6001 | 4/18/2001 | X | 42 | | | | WINDER BAJWA | | | X | | | X | | | n/a |
| 3 | ED | VAR | 2A06U1 | 12/26/2000 | | | | | X | JIM DAVIS | | | X | | | X | | | n/a |
| 3 | COL | 20 | 1A97UK | 8/21/2000 | | | | | X | SCOTT JARVIS | | | X | | | | | | n/a |
| 7 | LA | 1 | 166101 | 5/10/2001 | | | X | | | ERIC WANG | | | X | | | | X | | |
| 7 | LA | 19 | 1153E1 | 5/10/2001 | X | | | X | | JAMES HSU | | | X | | | | X | | n/a |
| 7 | VEN | 1 | 206011 | 5/10/2001 | | | | X | | REZA FATEH | | | X | | | | X | | n/a |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 7 | LA | 5 | 1760U1 | 5/10/2001 | X | | | | | ASHRAF HABBAK | | | X | | | | X | | n/a |
| 4 | SON | 116 | 131241 | 6/4/2001 | | | X | X | | PATRICK PANG | | | X | | | | | X | n/a |
| 4 | SOL | 113 | 4C0201 | 5/10/2001 | X | 150 | | | | ROBERT ANDERSON | | | X | | | | X | | n/a |
| 4 | ALA | 680 | 253721 | 5/10/2001 | | | | | X | EMILY LANDIN-LOWE | X | X | | | X | | X | | |
| 4 | SCL | 680 | 253721 | 5/10/2001 | | | | | X | EMILY LANDIN-LOWE | X | | | | X | | X | | |
| 11 | IMP | 78 | 177600 | 5/24/2001 | | | X | | | CARL SAVAGE | | | X | | | X | | | n/a |
| 8 | RIV | 91 | 456610 | 5/24/2001 | | | X | | | NASSIM ELIAS | | X | | | X | X | | | |
| 8 | SBD | 10 | 44810K | 5/24/2001 | | | X | | | PHILLIP REYNOLDS | | | | | | X | | | |
| 8 | RIV | 15 | 45220K | 5/24/2001 | | | X | | | BRUCE KO | | | | | | X | | | |
| 8 | SBD | 15 | 456700 | 5/24/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 11 | IMP | 7 | 68000 | 4/5/2001 | | | X | | | RAMON A. RUELAS | X | X | | | | | | X | |
| 2 | TEH | 2 | 31130 | 6/7/2001 | X | | | | | | | | X | | | X | | | n/a |
| 8 | RIV | 79 | 449601 | 6/11/2001 | | | X | | | SAFAA BAYATI | | | X | | | X | | | n/a |
| 8 | RIV | 15 | 43230K | 6/8/2001 | | | X | | | BRUCE KO | | | X | | | X | | | n/a |
| 8 | RIV | 215 | 4180U1 | 6/7/2001 | | | X | | | CLIFF SHIEH | | | X | | | X | | | n/a |
| 8 | RIV | 215 | 432801 | 6/6/2001 | | | X | | | CLIFF SHIEH | | | | | | X | | | n/a |
| 8 | SBD | VAR | 478501 | 6/6/2001 | | | X | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 4 | SCL | 280 | 237601 | 6/11/2001 | X | 13 | | | | LYLE B. OEHLER | | | X | | | X | | | n/a |
| 4 | SM | 1 | 162721 | 6/4/2001 | X | 85 | X | | X | KAI CHAN | | | X | | | | X | | n/a |
| 4 | SM | 82 | 175901 | 6/4/2001 | X | 20 | | | | KAI CHAN | | | X | | | | X | | n/a |
| 4 | MRN | 101 | 163621 | | X | | | | | RAMSEY HISSEN | | | X | | | | X | | n/a |
| 4 | SF | 280 | 163621 | | X | | | | | RAMSEY HISSEN | | | X | | | | X | | n/a |
| 5 | SLO | 101 | 449801 | 6/4/2001 | X | 17 | | X | | HABIB SABZEHAR | | | X | | | X | X | | n/a |
| 4 | MRN | 101 | 251301 | 6/11/2001 | X | | | | | LYLE OEHLER | | | X | | | X | | | n/a |
| 5 | MON | 1 | 475601 | 6/21/2001 | | | X | | | JOSE R. PONCE | | | X | | | X | | | n/a |
| 5 | MON | 101 | 453901 | 6/21/2001 | | | X | | | JOSE R. PONCE | | | X | | | X | | | n/a |
| 8 | RIV | 74 | 464111 | 6/21/2001 | | | X | | | SAFAA BAYATI | | | | | X | X | | | n/a |
| 8 | RIV | 74 | 464121 | 6/21/2001 | | | X | | | SAFAA BAYATI | | | | | X | X | | | n/a |
| 4 | NAP | 29 | 128471 | 6/18/2001 | | | X | | | CRISTINA FERRAZ | | | X | | | X | | | n/a |
| 2 | SHA | 89 | 310400 | 6/19/2001 | | | X | | | | | | X | | | X | | | n/a |
| 12 | ORA | 5 | 0A6600 | 6/22/2001 | X | -16 | X | | | | | | X | | | X | | | n/a |
| 12 | ORA | 405 | 79300 | 6/21/2001 | X | 27 | X | | | | | | X | | | X | | | n/a |
| 1 | MEN | 101 | 2921U1 | 3/23/2001 | | | X | | X | ALAN ESCARDA | X | | | | | X | | | |
| 11 | SD | 78 | 3200 | 4/30/2001 | | | X | | | KIMBERLY WEINSTEIN | | | X | | | X | | | n/a |
| 8 | RIV | 86S | 428151 | 12/14/2001 | X | | | | | MANUAL FARIAS | | X | | | | | X | | |
| 2 | TRI | LD733 | 341601 | 2/20/2001 | X | 19 | | | | | | | X | | | X | | | n/a |
| 7 | LA | 71 | 18230K | 3/27/2001 | | | | X | | JIWANJIT PALAHA | | | X | | | X | | | n/a |
| 8 | SBD | 247 | 444501 | 6/26/2001 | | | X | | | HAISSAM YAHYA | | | X | | | X | | | n/a |
| 1 | HUM | 299 | 310501 | 6/25/2001 | | | X | | | KIMBERLY FLOYD | | | X | | | X | | | n/a |
| 10 | MER | 165 | 381500 | 6/26/2001 | X | 269 | X | | | NEIL E. BRETZ | | | X | | | X | | | n/a |
| 6 | FRE | 180 | 343241 | 6/26/2001 | X | | | | | SAID ISMAIL | | | X | | | X | | | n/a |
| 6 | FRE | 33 | 343531 | 6/26/2001 | | | X | | | SAID ISMAIL | | | X | | | X | | | n/a |
| 10 | SJ | 5 | 2A5900 | 6/27/2001 | X | 20 | | | | IORZUA AKUVA | | | X | | | X | | | n/a |
| 10 | CAL | 4 | 499900 | 6/27/2001 | X | 112 | | | | GARY FROMM | | | X | | | X | | | n/a |
| 10 | STA | 132 | 1A6600 | 6/27/2001 | X | 48 | | | | DAVID FRANKE | | | X | | | X | | | n/a |
| 10 | SJ | 99 | 2A6600 | 6/27/2001 | X | 20 | | | | IORZUA AKUVA | | | X | | | X | | | n/a |
| 10 | MER | 99 | 2A3601 | 6/27/2001 | X | 20 | | | | PETER JEMERIGBE | | | X | | | X | | | n/a |
| 10 | MER | 99 | 0A5200 | 6/27/2001 | | | X | | | NEIL E. BRETZ | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 47590 | 6/27/2001 | | | | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 420720 | 6/27/2001 | | | X | | | JOHN L. WOLLMAN | | | X | | | X | | | n/a |
| 5 | SLO | 101 | 43010 | 6/27/2001 | | | | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 10 | CAL | 4 | 2A980 | 6/28/2001 | | | X | | | RAM NARAYAN | | | X | | | X | | | n/a |
| 7 | VEN | 101 | 60731 | 6/28/2001 | | | | | X | TONY VELASQUEZ | X | | | | X | | | X | X |
| 7 | LA | 5 | 21590K | 6/28/2001 | | | | | X | DIAA YASSIN | X | X | X | | | | | X | X |
| 3 | SUT | 99 | 1A46U1 | 6/28/2001 | | | | | X | GARY SIDHU | X | X | X | | | | X | | X |
| 4 | CC | 4 | 272101 | 6/28/2001 | | | X | | X | MAX ANASCO | | | X | | | | X | | n/a |
| 10 | STA | 132 | 40350 | 6/27/2001 | | | X | | | DAVID FRANKE | | X | | X | | X | | | |
| 1 | HUM | 101 | 3795U1 | 12/14/2000 | X | 2 | | | X | GARY BANDUCCI | | | X | | | | X | | n/a |
| 3 | COL | 20 | 339001 | | X | 18 | | | | KEITH HERRON | | | | | | | X | | n/a |
| 3 | SUT | 99 | 1A4330 | 8/29/2000 | X | | X | | | GURCHARAN SIDHU | X | X | | | | | X | | |
| 3 | PLA | 193 | 352910 | 10/6/2000 | | | X | | X | NAGHI GHAFARI | | | X | | | | X | | n/a |
| 4 | ALA | 80 | | 8/29/2000 | | | X | | | MIKE WELSH | | | | | | | X | | |
| 4 | ALA | 84 | 272601 | 10/6/2000 | | | | | X | RAY B. CENTENO | | | X | | | | X | | n/a |
| 4 | ALA | 680 | 253711 | 11/9/2000 | X | 20 | | | | EMILIY-LANDIN LOWE | X | X | | | | | X | | |
| 5 | MON | 101 | 0161U1 | 11/9/2000 | X | 43 | | | | ROBERT F. HULL | | X | | | | | X | | |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 6 | TUL | 190 | 337311 | 12/14/2000 | X | -23 | | | | FRANK MOMEN | | | X | | | | X | | n/a |
| 6 | TUL | 190 | 337320 | 12/14/2000 | | | | | | FRANK MOMEN | | | X | | | | X | | n/a |
| 7 | LA | 14 | 183401 | | X | 31 | | | | | | | X | | | | X | | n/a |
| 8 | SBD | 138 | 359700 | 8/29/2000 | | | X | | | TEDDY OKOYE | | | X | | | | X | | n/a |
| 8 | RIV | 91 | 436301 | | X | | | | | | | | X | | | | X | | n/a |
| 12 | ORA | 5 | 93901 | | | | | X | | AHMED ABOU-ABDOU | | | X | | | | X | | n/a |
| 12 | ORA | 405 | 93200 | 12/14/2000 | | | X | | X | ADNAN MAIAH | | | X | | | | X | | n/a |
| 12 | ORA | 73 | 0008B1 | | X | | X | X | | VINH PHAM | | | | | | | X | | |
| 12 | ORA | 5 | 101670 | 10/6/2000 | X | 20 | | | | ADNAN MAIAH | | X | | | | | X | | |
| 11 | SD | 15 | 64800 | 4/3/2002 | | | | | X | LAWRENCE CARR | | | | X | | | | X | |
| 4 | NAP | 121 | 253801 | 4/19/2001 | | | X | X | | SAAID FAKHARZADEH | | | X | | | X | | | n/a |
| 1 | DN | 101 | 3634U0 | 11/28/2000 | X | 8 | X | X | X | GARY BANDUCCI | | | X | | | X | | | n/a |
| 1 | MEN | 253 | 3116U0 | 11/7/2000 | | | X | | | | | | X | | | X | | | n/a |
| 1 | DN | 101 | 293100 | 11/28/2000 | X | | | X | X | | | | X | | | X | | | n/a |
| 3 | ED | 50 | 0C210 | 5/10/2001 | | | X | | | KEITH RHODES | | | X | | | | X | | n/a |
| 3 | YOL | 80 | 1A8901 | 11/22/2000 | X | 45 | | | | JIM DAVIS | | | X | | | X | | | n/a |
| 3 | GLE | | 1A1201 | 7/27/2000 | X | 20 | | | | NAGHI GHAFARI | | | X | | | X | | | n/a |
| 4 | ALA | 580 | 470800 | 10/11/2000 | | | X | | | ANDRE SCHOKRPUR | | | X | | | X | | | n/a |
| 4 | SCL | 880 | 253400 | 11/21/2000 | | | X | | | LYLE B OEHLER | | | X | | | X | | | n/a |
| 4 | SON | 12 | 249240 | 7/18/2000 | X | | | X | | ROBERT GONG | | | X | | | X | | | n/a |
| 4 | ALA | 880 | 24810K | 10/17/2000 | | | X | | | ROBERT ANDERSON | | | X | | | X | | | n/a |
| 4 | ALA | 880,92 | 233171 | 8/22/2001 | | | | | X | HELENA CULIK-CAROL | | | | | X | X | | | n/a |
| 8 | SBD | 15 | 3555U1 | | | | | | X | | | X | X | | | | | | |
| 5 | SB | 1 | 469501 | 9/21/2000 | | | X | | | STEPHEN TRACEY | | | X | | | X | | | n/a |
| 4 | MRN | 101 | 2261U1 | | | | | | X | | X | | | | X | | | | |
| 5 | SB | 101 | 462201 | 12/8/2000 | X | 20 | | | | DENNIS J. REEVES | | | X | | | X | | | n/a |
| 5 | SB | 101 | 462100 | 12/8/2000 | X | 19 | | | | DENNIS J. REEVES | | | X | | | X | | | n/a |
| 5 | SLO,MON | 101 | 449801 | 6/26/2001 | | | X | | | HABIB SABZEHZAR | | | X | | | X | | | n/a |
| 5 | SB, VEN | 150 | 282811 | 10/20/2000 | | | X | | | DENNIS J. REEVES | | | X | | | X | | | n/a |
| 5 | SB, VEN | 150 | 282801 | 10/17/2000 | | | X | X | | JAMES R. PERANO | | | X | | | X | | | n/a |
| 5 | SLO | 46 | 0C7701 | 10/18/2000 | | | X | | | DENNIS J. REEVES | | | X | | | X | | | n/a |
| 5 | MON | 1 | 0190H0 | 8/7/2000 | X | | X | | X | DAVID M. SILBERBERGER | | | X | | | X | | | n/a |
| 5 | SB | 166 | 0A490K | 12/26/2000 | X | -37 | | X | | HABIB SABZEHZAR | | | X | | | X | | | n/a |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10 | CAL | 4 | 2A980K | 4/18/2002 | | | X | | | LISA JACKSON | | | X | | | X | | | n/a |
| 7 | LA | L5707 | 201601 | 11/21/2000 | X | -27 | | X | | SAM EKRAMI | | | X | | | X | | | n/a |
| 2 | PLU | 70 | 3259U1 | 4/11/2002 | | | | | X | PHIL BAKER | X | | X | | | | X | | X |
| 4 | SOL | 37 | 0T1421 | 4/11/2002 | | | X | | X | KATIE YIM | X | X | | | | | X | | N |
| 4 | SCL | 87 | 241401 | 9/26/2000 | | | X | | | | | | X | | | | | | n/a |
| 3 | SAC | 5 | 4A88U1 | 7/9/2001 | | | | | X | ROBERT MORRISON | | | X | | | | | | n/a |
| 6 | FRE | 41 | 39800 | 7/13/2001 | X | -23 | | | | JIM BANE | | | X | | | X | | | n/a |
| 9 | MON | 158 | 28760 | 7/17/2001 | | | X | | | TIM SHULTZ | X | | | | | X | | | |
| 3 | PLA | 193 | 35292 | 8/30/2001 | | | | X | | NAGHI GHAFARI | | | X | | | X | | | n/a |
| 3 | SAC | 160 | 2A4701 | 8/30/2001 | | | | X | | | | | X | | | X | | | n/a |
| 5 | SB | 166 | 469201 | 8/30/2001 | | | X | | | JOHANNA P. ANDRIS | | | X | | | X | | | n/a |
| 9 | MNO | 395 | 254800 | 8/22/2001 | | | | X | | SRIKANTH | | X | | | | X | | | |
| 6 | TUL | 63 | 33940 | 10/2/2001 | X | 66 | | | | GLENN BLAKE | | | X | | | X | | | n/a |
| 8 | SBD | 62 | 35902 | 10/2/2001 | X | | | | | | | | X | | | X | | | n/a |
| 8 | RIV | 91 | 47410K | 10/2/2001 | X | 42 | | | | | | | X | | | X | | | n/a |
| 4 | SON | 116 | 131571 | 1/17/2002 | | | X | | | EMMANUEL CALUYA | | | X | | | | X | | n/a |
| 12 | ORA | 55 | 95621 | 1/30/2001 | X | 66 | X | X | | | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 40861 | 1/30/2001 | X | 33 | | X | X | ADNAN MAIAH | | | | | | | X | | |
| 12 | ORA | 22 | 40881 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 11 | IMP | 98 | 229000 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173400 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 8 | RIV | 10 | 437901 | 1/30/2001 | X | 12 | | | | WENDY LI | | | X | | | | X | | n/a |
| 8 | SBD | 18 | 5611 | 1/30/2001 | X | 7 | | | | GEORGE MORHIG | | | X | | | | X | | n/a |
| 8 | RIV | 215 | 462711 | 4/25/2001 | X | 25 | | X | X | CLIFF SHIEH | X | | | | | | | X | |
| 8 | RIV | 215 | 449400 | 8/14/2001 | | | X | | | CLIFF SHIEH | X | X | | | X | X | X | | |
| 8 | RIV | 215 | 334801 | 4/25/2001 | | | X | | | CLIFF SHIEH | X | | | | X | | X | | |
| 8 | RIV | 91 | 4221U1 | 1/30/2001 | X | 19 | | | | SATAA BAYATI | | | X | | | | X | | n/a |
| 5 | SB | 101 | 448301 | 4/25/2001 | X | 30 | | | X | ROBERT MILLER | | | X | | | | X | | n/a |
| 10 | STA | 120 | 2812U1 | | X | 90 | X | X | | JOHN ENSCH | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 349701 | 1/30/2001 | X | -16 | | | | MARCELLA | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 2618U1 | 1/30/2001 | X | 26 | | | X | MARCELLA | X | | | | | | X | | |
| 6 | KER | 5 | 421001 | 1/30/2001 | X | 25 | | | | JIM HAMMER | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 53271 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 7 | LA | 405 | 1178U1 | 3/13/2001 | | | | | X | GABE HAMIDI | X | | | | X | | X | | |
| 4 | NAP | 29 | 120611 | 4/5/2001 | | | X | | X | CRISTINA FERRAZ | X | | | | | | X | | |
| 3 | SAC | 160 | 447101 | 4/18/2001 | X | 65 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | YOL | 80 | 395901 | 4/18/2001 | X | -39 | | | | ROBERT D. | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T1010 | 4/19/2001 | | | X | | | KATIE YIM | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T090 | 4/16/2001 | | | X | | | | | | X | | | X | | | n/a |
| 5 | MON | 101 | 0161A1 | 4/17/2001 | X | | | X | | JOSE PONCE | | | X | | | X | | | n/a |
| 5 | SB | 166 | 0A490K | 4/4/2001 | | | X | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 5 | SLO | 46 | 486701 | 4/17/2001 | X | 36 | | | | RON KRAEMER | | | X | | | X | | | n/a |
| 6 | KER | 99 | 31820 | 4/19/2001 | | | X | | | GLENN BLAKE | | | X | | | X | | | n/a |
| 6 | TUL | 198 | 403500 | 4/17/2001 | X | 18 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 6 | TUL | 99 | 432000 | 4/17/2001 | X | 20 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 8 | SBD | VAR | 47790K | 5/3/2001 | X | -53 | | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 8 | SBD | 40 | 483700 | 4/24/2001 | X | -8 | | | | HELENA SULLIVAN | | | X | | | X | | | n/a |
| 8 | SBD | 210 | 4432T1 | 4/23/2001 | | | X | | | STEVEN KEEL | | | X | | | X | | | n/a |
| 8 | SBD | 40 | 368601 | 11/14/2001 | X | 14 | | | | HAISSAM YAHYA | | | X | | | X | | | n/a |
| 8 | RIV | 111 | 428111 | 4/24/2001 | | | X | | | MANUEL FARIAS | | | X | | | X | | | n/a |
| 8 | RIV | 215 | 42040K | 10/19/2001 | X | 26 | | X | | | | | X | | | X | | | n/a |
| 11 | SD | 78 | 165731 | 4/19/2001 | | | X | X | | | | | X | | | X | | | n/a |
| 1 | MEN | 128 | 362400 | 4/30/2001 | | | X | | | ALAN ESCARDA | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 447901 | 4/30/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | SBD | 83 | 449700 | 4/30/2001 | | | X | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 6 | TUL | 198 | 339300 | 12/11/2001 | | | X | | | NEIL BRETZ | | | X | | | X | | | n/a |
| 2 | PLU | 70 | 263361 | 4/11/2002 | X | 7 | | | | PHIL BAKER | | | X | | | | X | | n/a |
| 10 | STA | 120 | 345400 | 4/25/2001 | X | | X | | | DAVID MENDOZA | | X | | | | | X | | |
| 7 | VEN | 101 | 192901 | 4/5/2001 | X | -38 | | X | | MUMBIE FREDSON- | | | X | | | | X | | n/a |
| 7 | LA | 405 | 191301 | 4/5/2001 | X | 11 | | | | EDWARD ANDRAOS | X | X | | | | | X | | |
| 11 | IMP | 7 | 65100 | 4/5/2001 | | | X | | | JOHN P. RIEGER | X | | | | | | X | | |

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 6 | KER | 58 | 400100 | 4/9/2001 | X | | X | X | | JIM HAMMER | X | X | | | | | X | | |
| 4 | SM | 280 | 135991 | 6/27/2001 | X | 134 | | X | | KAI CHAN | | | X | | | | X | | n/a |
| 4 | CC | 4 | 228770 | 4/5/2001 | | | | | X | RAYMOND PANG | X | X | | | X | | X | | |
| 4 | ALA | 580 | 181791 | 4/5/2001 | X | 161 | | X | | LYLE B. OEHLER | X | | | | | | X | | |
| 4 | ALA | 580 | 410951 | 4/9/2001 | | | X | | | ROBERT ANDERSON | | | | | X | | X | | |
| 4 | SOL | 37 | 0T1411 | 4/5/2001 | X | 9 | | | | KATIE YIM | X | | | | | | X | | |
| 4 | ALA | 80 | 254800 | 4/5/2001 | X | 39 | | | | MIKE WELSCH | X | | | | | | X | | |
| 2 | PLU | 70 | 3016U1 | 4/5/2001 | | | | | X | PHIL BAKER | | | X | | | | X | | n/a |
| 4 | CC | 680 | 228560 | 4/13/2001 | X | 35 | X | | | MAXIMO ANASCO | X | | | | X | | X | | |
| 4 | SF | 101 | 291001 | 4/9/2001 | | | | | X | SIROUS DEYLAMIAN | | | X | | | | X | | n/a |
| 7 | LA | 210 | 136901 | 1/30/2001 | X | 134 | | | | OJI KALU | | | | | X | | X | | |
| 8 | SBD | 210 | 443701 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | X | | X | | |
| 8 | SBD | 210 | 443801 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 443901 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 444001 | 4/13/2001 | | | | | X | STEVEN KEEL | X | X | | | | | X | | |
| 8 | RIV | 86 | 428131 | 4/13/2001 | | | | | X | MANUAL FARIAS | | X | | | | | X | | |
| 11 | SD | 15 | 23262K | | | | X | | | LARRY CARR | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173410 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 229010 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 10 | MER | 99 | 363100 | 4/13/2001 | X | 30 | X | X | | NEIL E. BRETZ | X | X | | | X | | X | | |
| 3 | SAC | 80 | 3546U1 | 4/13/2001 | | | | | X | ROBERT D. | X | | | | | | X | | |
| 3 | ED | 89 | 0A3901 | 5/4/2001 | | | X | | | TIMOTHY B. | | | X | | | | X | | n/a |
| 5 | SCR | 1 | 129101 | | X | 11 | | | | LUIS DUAZO | X | | | | | | X | | |
| 7 | LA | 1 | 145501 | 5/4/2001 | | | | | X | STEVE TRAN | | X | | | X | | X | | |
| 4 | SON | 12 | 2198U1 | 4/13/2001 | | | | | X | PATRICK PANG | | | X | | | | X | | n/a |
| 3 | PLA | 80 | 4A240 | 4/18/2001 | X | 33 | | | | KARL DREHER | | | X | | | X | | | n/a |
| 3 | SAC | 5 | 4A0401 | 4/18/2001 | X | 48 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | SAC | 99 | 4A7401 | 4/18/2001 | X | -20 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | SIE | 49 | 449511 | 3/15/2001 | X | 19 | | | | DOUGLAS | | | X | | | X | | | n/a |
| 3 | SIE | 89 | 0A7001 | 4/18/2001 | X | 6 | | X | | DOUGLAS | | | X | | | X | | | n/a |
| 7 | VEN | 101 | 208011 | 2/21/2002 | X | 19 | | | | RAVI GHATE | | | X | | | X | | | n/a |
| 6 | TUL | 190 | 323631 | 2/21/2002 | | | | X | | GLENN BLAKE | | | X | | | X | | | n/a |
| 2 | TEH | 99 | 343701 | 1/30/2001 | X | 10 | | | | MARCELLA | | | X | | | | X | | n/a |
| 5 | SB | 101 | 447800 | 12/29/2001 | | | X | | | ROB MILLER | X | | | | | | | X | |
| 6 | KIN | 41 | 415900 | 2/26/2002 | | | X | | | DAVID FRANKE | | | X | | | X | | | n/a |
| 6 | TUL | 65 | 425400 | 10/16/2000 | X | -86 | | X | | FRANK MOMEN | X | | | | | X | | | |
| 4 | ALA | 92 | 127720 | 12/4/2001 | | | X | | | PATRICK PANG | | X | | | | X | | | |
| 1 | HUM | 101 | 330301 | 9/28/2001 | X | 24 | | | | KIMBERLY FLOYD | | | X | | | X | | | n/a |
| 6 | KER | 99 | 412001 | 10/12/2000 | | | | X | | FRANK MOMEN | | | X | | | X | | | n/a |
| 6 | FRE | 99 | 411801 | 4/9/2001 | X | 289 | | X | | SEVERO LOPEZ | | | X | | | | | X | n/a |
| 6 | FRE | 33 | 410001 | 2/2/2001 | X | 16 | | | | TERRY J OGLE | | | X | | | X | | | n/a |
| 6 | TUL | 99 | 31930 | 10/2/2001 | X | -18 | | | | PHILLIP SANCHEZ | | | X | | | X | | | n/a |
| 6 | FRE | 99 | 393301 | 12/22/2000 | X | 12 | | | | SAID ISMAIL | | | X | | | X | | | n/a |
| 6 | FRE | 33 | 385500 | 10/12/2000 | | | X | | | TERRY OGLE | | | X | | | X | | | n/a |
| 6 | KER | 65 | 353911 | 12/18/2000 | | | X | | | MARY FREDERICK | | | X | | | X | | | n/a |
| 7 | LA | 134 | 2178U1 | 3/26/2002 | | | | | X | OJI KALU | | | | | X | X | | | n/a |
| 11 | SBD | 5 | 185941 | 4/19/2001 | X | 51 | | X | | | | | X | | | X | | | n/a |
| 10 | MER | 99 | 414801 | 5/16/2002 | X | 21 | | | | PETER JEMERIGBE | | X | | | | | | X | |
| 1 | DN | 101 | 317601 | 5/17/2002 | X | 27 | | X | | GARY BANDUCCI | X | | | | X | | X | | X |
| 11 | IMP | 98 | 60701 | 4/30/2001 | | | | X | | | | | X | | | X | | | n/a |
| 8 | RIV | 15 | 402200 | 5/3/2001 | | | | | | BRUCE KO | | | X | | | X | | | n/a |
| 4 | SON | 101 | 129650 | 5/15/2001 | | | X | | | NINO CERRUTI | X | | | | X | X | X | | |
| 4 | SCL | 880 | 122911 | 9/26/2000 | X | -40 | | X | | LORENA WONG | | | | | | X | | | |
| 12 | ORA | 133 | 1072U0 | 12/26/2000 | | | X | | | | | | X | | | X | | | n/a |
| 3 | BUT | 70 | 2A6001 | 4/18/2001 | X | 42 | | | | WINDER BAJWA | | | X | | | X | | | n/a |
| 3 | ED | VAR | 2A06U1 | 12/26/2000 | | | | | X | JIM DAVIS | | | X | | | X | | | n/a |
| 3 | COL | 20 | 1A97UK | 8/21/2000 | | | | | X | SCOTT JARVIS | | | X | | | | | | n/a |
| 2 | SHA/LAS | 299 | 310201 | 5/17/2002 | X | 16 | | | | DEREK WILLIS | | | X | | | | X | | n/a |
| 6 | TUL | 99 | 43160K | 12/4/2001 | X | 75 | | | | PHILLIP SANCHEZ | | | X | | | X | | | n/a |
| 6 | KER | 14 | 430200 | 12/3/2001 | | | X | | | FRANK MOMEN | | | X | | | X | | | n/a |
| 11 | IMP | 7 | 68000 | 4/5/2001 | | | X | | | RAMON A. RUELAS | X | X | | | | | | X | |
| 8 | RIV | 215 | 467301 | 4/25/2001 | X | 45 | | X | | CLIFF SHIEH | X | | | | | | | X | |
| 8 | SBD | 38 | 35842K | 2/16/2001 | X | -54 | | | | GEORGE MORHIG | | | X | | | X | | | n/a |
| 6 | FRE | 180 | 343231 | 9/21/2000 | X | -14 | | | | SAID ISMAIL | | | X | | | X | | | n/a |
| 8 | RIV | 215 | 466810 | 4/25/2001 | X | 21 | | X | | CLIFF SHIEH | X | | | | | | | X | |
| 6 | KIN | 33 | 321500 | 10/12/2000 | | | X | | | MARY FREDERICK | | | X | | | X | | | n/a |
| 8 | SBD | 62 | 378700 | 12/4/2001 | | | X | | | WENDY LI | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 4047U1 | 4/24/2001 | X | -12 | | | | JAMAL ELSALEH | | | X | | | X | | | n/a |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | MEN | 128 | 362401 | 8/30/2001 | X | 116 | | | | ALAN ESCARDA | | | X | | | X | | | n/a |
| 4 | SM | 101 | 235721 | 9/14/2001 | | | | | X | ABBY EMADZADEH | X | | | | | | X | | |
| 11 | SD | 15/56 | 2348U1 | 10/18/2001 | X | | X | X | X | LAWRENCE CARR | | | X | | | | X | | |
| 2 | SIS | 97 | 287900 | 12/11/2001 | X | 31 | | X | | CARL ANDERSON | X | X | | | | | | X | |
| 2 | TRI | 299 | 270310 | | X | | | | | CHRIS CUMMINGS | X | | | | | | | | |
| 2 | LAS | 44 | 325800 | 11/26/2001 | X | 19 | | | | DEREK WILLIS | | | X | | | X | | | n/a |
| 4 | SM | 101 | 2357U | 2/1/2002 | | | X | | X | ABBY EMADZADEH | X | | | | | | X | | |
| 6 | KER | 395 | 243410 | 9/14/2001 | X | 105 | | X | | FRANK MOMEN | | X | | | | | X | | |
| 7 | VEN | 101 | 0607U1 | 9/14/2001 | X | | | | X | TONY VELASQUEZ | X | | | | X | | | X | |
| 7 | LA | 5 | 122001 | | | | X | X | | OSAMA MEGALLA | | | | X | | | | | |
| 7 | LA | 1 | 1661U1 | 9/14/2001 | X | | X | X | X | GABE HAMIDI | X | | | | | | | X | |
| 9 | INY | 395 | 214400 | 9/14/2001 | X | 6 | | | | TIM SCHULTZ | | X | | | | | X | | |
| 12 | ORA | 5 | 0A390K | 9/6/2001 | X | | | | | | | | X | | | X | | | n/a |
| 5 | SLO | L5714 | 365300 | 11/7/2001 | | | X | | | DAVID RASMUSSEN | | | X | | | X | | | n/a |
| 4 | ALA | 880 | 233220 | | | | X | X | | EMILY LANDIN-LOWE | X | | | | X | | | | |
| 4 | MRN | 101 | 2261U1 | | | | | | X | | X | | | | X | | | | |
| 10 | SJ | 99 | 445400 | | | | X | | | PAUL ELLIOTT | X | X | | | X | | | | |
| 10 | SJ | 99 | 445600 | | | | X | | | PAUL ELLIOTT | X | | | | X | | | | |
| 3 | PLA | 80 | 37560K | | | | X | | | | X | | | | X | | | | |
| 7 | LA | 105 | 17850K | | | | X | | | JOHN VASSILIADES | | X | | | X | | | | |
| 3 | YUB | 70 | 2A2720 | | X | | X | X | X | MIKE FORGA | X | X | | | X | | | X | |
| 3 | YUB | 70 | 2A2710 | | | | X | | X | | X | | | | X | | | | |
| 6 | KER | 0 | 3670U1 | 8/24/2001 | | | | | X | SERVERO LOPEZ | | | X | | | X | | | n/a |
| 4 | SOL | 37 | 0T14A1 | 1/17/2002 | | | | | X | KATIE YIM | X | | | | | X | | | |
| 6 | KIN | 198 | 3568U0 | 11/16/2001 | | | X | | | NEIL BRETZ | X | X | | | | X | | | |
| 12 | ORA | 5 | 89501 | 12/22/2000 | X | | | | | | | | X | | | X | | | n/a |
| 3 | GLE | 32 | 402300 | 11/9/2001 | X | 3 | | | | KEITH HERRON | | | X | | | X | | | n/a |
| 3 | SUT | 99 | 1A4310 | 11/16/2001 | X | 22 | | | | GARY SIDHU | | X | | | | X | | | |
| 4 | ALA | 880 | 1706U1 | 11/26/2001 | | | | | X | YADOLLAH | | | | | | | X | | |
| 9 | MNO | 203 | 28460 | 12/4/2001 | X | -15 | | | | SRIKANTH | | | X | | | X | | | n/a |
| 2 | PLU | 89 | 34420K | 11/26/2001 | X | 52 | | | | PHIL BAKER | | | X | | | | X | | n/a |
| 2 | SIS | 96 | 352000 | 1/15/2002 | X | 16 | | | | CARL ANDERSON | | | X | | | X | | | n/a |
| 2 | PLU | 89 | 327601 | 12/4/2001 | X | 40 | | | | PHIL BAKER | X | | | | | X | | | X |
| 5 | MON | 1 | 4757U | 1/7/2002 | | | | | X | JOSE PONCE | | | X | | | X | | | n/a |
| 9 | MNO | 395 | 26990 | 2/8/2002 | | | | X | | TIM SHULTZ | X | | | | | X | | | |
| 8 | SBD | 138 | 4697U | 2/15/2002 | | | X | | | MUSHTAQ AHMED | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 4047U | 2/8/2002 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 2 | VAR | VAR | 358000 | 2/21/2002 | X | -19 | | X | | DEREK WILLIS | | | X | | | X | | | n/a |
| 8 | SBD | 210 | 44395 | 2/22/2002 | | | X | | | STEVEN KEEL | | | | | | X | | | n/a |
| 7 | VEN | 23 | 115451 | 12/29/2001 | X | 43 | X | | | JOHN SCOTT | | | | | | | | X | |
| 10 | SJ | 5 | 263411 | | X | 247 | X | | | IORZUA AKUVA | | | | | X | | X | | |
| 11 | SD | 15 | 238731 | 12/14/2001 | X | ### | | | | CID TESORO | X | | | | | | X | | |
| 1 | LAK | 29 | 2981U0 | 3/7/2002 | | | X | | X | DORIS ALKEBULAN | | X | | | | | X | | |
| 5 | SB | 101 | 4482U1 | 4/12/2002 | | | X | | X | ROB MILLER | | | | | | | | X | |
| 7 | LA | 60 | 129401 | 5/12/2002 | X | | | | X | MAEN SHAAR | | X | | | X | | | X | X |
| 10 | MER | 99 | 414800 | 12/29/2001 | X | | X | X | | NEIL BRETZ | | X | | | | | X | | |
| 10 | MER | 99 | 316960 | 12/29/2001 | X | 26 | X | X | | NEIL BRETZ | | X | | | | | | X | |
| 8 | RIV | 86S | 428151 | 12/14/2001 | X | | | | | MANUAL FARIAS | | X | | | | | X | | |
| 4 | MRN | 101 | 2640U0 | | | | X | | X | NINO CERRUTI | | X | | | | | | X | |
| 5 | SLO | 46 | 3307U0 | 12/14/2001 | X | | | | | THOMAS HOUSTON | X | X | | | | | X | | |
| 4 | SM | 92 | 131990 | 3/4/2002 | | | X | | | SIROUS DELAMIAN | X | | | | | | X | | X |
| 7 | LA | 10 | 8700 | 12/14/2001 | X | 92 | | X | | DENNIS SNYDER | | | X | | | | X | | n/a |
| 7 | LA | 91 | 2961 | 12/14/2001 | X | 63 | | X | | DENNIS SNYDER | | | X | | | | X | | n/a |
| 8 | SBD | 71 | 651 | 12/11/2001 | | | X | | | KEVIN POKRAJAC | | | X | | | X | | | n/a |
| 3 | ED | 50 | 0C2100 | 12/4/2001 | | | X | | | DONNA BERRY | | | X | | | X | | | n/a |
| 4 | CC | 24 | 252710 | 12/11/2001 | | | X | | | LYLE OEHLER | | | X | | | X | | | n/a |
| 7 | LA | 60 | 201701 | 12/11/2001 | X | 30 | | | | JIWANJIT PALAHA | | | X | | | X | | | n/a |
| 10 | MER | 99 | 2A500 | 12/11/2001 | | | | | X | PETER JEMERIGBE | | X | | | | X | | | |
| 8 | SBD | 10 | 3528U1 | 12/11/2001 | | | | | X | PHILLIP REYNOLDS | X | | | | | X | | | |
| 5 | SLO | 101 | 430101 | 3/7/2002 | X | 13 | | | X | PAUL MARTINEZ | | | X | | | | X | | n/a |
| 5 | MON | 101 | 0161B0 | 12/11/2001 | X | 23 | | | | JOSE PONCE | | | X | | | X | | | n/a |
| 5 | SB | 101 | 446011 | 12/11/2001 | X | 9 | | | | JOHANNA ANDRIS | X | X | | | | X | | | |
| 8 | RIV | 215 | 3348U1 | 12/29/2001 | | | | | X | CLIFF SHIEH | X | | | | | | | X | |
| 4 | SCL | 87 | 4874M1 | 11/30/2001 | | | X | | X | LYLE B OEHLER | X | | | | | X | | | |
| 4 | SCL | 87 | 241401 | 1/15/2002 | X | 12 | X | | | S. NG | | | X | | | X | | | n/a |
| 4 | ALA | 80 | 292261 | 1/7/2002 | | | X | | | RAYMOND PANG | | | X | | | X | | | n/a |
| 6 | KIN | 41 | 33960 | 7/9/2001 | X | | | | | TERRY OGLE | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 4567V1 | 3/7/2002 | | | | | X | JAMAL ELSALEH | | | | | X | | | X | N |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 8 | SBD | 210 | 4437U1 | 3/7/2002 | | | | | X | STEVEN KEEL | | | | | | | | X | n/a |
| 4 | SM | 1 | 112371 | | X | 58 | | | | SKIP SOWKO | | X | | | X | | | X | N |
| 4 | CC | 680 | 0C7301 | 12/14/2001 | | | | | X | MAXIMO B. ANASCO | X | | | | | | X | | n/a |
| 4 | ALA | 260 | 440141 | 6/19/2001 | X | 30 | | | | STANLEY GEE | | | X | | | | | X | n/a |
| 4 | ALA | 880 | 165421 | | | | X | | | STANLEY GEE | | | X | | | | X | | n/a |
| 4 | SM | 84 | 1S15U1 | 6/19/2001 | X | | X | | X | RAMSEY HISSEN | | | X | | | | X | | n/a |
| 6 | KER | 33 | 39760 | 6/19/2001 | | | X | | | JIM HEINEN | | | X | | | X | | | n/a |
| 8 | RIV | 10 | 455800 | | | | X | | | MANUEL FARIAS | | | | X | | | X | | |
| 8 | RIV | 71 | 446511 | 6/19/2001 | X | 109 | | | | NASSIM ELIAS | | X | | | | | X | | n/a |
| 3 | GLE | 32 | 37360 | 6/19/2001 | X | 25 | | | | KEITH HERRON | X | | | | | | X | | |
| 3 | SAC | 50 | 266000 | | X | 380 | | X | | DENNIS AGAR | | | | | X | | X | | |
| 3 | SAC | 51 | 0C010 | | X | 76 | | | | DENNIS AGAR | | | | | X | | X | | |
| 10 | SJ | 5 | 1A5400 | | X | 500 | X | | | RAM NARAYAN | | | X | | | | X | | |
| 7 | LA | 210 | 53391 | | X | 133 | | | | OJI KALU | | | | | | | X | | |
| 7 | LA | 101 | 111571 | | X | 48 | | | | OJI KALU | | | | | | | | X | |
| 7 | VEN | 126 | 66341 | | X | 35 | | | | OJI KALU | | | | | | | X | | |
| 7 | VEN | 126 | 66351 | | X | 50 | | | | OJI KALU | | | | | | | X | | |
| 7 | LA | 405 | 1198U1 | | | | | X | X | MABEL TRAN | | | | | | | X | | |
| 7 | LA | 90 | 1693U1 | | X | 50 | | X | | GABE HAMIDI | | | | | | | X | | |
| 8 | SBD | 38 | 35842 | 10/2/2001 | X | 0 | | | | GARY | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 4567U1 | 12/27/2001 | | | X | | X | JAMAL ELSALEH | | | X | | | | | X | |
| 5 | SLO | 1 | 41280 | 1/31/2002 | X | 19 | | | | DAVID RASMUSSEN | | | X | | | | X | | n/a |
| 5 | SLO | 1 | 42073 | 1/31/2002 | X | -16 | | X | | DAVID RASMUSSEN | | | X | | | | X | | n/a |
| 11 | IMP | 111 | 19936 | | X | | | | | GUSTAVO DALLARDA | | X | | | | | | | |
| 7 | VEN | 126 | 182801 | 11/17/2000 | X | 14 | | | | | | | X | | | X | | | n/a |
| 4 | CC | 680 | 2285U1 | 4/11/2002 | X | | | | X | MAXIMO ANASCO | X | | X | | X | | | X | |
| 7 | VEN | 150 | 118991 | 4/11/2002 | | | | | X | MUMBIE FREDSON- | | | X | | | | | X | n/a |
| 7 | LA | 2 | 208021 | | X | 34 | | | | JOHN LEE | | | X | | | | X | | n/a |
| 7 | LA | | 131021 | | | | | | X | WALTER SALAS | | | X | | | | X | | n/a |
| 8 | SBD | 18 | 227000 | | | | X | | | GARY | | | X | | | X | | | n/a |
| 4 | CC | 680 | 0C7321 | 4/18/2002 | | | | X | | MAXIMO ANASCO | | | X | | | X | | | n/a |
| 9 | INY | | 26520 | 7/17/2001 | | | X | | | SRIKANTH | | | X | | | X | | | n/a |
| 7 | VEN | 1 | 1151C1 | 8/29/2000 | X | | X | | | JOHN SCOTT | | | X | | | | X | | n/a |
| 7 | LA | 10 | 1069U1 | 3/13/2001 | | | | | X | MEHDI SLAEHINIK | X | | | | | X | | | |
| 7 | VEN | 150 | 105481 | 3/27/2001 | | | | X | | MUMBIE FREDSON- | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 439311 | 8/2/2001 | X | -3 | | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | SBD | VAR | 493300 | 10/2/2001 | X | 15 | | | | MELECIO CHALCO | | | X | | | X | | | n/a |
| 6 | TUL | 65 | 404300 | 11/15/2001 | X | -37 | | | | JUDY AGUILAR LUNA | X | | | | | X | | | |
| 8 | SBD | 38 | 35841 | 10/2/2001 | X | 0 | | | | GARY | | | X | | | X | | | n/a |
| 8 | SBD | 18 | 227000 | 10/2/2001 | X | 88 | | | | GARY | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 45670 | 10/2/2001 | X | 28 | | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 6 | TUL | 63 | 30700 | 6/28/2001 | X | | X | | | GLENN BLAKE | X | | | | | X | | | |
| 8 | SBD | 15 | 456800 | 10/2/2001 | X | 29 | | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 36850 | 12/4/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 1 | MEN | 101 | 262000 | | | | X | | | LENA ASHLEY | X | X | | | | | X | | X |
| 7 | VEN | 118 | 116791 | 10/18/2001 | X | 34 | | X | | REZA FATEH | X | | | | | | X | | X |
| 8 | RIV | 215 | 3348U1 | 10/18/2001 | | | | | X | CLIFF SHIEH | | | | | | | | X | |
| 5 | MON | 101 | 0161X0 | 10/26/2001 | X | | X | X | | BOB HULL | X | X | | | | | | X | X |
| 8 | SBD | 138 | 4697U1 | 10/18/2001 | | | | | X | TEDDY OKOYE | | X | X | | | | | X | |
| 7 | LA | 14 | 200501 | 11/1/2001 | X | 17 | | | | OSAMA MEGALLA | | | X | | | X | | | n/a |
| 3 | YUB | L5714 | 0A2900 | 11/16/2001 | X | 11 | | | | GARY SIDHU | | | X | | | X | | | n/a |
| 3 | YUB | L5506 | 4A8900 | 10/19/2001 | X | 82 | | | | GARY SIDHU | | | X | | | X | | | n/a |
| 10 | AMA | 49 | 461300 | 12/11/2001 | | | X | | | RONN J DRAGOO | | | X | | | X | | | n/a |
| 8 | RIV | 79 | 464600 | 12/18/2001 | X | 9 | X | X | | SAFAA BAYATI | X | | | | | | X | | |
| 8 | SBD | 15 | 355560 | 11/26/2001 | | | X | | | MELECIO CHALCO | X | X | | | | | X | | |
| 11 | SD | 905 | 93160 | 11/26/2001 | | | | | X | RANDY SANCHEZ | X | X | | | X | | X | | |
| 11 | IMP | 78/111 | 167820 | 1/11/2002 | X | | X | X | X | GUSTAVO DALLARDA | | X | | | | | | X | |
| 1 | HUM | 101 | 314401 | 12/3/2001 | X | 14 | X | | | MATTHEW BRADY | | | X | | | X | | | n/a |
| 8 | SBD | 40 | 435400 | 11/28/2001 | X | | | X | | HAISSAM YAHYA | | | X | | | X | | | n/a |
| 6 | KER | 99 | 43150K | 12/4/2001 | | | X | | | LORI BUTLER | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 412801 | 12/19/2001 | | | | X | | DAVID RASMUSSEN | | | X | | | X | | | n/a |
| 10 | AMA | 124 | 0A850K | 11/26/2001 | | | X | | | WESELY ZINKE | | | X | | | | X | | n/a |
| 4 | ALA | 80 | 181731 | 11/26/2001 | X | 36 | | | | LYLE OEHLER | X | | | | | | X | | |
| 4 | ALA | 580 | 181771 | 11/26/2001 | X | 47 | | | | LYLE OEHLER | X | | | | | | X | | X |
| 5 | MON | 156 | 31600K | 11/26/2001 | X | | | X | | BOB HULL | | X | | | | | | X | |
| 2 | LAS | 395 | 35790K | 11/21/2001 | X | 20 | | | | DEREK WILLIS | | | X | | | X | | | n/a |
| 2 | LAS | 44 | 361800 | 11/21/2001 | X | 16 | | | | DEREK WILLIS | | | X | | | X | | | n/a |
| 10 | AMA | 88 | 1A6700 | 12/4/2001 | | | X | | | WESLEY ZINKE | | | X | | | X | | | n/a |

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| 1 | MEN | 253 | 3116U0 | 12/3/2001 | | | X | | | LENA ASHLEY | | | X | | | X | | | n/a |
| 1 | MEN | 128 | 365001 | 12/4/2001 | X | 69 | | | | KEITH HERRON | | | X | | | X | | | n/a |
| 4 | SF | 1 | 162500 | 12/3/2001 | X | 50 | | | | | | | X | | | X | | | n/a |
| 4 | NAP | 121 | 209401 | 12/4/2001 | | | X | | | AHMAD RAHIMI | | | X | | | X | | | n/a |
| 4 | SF | 101 | 171200 | 12/4/2001 | X | 29 | | | | | | | X | | | X | | | n/a |
| 4 | NAP | 121 | 253801 | 12/3/2001 | X | | X | X | | SAAID | | | X | | | X | | | n/a |
| 5 | SB | 101 | 46380K | 12/14/2001 | X | 74 | X | | | JOHANNA ANDRIS | X | | | | | | X | | |
| 5 | SLO | 101 | 441501 | 12/14/2001 | X | 9 | | | | AMY DONATELLO | | | X | | | | X | | n/a |
| 6 | KER | 223 | 338501 | 12/14/2001 | X | 14 | | | | FRANK MOMEN | | | X | | | | X | | n/a |
| 10 | CAL | 4 | 499900 | 12/29/2001 | | | X | | | LISA JACKSON | | | X | | | | | X | n/a |
| 10 | AMA | 88 | 264440 | 12/29/2001 | | | X | | | WESLEY ZINKE | | | X | | | | | X | n/a |
| 10 | SJ | 5 | 2A0301 | | X | 80 | X | X | | IORZUA AKUVA | | | | | X | | X | | |
| 3 | ED | 50 | 355511 | 12/29/2001 | X | 34 | X | | | DONNA BERRY | X | | | | | | | X | X |
| 3 | BUT | 99 | 3822U0 | | X | 40 | X | | | WINDER BAJAWA | | X | | | | | | X | |
| 4 | ALA | 84 | 233030 | | | | X | | | RON KIAAINA | X | | | | | | | X | |
| 4 | ALA | 680 | 253751 | 12/29/2001 | | | X | | | EMILY LANDIN-LOWE | X | X | | | | | | X | |
| 4 | ALA | 580 | 410951 | 1/11/2002 | | | X | | | DOANH NGUYEN | | | | | X | | | X | |
| 4 | ALA | 238 | 15540G | 1/11/2002 | | | X | | | DOANH NGUYEN | | | | | X | | | X | |
| 7 | LA | 10 | 111720 | 1/15/2002 | | | X | | | MEHDI SALEHINIK | | X | | | | | X | | |
| 7 | LA | 60 | 125701 | 12/29/2001 | X | 47 | | | | JIWANJIT PALAHA | X | | | | | | | X | |
| 10 | STA | 5 | 1A400 | 3/15/2002 | X | 6 | | | | WUTHY SENG | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 47590 | 4/18/2002 | X | -78 | | | | PAUL MARTINEZ | | | X | | | X | | | n/a |
| 4 | SM | 101 | 2357U1 | 4/11/2002 | | | X | | X | ABBY EMADZADEH | X | | | | X | | | X | |
| 4 | NAP | 121 | 253801 | 4/19/2001 | | | X | X | | SAAID | | | X | | | X | | | n/a |
| 8 | SBD | 138 | 1A76UK | 4/18/2002 | | | | | X | GARY | | | X | | | X | | | n/a |
| 7 | LA | 60 | 23981 | 4/18/2002 | | | X | | X | ZAREH SHAHBAZIAN | | | | | X | X | | | |
| 4 | SOL | 12 | 0T0900 | 4/2/2002 | | | X | | | JASON MAC | | | | | | X | | | n/a |
| 8 | SBD | 215 | 7131 | 4/18/2002 | | | | | X | THERESA SASIS | X | | | | | X | | | X |
| 7 | LA | 1 | 206031 | | | | | X | | MEHDI SALEHINIK | | | X | | | | X | | n/a |
| 3 | SUT | 20 | 1A97V0 | 5/17/2002 | | | X | | X | BRENDA SCHIMPF | | | X | | | | X | | n/a |
| 3 | ED | 50 | 0C210 | 5/10/2001 | | | X | | | KEITH RHODES | | | X | | | | X | | n/a |
| 3 | YOL | 80 | 1A8901 | 11/22/2000 | X | 45 | | | | JIM DAVIS | | | X | | | X | | | n/a |
| 5 | SB | 101 | 460701 | 5/16/2002 | | | X | | | JOHANNA ANDRIS | X | | | | | | X | | |
| 3 | SUT | 70 | 3864U1 | 5/17/2002 | | | | | X | TED DAVANI | | X | | | | | | X | |
| 6 | KIN | 41 | 321500 | 5/16/2002 | | | X | | | TERRY OGLE | | | X | | | | X | | n/a |
| 6 | KER | 41 | 382900 | 5/16/2002 | | | X | | | TERRY OGLE | | | X | | | | X | | n/a |
| 11 | SD | 15 | 232601 | 5/17/2002 | | | | | X | LAWRENCE CARR | | | X | | | | | X | n/a |
| 2 | SHA | 89 | 310400 | 5/17/2002 | | | X | | | DAVE MOORE | | | X | | | | X | | n/a |
| 2 | TRI | 3 | 364100 | 5/17/2002 | | | X | | | MARCELLA | | | X | | | | X | | n/a |
| 6 | KIN | 41 | 3215U1 | 5/17/2002 | | | | X | X | DAVID FRANKE | | | X | | | | X | | n/a |
| 5 | MON | 101 | 453900 | 5/23/2002 | | | | X | | DOUG HESSING | | | X | | | | | | n/a |
| 11 | SD | 111 | 199361 | 5/17/2002 | | | | | X | GUSTAVO R. | | X | | | | | X | | |
| 3 | SAC | 160 | 437201 | 5/23/2002 | X | 41 | X | | | KEITH D. RHODES | | | X | | | | | | n/a |
| 7 | LA | 1 | 1661U1 | 5/16/2002 | | | X | | | GABE HAMIDI | X | | | | | | X | | X |
| 3 | GLE | | 1A1201 | 7/27/2000 | X | 20 | | | | NAGHI GHAFARI | | | X | | | X | | | n/a |
| 2 | LAS | 395 | 258501 | 5/17/2002 | X | 10 | | X | | PHIL BAKER | | | X | | | | X | | n/a |
| 9 | INY | 6 | 284301 | 5/24/2002 | X | -24 | | | | SRIKANTH | | | X | | | X | | | n/a |
| 1 | DN | VAR | 375601 | 5/17/2002 | | | X | | X | KEITH HERRON | | | X | | | | X | | n/a |
| 3 | ED | 89 | 0A3901 | 5/17/2002 | X | 18 | | | | HAMID BONAKDAR | | | X | | | | X | | n/a |
| 3 | ED | 50 | 0A4001 | 5/17/2002 | X | -34 | | X | | HAMID BONAKDAR | | | X | | | | | X | n/a |
| 8 | SBD | 138 | 1A76U | 5/17/2002 | | | | | X | GARY | | | X | | | | | X | n/a |
| 8 | SBD | 18 | 448201 | 5/17/2002 | | | | | X | GARY | | | X | | | | | X | n/a |
| 2 | VAR | | 3580U1 | 6/20/2002 | | | | | X | DEREK WILLIS | | | X | | | | X | | n/a |
| 4 | MRN | 101 | 226131 | | X | | X | X | | JIT PANDHER | X | X | | X | | | | X | |
| 4 | ALA | 123 | 249701 | 6/20/2002 | | | X | | X | PATRICK PANG | | | X | | | | X | | n/a |
| 6 | KER | 46 | 442500 | 6/4/2002 | | | | X | | MEHRAN AKHAVAN | X | X | | X | | X | | | |
| 7 | LA | 1 | 1660U1 | 5/16/2002 | | | X | | | GABE HAMIDI | X | | | | | | X | | X |
| 7 | LA | 90 | 1693U1 | 5/16/2002 | | | X | | | GABE HAMIDI | X | | | | | | X | | X |
| 4 | SM | 84 | 1S7901 | 5/16/2002 | X | | X | X | X | JOHN HEMIUP | | | X | | | | X | | n/a |
| 5 | SB | 101 | 462101 | 5/16/2002 | X | 15 | | | | AMY DONATELLO | | | X | | | | X | | n/a |
| 5 | SLO | 46 | 3307U0 | 5/16/2002 | | | X | | | THOMAS E. | X | X | | | | | | X | |
| 5 | SLO | 46 | 330800 | 5/23/2002 | | | X | | | THOMAS E. | | X | | | | | | | |
| 12 | ORA | 74 | 86900 | | X | | | | | BOB BAZARGAN | | X | | | | | | | |
| 5 | SB | 101 | 448100 | 5/16/2002 | X | 37 | | | | ROB MILLER | X | | | | | | X | | |
| 4 | SCL | 152 | 174900 | 5/16/2002 | | | X | | | NITA LOGAN | X | | | | X | | | | VT |
| 4 | ALA | 80 | 254801 | | X | 88 | X | | | NITA LOGAN | X | | | | | X | | | CM |
| 8 | SBD | 10 | 453601 | 6/20/2002 | X | 3 | | X | | PHILLIP REYNOLDS | | | X | | | | X | | n/a |
| 8 | SBD | 10 | 474201 | 6/20/2002 | X | -12 | | X | | WENDY LI | | | X | | | | X | | n/a |

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 7 | LA | 5 | 1760U1 | 4/18/2002 | X | | | | | ASHRAF HABBAK | | | X | | | | | | n/a |
| 12 | ORA | 5 | 0A3901 | | X | 5 | X | | | AHMED ABOU- | | | X | | | | X | | n/a |
| 12 | ORA | 5 | 0C1501 | 6/20/2002 | | | X | | | AHMED ABOU- | | | X | | | | X | | n/a |
| 12 | ORA | VAR | 0E1001 | | | | X | | | LEO CHEN | | | X | | | | X | | n/a |
| 12 | ORA | VAR | 0E1101 | | | | X | | | LEO CHEN | | | X | | | | X | | n/a |
| 10 | CAL | 4 | 499901 | | | | | | X | DAVE MENDOZA | | | X | | | | X | | n/a |
| 1 | DN | 169 | 311711 | 6/20/2002 | | | X | | | GARY BANDUCCI | | | X | | | | X | | n/a |
| 3 | BUT | 99 | 391801 | 6/20/2002 | | | X | | | SUKHWINDER | | | X | | | | X | | n/a |
| 3 | PLA | 49 | 0A4101 | 6/20/2002 | | | X | | | DAPO OKUPE | X | | | | X | | X | | n/a |
| 3 | YOL | 80 | 1A8901 | 6/20/2002 | | | X | | | DENNIS AGAR | | | X | | | | X | | n/a |
| 3 | YOL | 80 | 395901 | 6/20/2002 | | | X | | | DONNA BERRY | | | X | | | | X | | n/a |
| 4 | SCL | 880 | 253400 | 11/21/2000 | | | X | | | LYLE B OEHLER | | | X | | | X | | | n/a |
| 4 | SON | 12 | 249240 | 7/18/2000 | X | | | X | | ROBERT GONG | | | X | | | X | | | n/a |
| 4 | ALA | 880 | 24810K | 10/17/2000 | | | X | | | ROBERT ANDERSON | | | X | | | X | | | n/a |
| 4 | ALA | 880,92 | 233171 | 8/22/2001 | | | | | X | HELENA CULIK- | | | | | X | X | | | n/a |
| 8 | SBD | 10 | 3528UK | | | | | | X | | | | | | | | | | |
| 8 | SBD | 15 | 3555U1 | | | | | | X | | | X | X | | | | | | |
| 8 | SBD | 15 | 4393U1 | 6/20/2002 | X | -5 | | X | | JAMAL ELSALEH | | | X | | | | X | | n/a |
| 8 | SBD | 15 | 368501 | 6/20/2002 | X | 6 | | X | | JAMAL ELSALEH | | | X | | | | X | | n/a |
| 4 | MRN | 1 | 1S0221 | | | | X | | | PATRICK PANG | | | X | | | | | | n/a |
| 4 | MRN | 101 | 2261U1 | | | | | | X | | X | | | | X | | | | |
| 8 | SBD | 15 | 6511 | 5/17/2002 | X | 17 | | | | MELECIO CHALCO | | | X | | | | X | | n/a |
| 8 | SBD | VAR | 477701 | 5/17/2002 | X | 8 | | | | PHILLIP REYNOLDS | | | X | | | | X | | n/a |
| 8 | SBD | 30 | 433101 | 5/17/2002 | X | 13 | | | | STEVEN KEEL | | | X | | | | X | | n/a |
| 8 | SBD | VAR | 478501 | 5/17/2002 | X | -29 | | | | NASSIM ELIAS | | | X | | | | | X | n/a |
| 8 | RIV | 10 | 1A6101 | 5/17/2002 | X | -3 | | | | WENDY LI | | | X | | | | | X | n/a |
| 4 | SOL | 80 | 0T2000 | 4/18/2002 | | | X | | | JASON MAC | | X | | | | X | | | |

| District | County | Route | EA | Approval | Cost Change | Percent Change | Schedule Change | Scope Change | Split/Combine | Pr Mgr | RIP | IIP | SHOPP | TCRP | Other Funding | Dist Appr | Div Chief Appr | Chief Engr Appr | RTPA |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 4 | SCL | 87 | 241401 | 9/26/2000 | | | X | | | | | | X | | | | | | n/a |
| 12 | ORA | 55 | 95621 | 1/30/2001 | X | 66 | X | X | | | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 40861 | 1/30/2001 | X | 33 | | X | X | ADNAN MAIAH | | | | | | | X | | |
| 12 | ORA | 22 | 40881 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 11 | IMP | 98 | 229000 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173400 | 1/30/2001 | X | | X | X | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 8 | RIV | 10 | 437901 | 1/30/2001 | X | 12 | | | | WENDY LI | | | X | | | | X | | n/a |
| 8 | SBD | 18 | 5611 | 1/30/2001 | X | 7 | | | | GEORGE MORHIG | | | X | | | | X | | n/a |
| 8 | RIV | 215 | 462711 | 4/25/2001 | X | 25 | | X | X | CLIFF SHIEH | X | | | | | | | X | |
| 8 | RIV | 215 | 334801 | 4/25/2001 | | | X | | | CLIFF SHIEH | X | | | | X | | X | | |
| 8 | RIV | 91 | 4221U1 | 1/30/2001 | X | 19 | | | | SATAA BAYATI | | | X | | | | X | | n/a |
| 5 | SB | 101 | 448301 | 4/25/2001 | X | 30 | | | X | ROBERT MILLER | | | X | | | | X | | n/a |
| 10 | STA | 120 | 2812U1 | | X | 90 | X | X | | JOHN ENSCH | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 349701 | 1/30/2001 | X | -16 | | | | MARCELLA | | | X | | | | X | | n/a |
| 2 | TEH | 5 | 2618U1 | 1/30/2001 | X | 26 | | | X | MARCELLA | X | | | | | | X | | |
| 6 | KER | 5 | 421001 | 1/30/2001 | X | 25 | | | | JIM HAMMER | | | X | | | | X | | n/a |
| 12 | ORA | 22 | 53271 | 1/30/2001 | X | | X | X | | ADNAN MAIAH | | | | | | | X | | |
| 7 | LA | 405 | 1178U1 | 3/13/2001 | | | | | X | GABE HAMIDI | X | | | | X | | X | | |
| 4 | NAP | 29 | 120611 | 4/5/2001 | | | X | | X | CRISTINA FERRAZ | X | | | | | | X | | |
| 3 | SAC | 160 | 447101 | 4/18/2001 | X | 65 | | | | KEITH D. RHODES | | | X | | | X | | | n/a |
| 3 | YOL | 80 | 395901 | 4/18/2001 | X | -39 | | | | ROBERT D. | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T1010 | 4/19/2001 | | | X | | | KATIE YIM | | | X | | | X | | | n/a |
| 4 | SOL | 12 | 0T090 | 4/16/2001 | | | X | | | | | | X | | | X | | | n/a |
| 5 | MON | 101 | 0161A1 | 4/17/2001 | X | | | X | | JOSE PONCE | | | X | | | X | | | n/a |
| 5 | SB | 166 | 0A490K | 4/4/2001 | | | X | | | AMY DONATELLO | | | X | | | X | | | n/a |
| 5 | SLO | 46 | 486701 | 4/17/2001 | X | 36 | | | | RON KRAEMER | | | X | | | X | | | n/a |
| 6 | KER | 99 | 31820 | 4/19/2001 | | | X | | | GLENN BLAKE | | | X | | | X | | | n/a |
| 6 | TUL | 198 | 403500 | 4/17/2001 | X | 18 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 6 | TUL | 99 | 432000 | 4/17/2001 | X | 20 | | | | LORI BUTLER | | | X | | | X | | | n/a |
| 8 | SBD | VAR | 47790K | 5/3/2001 | X | -53 | | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 8 | SBD | 40 | 483700 | 4/24/2001 | X | -8 | | | | HELENA SULLIVAN | | | X | | | X | | | n/a |
| 8 | SBD | 210 | 4432T1 | 4/23/2001 | | | X | | | STEVEN KEEL | | | X | | | X | | | n/a |
| 8 | RIV | 111 | 428111 | 4/24/2001 | | | X | | | MANUEL FARIAS | | | X | | | X | | | n/a |
| 11 | SD | 78 | 165731 | 4/19/2001 | | | X | X | | | | | X | | | X | | | n/a |
| 1 | MEN | 128 | 362400 | 4/30/2001 | | | X | | | ALAN ESCARDA | | | X | | | X | | | n/a |
| 8 | SBD | 15 | 447901 | 4/30/2001 | | | X | | | JAMAL ELSALEH | | | X | | | X | | | n/a |
| 8 | SBD | 83 | 449700 | 4/30/2001 | | | X | | | NASSIM ELIAS | | | X | | | X | | | n/a |
| 10 | STA | 120 | 345400 | 4/25/2001 | X | | X | | | DAVID MENDOZA | | X | | | | | X | | |
| 7 | VEN | 101 | 192901 | 4/5/2001 | X | -38 | | X | | MUMBIE FREDSON- | | | X | | | | X | | n/a |
| 7 | LA | 405 | 191301 | 4/5/2001 | X | 11 | | | | EDWARD ANDRAOS | X | X | | | | | X | | |
| 11 | IMP | 7 | 65100 | 4/5/2001 | | | X | | | JOHN P. RIEGER | X | | | | | | X | | |
| 6 | KER | 58 | 400100 | 4/9/2001 | X | | X | X | | JIM HAMMER | X | X | | | | | X | | |
| 4 | SM | 280 | 135991 | 6/27/2001 | X | 134 | | X | | KAI CHAN | | | X | | | | X | | n/a |
| 4 | CC | 4 | 228770 | 4/5/2001 | | | | | X | RAYMOND PANG | X | X | | | X | | X | | |
| 4 | ALA | 580 | 181791 | 4/5/2001 | X | 161 | | X | | LYLE B. OEHLER | X | | | | | | X | | |
| 4 | ALA | 580 | 410951 | 4/9/2001 | | | X | | | ROBERT ANDERSON | | | | | X | | X | | |
| 4 | SOL | 37 | 0T1411 | 4/5/2001 | X | 9 | | | | KATIE YIM | X | | | | | | X | | |
| 4 | ALA | 80 | 254800 | 4/5/2001 | X | 39 | | | | MIKE WELSCH | X | | | | | | X | | |
| 2 | PLU | 70 | 3016U1 | 4/5/2001 | | | | | X | PHIL BAKER | | | X | | | | X | | n/a |
| 4 | CC | 680 | 228560 | 4/13/2001 | X | 35 | X | | | MAXIMO ANASCO | X | | | | X | | X | | |
| 4 | SF | 101 | 291001 | 4/9/2001 | | | | | X | SIROUS DEYLAMIAN | | | X | | | | X | | n/a |
| 7 | LA | 210 | 136901 | 1/30/2001 | X | 134 | | | | OJI KALU | | | | | X | | X | | |
| 8 | SBD | 210 | 443701 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | X | | X | | |
| 8 | SBD | 210 | 443801 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 443901 | 4/13/2001 | | | | | X | STEVEN KEEL | X | | | | | | X | | |
| 8 | SBD | 210 | 444001 | 4/13/2001 | | | | | X | STEVEN KEEL | X | X | | | | | X | | |
| 8 | RIV | 86 | 428131 | 4/13/2001 | | | | | X | MANUAL FARIAS | | X | | | | | X | | |
| 11 | SD | 15 | 23262K | | | | X | | | LARRY CARR | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 173410 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 11 | IMP | 98 | 229010 | 4/13/2001 | | | | | X | CARL SAVAGE | | | X | | | | X | | n/a |
| 10 | MER | 99 | 363100 | 4/13/2001 | X | 30 | X | X | | NEIL E. BRETZ | X | X | | | X | | X | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 3 | SAC | 80 | 3546U1 | 4/13/2001 | | | | | X | ROBERT D. | X | | | | | | X | | | |
| 3 | ED | 89 | 0A3901 | 5/4/2001 | | | X | | | TIMOTHY B. | | | X | | | | X | | | n/a |
| 5 | SCR | 1 | 129101 | | X | 11 | | | | LUIS DUAZO | X | | | | | | X | | | |
| 7 | LA | 1 | 145501 | 5/4/2001 | | | | | X | STEVE TRAN | | X | | | X | | X | | | |
| 4 | SON | 12 | 2198U1 | 4/13/2001 | | | | | X | PATRICK PANG | | | X | | | | X | | | n/a |
| 3 | PLA | 80 | 4A240 | 4/18/2001 | X | 33 | | | | KARL DREHER | | | X | | | X | | | | n/a |
| 3 | SAC | 5 | 4A0401 | 4/18/2001 | X | 48 | | | | KEITH D. RHODES | | | X | | | X | | | | n/a |
| 3 | SAC | 99 | 4A7401 | 4/18/2001 | X | -20 | | | | KEITH D. RHODES | | | X | | | X | | | | n/a |
| 3 | SIE | 49 | 449511 | 3/15/2001 | X | 19 | | | | DOUGLAS | | | X | | | X | | | | n/a |
| 3 | SIE | 89 | 0A7001 | 4/18/2001 | X | 6 | | X | | DOUGLAS | | | X | | | X | | | | n/a |
| 2 | TEH | 99 | 343701 | 1/30/2001 | X | 10 | | | | MARCELLA | | | X | | | | X | | | n/a |
| 12 | ORA | 55 | 07560K | 11/12/2002 | | | | X | | SANDY | | | X | | | X | | | | n/a |
| 11 | SBD | 5 | 185941 | 4/19/2001 | X | 51 | | X | | | | | X | | | X | | | | n/a |
| 11 | IMP | 98 | 60701 | 4/30/2001 | | | | X | | | | | X | | | X | | | | n/a |
| 8 | RIV | 15 | 402200 | 5/3/2001 | | | | | | BRUCE KO | | | X | | | X | | | | n/a |
| 4 | SCL | 880 | 122911 | 9/26/2000 | X | -40 | | X | | LORENA WONG | | | | | | X | | | | |
| 7 | LA | 5 | 23121 | 8/13/2002 | X | | | X | | OJI KALU | | | | | | X | | | | |
| 3 | BUT | 70 | 2A6001 | 4/18/2001 | X | 42 | | | | WINDER BAJWA | | | X | | | X | | | | n/a |
| 3 | ED | VAR | 2A06U1 | 12/26/2000 | | | | | X | JIM DAVIS | | | X | | | X | | | | n/a |
| 3 | COL | 20 | 1A97UK | 8/21/2000 | | | | | X | SCOTT JARVIS | | | X | | | | | | | n/a |
| 11 | IMP | 7 | 68000 | 4/5/2001 | | | X | | | RAMON A. RUELAS | X | X | | | | | | X | | |
| 8 | RIV | 10 | 456001 | 10/12/2001 | | | X | | | MANUEL FARIAS | X | | | | | X | | | | |
| 8 | RIV | 86S | 428151 | 12/14/2001 | X | | | | | MANUAL FARIAS | | X | | | | | X | | | |
| 7 | LA | 60 | 1257U1 | 11/15/2002 | | | | X | X | JIWANJIT PALAHA | X | | | | X | | X | | | |
| 7 | LA | 210 | 0533U1 | 7/26/2002 | X | 60 | | | X | OJI KALU | | | | | X | | X | | | |
| 4 | SOL | 12 | 0T1010 | 6/26/2002 | | | X | | | JASON MAC | | | X | | | | | | | n/a |
| 8 | SBD | 62 | 359021 | 8/29/2002 | X | 29 | | | | WENDY LI | | | X | | | | X | | | n/a |
| 4 | NAP | 121 | 253801 | 4/19/2001 | | | X | X | | SAAID | | | X | | | X | | | | n/a |
| 3 | ED | 50 | 0C210 | 5/10/2001 | | | X | | | KEITH RHODES | | | X | | | | X | | | n/a |
| 3 | YOL | 80 | 1A8901 | 11/22/2000 | X | 45 | | | | JIM DAVIS | | | X | | | X | | | | n/a |
| 4 | SON | 12 | 2198U0 | 7/2/2002 | | | X | | X | PATRICT PANG | | | X | | | | X | | | n/a |
| 4 | SF | 80 | 248211 | | X | 13 | | | | RAMSEY HISSEN | | | X | | | | X | | | n/a |
| 3 | GLE | | 1A1201 | 7/27/2000 | X | 20 | | | | NAGHI GHAFARI | | | X | | | X | | | | n/a |
| 11 | SD | 15 | 2326U1 | 6/20/2002 | | | | | X | LAWRENCE CARR | | X | X | | | | | X | | |
| 4 | SF | 101 | 291001 | | | | X | | | SIROUS DEYLAMIAN | | | X. | | | | X | | | n/a |
| 4 | ALA | 238 | 249000 | | X | | | | X | DOANH NGUYEN | X | | | | | | | X | | |
| 4 | ALA,SCL | 680 | 253751 | | | | X | | | EMILY LANDIN-LOWE | X | X | | | | | X | | | |
| 12 | RIV | 15 | 94301 | 6/28/2002 | | | | X | | BILL BENGSTON | | | X | | | | X | | | n/a |
| 12 | ORA | 133 | 1072U1 | 6/28/2002 | | | | | X | | | | X | | | | X | | | n/a |
| 7 | LA | 110 | 4G3001 | 6/28/2002 | | | X | | | MAEN SHAAR | | | X | | | | X | | | n/a |
| 8 | SBD | 10 | 453601 | 11/15/2002 | | | | | X | PHILLIP REYNOLDS | | | X | | | | X | | | n/a |
| 8 | SBD | 10 | 4192U1 | 11/15/2002 | | | | | X | RYAN ROBERTS | X | | X | | | | X | | | |
| 10 | SJ | 4 | 3A9300 | 10/2/2002 | | | | X | | DAVE | | | X | | | | | | | |
| 1 | HUM | 299 | 310501 | 8/20/2002 | | | | X | | KIM FLOYD | | | X | | | X | | | | n/a |
| 5 | SB | 101 | 0G770K | 8/20/2002 | | | X | | | JOSE PONCE | | | X | | | X | | | | n/a |
| 10 | AMA | 124 | 0A8501 | 8/21/2002 | | | X | | | WESLEY ZINKE | | | X | | | X | | | | n/a |
| 10 | SJ | 5 | 3A2601 | 8/21/2002 | | | X | | | DAVID MENDOZA/C. | | | X | | | X | | | | n/a |
| 10 | SJ | 5 | 0A672K | 8/21/2002 | | | X | | | DAVID MENDOZA/C. | | | X | | | X | | | | n/a |
| 10 | AMA | 16 | 1A4901 | 8/21/2002 | | | X | | | DAVID | | | X | | | X | | | | n/a |
| 10 | ALP | 88 | 444201 | 8/21/2002 | | | X | | | DAVID | | | X | | | X | | | | n/a |
| 10 | MEN | 1 | 291701 | 8/22/2002 | | | | X | | | | | X | | | X | | | | n/a |
| 5 | MON | 101 | 464101 | 8/29/2002 | | | X | | | DAVID RASMUSSEN | | | X | | | X | | | | n/a |
| 5 | SB | 150 | 282801 | 8/29/2002 | | | X | | | AMY DONATELLO | | | X | | | X | | | | n/a |
| 5 | SLO | 1 | 0C910K | 8/29/2002 | | | X | | | PAUL MARTINEZ | | | X | | | X | | | | n/a |
| 5 | SLO | 1 | 49190K | 8/29/2002 | | | X | | | DAVID RASMUSSEN | | | X | | | X | | | | n/a |
| 10 | MER | 99 | 414801 | | | | | | X | PETER JEMERIGBE | | | X | | | | | X | | |
| 6 | KIN | 41 | 364601 | 9/3/2002 | | | X | | | DAVID FRANKE | | | X | | | X | | | | n/a |
| 6 | TUL | 190 | 337321 | 9/3/2002 | | | X | | | GLENN BLAKE | | | X | | | X | | | | n/a |
| 6 | KER | 99 | 46410K | 9/3/2002 | | | X | | | RONN DRAGOO | | | X | | | X | | | | n/a |
| 6 | KER | 58 | 46300K | 9/3/2002 | | | X | | | JIM HEINEN | | | X | | | X | | | | n/a |
| 5 | SB | 192 | 396100 | 9/9/2002 | | | X | | | AMY DONATELLO | | | X | | | X | | | | n/a |
| 5 | SB | 166 | 0A4900 | 9/9/2002 | | | X | | | AMY DONATELLO | | | X | | | X | | | | n/a |
| 8 | SBD | 18 | 227000 | 9/9/2002 | | | X | | | GARY | | | X | | | X | | | | n/a |
| 8 | RIV | 79 | 450200 | 9/9/2002 | X | | | X | | SAFAA BAYATI | | | X | | | X | | | | n/a |
| 5 | SLO | 41 | 452600 | 9/12/2002 | | | X | | | LISA LOWERISON | X | X | | | | X | | | | n/a |
| 5 | SB | 150 | 282811 | | | | X | | | AMY DONATELLO | | | X | | | X | | | | n/a |
| 10 | MER | 152 | 3A6800 | 9/10/2002 | | | X | | | DAVE | | | X | | | X | | | | n/a |
| 11 | SD | 5 | 239601 | 9/23/2002 | | | X | | | ISMAEL SALAZAR | | | X | | | X | | | | n/a |

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 11 | SD | ###### | 238501 | 9/23/2002 | | | X | | | EDWARD HAJJ | | | X | | | X | | | n/a |
| 11 | SD | 15,805 | 2379U1 | 9/23/2002 | | | X | | | RUSS T. CATHER | | | X | | | X | | | n/a |
| 11 | SD | 5 | 228900 | 9/23/2002 | | | X | | | BRUCE LAMBERT | | | X | | | X | | | n/a |
| 11 | SD | 5,15 | 228701 | 9/23/2002 | | | X | | | EDWARD HAJJ | | | X | | | X | | | n/a |
| 11 | SD | 5,163 | 207911 | 9/23/2002 | | | X | | | DAVE WALCOTT | | | X | | | X | | | n/a |
| 11 | SD/IMP | 78 | 165731 | 9/23/2002 | | | X | | | EVERETT | | | X | | | X | | | n/a |
| 11 | SD | 15 | 77301 | 9/23/2002 | | | X | | | EDWARD W. DEANE | | | X | | | X | | | n/a |
| 11 | SD | 15,805 | 70400 | 9/23/2002 | | | X | | | ISMAEL SALAZAR | | | X | | | X | | | n/a |
| 6 | KER | 58 | 435801 | 12/23/2002 | X | -29 | | | | JOHN ENSCH | | | X | | | | X | | n/a |
| 6 | TUL | 99 | 462101 | 12/23/2002 | X | -8 | | | | NEIL BRETZ | | | X | | | | X | | n/a |
| 6 | TUL | 198 | 431001 | 12/23/2002 | X | 27 | X | | | NEIL BRETZ | | | X | | | | X | | n/a |
| 7 | LA | 19 | 206051 | | | | | | | KATHLEEN WANDA | | | X | | | | X | | n/a |
| 7 | LA | 5 | 206041 | | | | | | | MEHDI SALEHINIK | | | X | | | | X | | n/a |
| 7 | LA | 2 | 206021 | | | | | | | ASHRAF HABBAK | | | X | | | | X | | n/a |
| 6 | KER | 58 | 243420 | | X | ### | | | | FRANK MOMEN | | X | | | | | X | | |
| 6 | FRE | 99 | 350701 | | X | | | X | X | JIM BANE | | X | | | | | | X | |
| 2 | SHA | L5713 | 351501 | | | | | X | | DEREK WILLIS | | | X | | | | X | | n/a |
| 8 | SBD | 215 | 00719K | | X | | X | X | X | THERESA SASIS | | | | X | | | X | | n/a |
| 2 | SHA | 5716 | 350801 | | X | | | | | DEREK WILLIS | | | X | | | | X | | n/a |
| 2 | LAS | 44 | 361800 | 12/19/2002 | X | | | X | | DEREK WILLIS | | | X | | | | X | | n/a |
| 7 | LA | 5 | 51071 | 8/13/2002 | X | | | X | | OJI KALU | | | | | | X | | | |
| 8 | RIIV | 79 | 450200 | | X | | | X | | SAFAA BAYATI | | | X | | | | | | |
| 4 | SCL | 880 | 253400 | 11/21/2000 | | | X | | | LYLE B OEHLER | | | X | | | X | | | n/a |
| 4 | SON | 12 | 249240 | 7/18/2000 | X | | | X | | ROBERT GONG | | | X | | | X | | | n/a |
| 4 | ALA | 880 | 24810K | 10/17/2000 | | | X | | | ROBERT ANDERSON | | | X | | | X | | | n/a |
| 4 | ALA | 880,92 | 233171 | 8/22/2001 | | | | | X | HELENA CULIK- | | | | | X | X | | | n/a |
| 2 | SHA | 5 | 3581U1 | 5/17/2002 | | | | | X | CARL ANDERSON | | | X | | | | X | | n/a |
| 12 | ORA | 91 | 0E05U1 | 6/28/2002 | | | X | X | X | LEO CHEN | | | X | | | | X | | n/a |
| 8 | SBD | 15 | 3555U1 | | | | | | X | | | X | X | | | | | | |
| 12 | ORA | 73 | 0C9800 | 7/17/2002 | | | | | X | | | | X | | | | | | n/a |
| 7 | LA | 5 | 23240K | 6/28/2002 | | | X | | | DENNIS SNYDER | | | X | | | | X | | n/a |
| 3 | YUB | | 0A29U1 | 7/26/2002 | | | | | X | TED DAVINI | | | X | | | | X | | n/a |
| 10 | MER | 99 | 480601 | | | | | | | NEIL BRETZ | | | X | | | | | | n/a |
| 10 | MER | 59 | 1A0700 | | | | | | | NEIL BRETZ | | | X | | | | | | n/a |
| 8 | SBD | 15 | 0A4200 | 8/5/2002 | | | | | X | | | | X | | | | X | | n/a |
| 2 | LAS | 44 | 325800 | | X | | | X | | DEREK WILLIS | | | X | | | | X | | n/a |
| 4 | MRN | 101 | 271600 | 12/23/2002 | | | | X | | LYLE OEHLER | | | X | | | | X | | n/a |
| 7 | LA | 5 | 23240K | 12/23/2002 | | | X | | X | DENNIS SNYDER | | | X | | | | X | | n/a |
| 8 | SBD | 215 | 00715K | | | | X | | X | THERESA SASIS | | | | X | | | X | | n/a |
| 8 | SBD | 215 | 00716K | | X | | X | X | X | THERESA SASIS | | | | X | | | X | | n/a |
| 4 | ALA | 880 | 165421 | 12/19/2002 | | | X | | | STANLEY GEE | | | X | | X | | X | | n/a |
| 10 | MER | 59 | 1A0700 | 6/28/2002 | | | X | | | NEIL BRETZ | | | X | | | | | | n/a |
| 4 | MRN | 101 | 2261U1 | | | | | | X | | X | | | | X | | | | |
| 8 | SBD | 38 | 358411 | 10/10/2002 | | | X | | X | GARY | | | X | | | | X | | |
| 11 | SD | 5 | 65000 | 9/23/2002 | | | X | | | ARTURO JACOBO | | | X | | | X | | | n/a |
| 11 | SD | 8 | 63800 | 9/23/2002 | | | X | | | ANN M. FOX | | | X | | | X | | | n/a |
| 3 | NEV | 267 | 291011 | | | | X | | | THOMAS BRANNON | X | X | | | | | X | | |
| 3 | SAC | 50 | 266001 | | | | | X | | JOSEPH CAPUTO | | | | | X | | X | | |
| 11 | IMP | 98 | 229020 | 10/25/2002 | | | X | X | | BRUCE W. LAMBERT | | | X | | | | | | n/a |
| 7 | LA | 14 | 4E2401 | | X | 146 | | | | OSAMA MEGALLA | | | X | | | | X | | n/a |
| 2 | TEH | 99 | 251471 | 10/29/2002 | | | X | | | MARCELLA | | | X | | | | X | | n/a |
| 10 | MER | 140 | 0A5801 | 10/10/2002 | X | 16 | | | | DAVID | | | X | | | | X | | n/a |
| 4 | SM | 101 | 274201 | | | | | | X | KEYHAN MOGHBEL | | | X | | | | X | | n/a |
| 7 | LA | 19 | 206051 | | | | | X | | CHRISTOPHER LE | | | X | | | | X | | n/a |
| 4 | SCL | | 124781 | 10/2/2002 | | | | | X | | | | X | | | | | | n/a |
| 9 | INY | 395 | 214600 | 10/1/2002 | | | X | | | TIM SCHULTZ | X | | | | | | | | |
| 10 | MPA | 140 | 42830K | 11/14/2002 | | | | X | | DAVE | | | X | | | | X | | n/a |
| 10 | SJ | 205 | 300160 | 9/27/2002 | | | X | | | BILL SANDHU | X | X | | X | | X | | | |
| 4 | SM | 84 | 1S15U1 | | | | X | | X | LAWRENCE A JONES | | | X | | | | | | n/a |
| 5 | SCR | 129 | 456401 | 11/14/2002 | X | 20 | | | | LUIS DUAZO | | | X | | | | X | | n/a |
| 4 | MRN | 101 | 115751 | 11/14/2002 | | | | X | | JIT PANDHER | X | X | | X | X | | X | | |
| 4 | SCL | 101 | 4874G1 | 11/14/2002 | | | X | | X | GENE GONZALO | X | X | | X | | | X | | |
| 12 | ORA | 74 | 43200 | 11/14/2002 | | | | | | AHMED ABOU- | | | X | | | | X | | n/a |
| 12 | ORA | 91 | 85211 | 11/14/2002 | X | | | | | LEO CHEN | | X | | | | | X | | |
| 7 | LA | 47 | 194901 | | X | 38 | | | | SHARS BANGALORE | | | | | | | X | | n/a |
| 7 | LA | 5 | 1218U1 | | | | X | | X | OJAS SHETH | X | X | | | X | | | X | |
| 7 | LA | 71 | 210601 | | | | | | X | JIWANJIT PALAHA | X | | | X | | | | X | |
| 7 | LA | 5 | 208041 | 11/12/2002 | | | | X | | MEHDI SALEHINIK | | | X | | | X | | | n/a |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 6 | KER | 6 | 424700 | 11/12/2002 | | | X | X | | MEHRAN AKHAVAN | X | | | | | X | | | n/a |
| 11 | SD | 905 | 93160 | | | | | | X | RANDY SANCHEZ | | | | X | X | | | | |
| 7 | LA | 27 | 207401 | 12/23/2002 | | | | X | | SYED HUQ | | | X | | | | X | | n/a |
| 4 | ALA | 80 | 292261 | 12/19/2002 | | | X | | | RAYMOND PANG | | | X | | | | X | | n/a |
| 7 | LA | 47 | 194901 | | X | 38 | | | | SHARAS | | | X | | | | | | n/a |
| 4 | ALA | 580 | 143541 | 12/19/2002 | | | X | | | NITA LOGAN | | | | | X | | X | | |
| 4 | MRN | 101 | 293700 | | | | | | X | SAAID | | | X | | | | X | | n/a |
| 6 | TUL | 99 | 388201 | | X | -18 | | | X | PHILLIP SANCHEZ | X | | | | | X | | | |
| 12 | ORA | 405 | 0A7600 | | X | 3 | | | X | VINH PHAM | X | | | | | | | X | |
| 4 | ALA | 880 | 233221 | | | | | | X | EMILY LANDIN-LOWE | X | | X | | | | | X | |
| 4 | CC | 80 | 1S8001 | | X | 123 | | | | LAWRENCE JONES | | | X | | | | X | | n/a |
| 10 | SJ | 205 | 470801 | | X | | | X | | DAVE MENDOZA | | | X | | | | X | | n/a |
| 10 | SJ | 120 | 0A7401 | | X | 36 | | | | DAVE MENDOZA | | | X | | | | | X | n/a |
| 3 | YOL | 16 | 2A050K | 12/23/2002 | | | | | | DAPO OKUPE | | | X | | | | X | | n/a |
| 4 | ALA | 880 | 248100 | | | | X | | | JERRY MA | | | X | | | | | | n/a |
| 4 | ALA | 580 | 162001 | 6/28/2002 | | | X | | | PATRICK PANG | | | X | | | | X | | n/a |
| 9 | INY | 395 | 214800 | 7/3/2002 | | | X | | | TIM SHULTZ | | X | | | | X | | | |
| 9 | MNO | 395 | 269900 | 7/3/2002 | | | X | | | TIM SHULTZ | X | | | | | X | | | |
| 7 | VEN | 150 | 223300 | 6/28/2002 | | | X | | | MUMBIE FREDSON- | | | X | | | | X | | n/a |
| 8 | SBD | 40 | 478201 | 8/5/2002 | X | -27 | | | | HIASAM YAHYA | | | X | | | | X | | n/a |
| 9 | INY | 395 | 214400 | 11/26/2002 | | | X | X | | TIM SCHULTZ | | X | | | | X | | | |
| 4 | SM | 84 | 1S2711 | 11/12/2002 | | | | X | | JOHN HEMIUP | | | X | | | X | | | n/a |
| 5 | SLO | 1 | 0F4401 | 11/12/2002 | | | | | X | STEVE DIGRAZIA | | | X | | | X | | | n/a |
| 12 | ORA | 22 | 0C810K | 12/23/2002 | | | X | | | SANDY | | | X | | | | X | | n/a |
| 7 | LA | 101 | 207601 | | | | | | | | | | X | | | | | | n/a |
| 2 | SHA | 299 | 36070K | | | | | | | | | | X | | | | | | n/a |
| 2 | TEH | 5 | 37560K | | | | | | | | | | X | | | | | | n/a |

# *PROJECT MANAGEMENT DIRECTIVE*

| | | | | |
|---|---|---|---|---|
| Title: | **Project Change Requests** | | Number: | **PMD 006** |
| Reference: | D-07 | Project Delivery | | |
| | D-16 | Program Management | | |
| | DD-34 | Program/Project Management for Capital Outlay | | |
| | PMD001 | Project Management Definitions | | |
| | PMD002 | Project Identification | | |
| | PMD 004 | Capital Project Delivery Plan | | |
| Supersedes: | Project Scope, Cost, and Schedule Management Procedure memoranda dated October 15, 1992 and May 15, 1992. | | Effective Date: | 9/15/00 |

## I. POLICY

Caltrans delivers quality projects that are timely, cost effective and meet the customers needs. Any significant changes to a programmed project's (STIP, SHOPP, TCRP) or special program project's (Toll, Seismic, Retrofit Soundwall) scope, cost or schedule require a revision to the delivery commitment. Changes will only be made when justified as absolutely necessary.

## II. OBJECTIVES

The Department's minimum objectives for project delivery are to:

- Deliver more than 90% of the total number of current year programmed projects.
- Deliver more than 100% of the current year programmed dollars. This is accomplished by advancing delivery of future year programmed projects to offset any current year project that is not delivered.
- Deliver 100% of the total number and programmed dollars of current year special program projects.
- Deliver projects for no more than the programmed amounts.
- Deliver projects that meet the projects stated purpose and need.

## III. BACKGROUND

The project change request (PCR) process documents a management decision to request a change to a delivery commitment for a project. This directive addresses two changes since the 1992 PCR process was initiated:

- The transfer of approval authority for Regional Improvement Projects to the Regional Transportation Planning Agencies (RTPAs).
- The need to manage programmed Capital Outlay Support costs in the STIP programming document.

## IV. BUSINESS RULES

A project change request is the decision making document that Caltrans management at both the District and Corporate level uses to make a decision to either recommend approval, deny or to reevaluate a project prior to processing a STIP or SHOPP amendment to make a programming change or to revise a delivery plan for a Special Program. Decisions affecting project delivery goals shall be well documented and every feasible alternative shall be considered. Input is required from the Regional Transportation Planning Agency (RTPA) or a local county commission for STIP RIP project change requests.

A project change request is required to initiate the process to amend a programming document for any of the conditions listed on the following pages. If these conditions apply to only a part of a project, see "splits and combines". The project change requests involves decisions and processing at the following levels:

District:

- Prepares district (District decision) and corporate (corporate decision) project change requests.
- Identifies cost savings to cover cost increases.
- Makes a decision on district level project change requests.
- Submits district approved project change requests for programmed projects to Transportation Programming and Project Management Programs.
- Submits corporate project change requests to the Project Management Program in corporate.
- Initiates STIP and SHOPP program amendments for approved project change requests.

Corporate:

- Makes a decision on corporate level project change requests.
- Submits corporate approved project change requests for programmed projects to Transportation Programming and Project Management Programs.
- Submits corporate approved project change requests for special programs to Project Management for processing a change to the delivery plan.
- Updates corporate information systems.
- Processes District / RTPA requests for STIP and SHOPP program amendments.

RTPA:

- Recommends approval of STIP - RIP project change requests.
- Makes RTIP changes, FTIP changes.
- Initiates STIP - RIP program amendments for approved project change requests.

A programming amendment is not approved until the CTC (for STIP projects), or the Transportation Programming Program (for SHOPP) projects have taken formal action.

SHOPP Project Changes:

| PCR Type (6) | SHOPP Cost, Scope and Schedule Project Changes<br>(#) see notes below | Management Decision Delegation | | | | | |
|---|---|---|---|---|---|---|---|
| | | Cost (Millions) | District Director | Program Manager Project Management | Program Manager Transportation Programming | Deputy Director Project Development | Deputy Director Finance |
| D | Cost Savings for any programmed project. (1,2,3) | | X | | | | |
| | Changes to a Budget (Current) Year Project | | | | | | |
| A | • Scope change < 20% of the project limits. | | X | | | | |
| M | • Scope change ≥ 20% of the project limits or a change in the project design strategy. | | | X | X | | |
| M | • Schedule delay outside the programmed year. | | | | | X | X |
| M | • Cost Increase < 20% and District's cumulative sum of cost changes remains less than 103% of their SHOPP delivery for that year. (1,3,4) | | X | | | | |
| M | • Cost Increase < 20% and District's cumulative sum of cost changes exceeds 103% of their SHOPP delivery for that year. (1,3,4) | | | X | X | | |
| M | • Cost Increase ≥ 20% (1,3) | < $5 | | X | X | | |
| | | ≥ $5 | | | | X | X |
| | Changes to Future Year Projects | | | | | | |
| M | • Cost Increase (1,5) | | X | | | | |
| M | • Scope change (5) | | X | | | | |
| M | • Delay outside programmed delivery year. (5) | | X | | | | |

SHOPP Notes:

(1) SHOPP cost changes apply to the combined programmed total of Construction and Right of Way capital.
(2) SHOPP cost savings during a budget year between the programmed amount and the allocation of funds are controlled and managed by the Transportation Programming Program.
(3) Any cost increase to the programmed construction capital in a budget year will be processed at the time a request for funds (for CTC allocation) is made. A formal amendment is not needed in this case. However, a management decision is required as outlined in this policy, and a PCR should be submitted as soon as possible so that the decision can be made prior to completion of the PS&E.
(4) Cumulative sum of cost changes applies to all SHOPP program allocations to be made in a fiscal year including amendments, unpars and advancements.
(5) Changes for future year projects must be reported (due to corporate in September) for inclusion into the next SHOPP (or midcycle) prior to adoption of a new programming document by the CTC.
(6) M - Mandatory, A - Advisory, D-Discretionary project change requests. See discussion on page 6.

STIP Project Changes (Includes TCRP - conditions similar to IIP)

| PCR Type (9) | STIP Cost, Scope and Schedule Project Changes (#) see notes below | Management Decision Delegation | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Programmed Cost (Millions) | District Director | Program Manager Project Management | Program Manager Transportation Programming | Deputy Director Project Development | Deputy Director Finance | RTPA - RIP (7) |
| D | Cost Savings (PJD, RW, or Con) for any programmed project. (1,2,3,4,5,7,8) | | X | | | | | X |
| M | Time extension or a schedule delay outside a programmed year. (6,7) | ≤ $2 | X | | | | | X |
| | | $2 - $15 | | X | X | | | X |
| | | ≥ $15 | | | | X | X | X |
| A | Scope change (7) | ≤ $10 | X | | | | | X |
| | | $10 - $25 | | X | X | | | X |
| | | ≥ $25 | | | | X | X | X |
| RW-D | IIP Funded - Cost Increase < 20% | Inc < $0.3 | X | | | | | |
| Con-M | (RW or Con) (1,2,3,4,5,7) | Inc ≥ $0.3 | | X | X | | | X |
| RW-D | RIP Funded - Cost Increase < 20% | | X | | | | | X |
| Con-M | (RW or Con) (1,2,3,4,5,7) | | | | | | | |
| M | Cost Increase ≥ 20% for a Budget (Current) Year (Con) (1,3,4,5,7) | Inc < $2 | | X | X | | | X |
| | | Inc ≥ $2 | | | | X | X | X |
| M | RIP Funded - Cost Increase ≥ 20% for a Future Year (PJD, RW, or Con) (13,4,7) | | X | | | | | X |
| M | IIP Funded - Cost Increase ≥ 20% for a Future Year (PJD, RW, or Con) (1,3,4,7) | Inc < $2 | | X | X | | | X |
| | | Inc ≥ $2 | | | | X | X | |

STIP Notes:

(1) STIP cost changes apply to the combined programmed totals of PAED and PS&E for "PJD", RW capital and support for "RW", and Construction capital and support for "Con".
(2) PJD changes are not allowed between 80-120% of the programmed PJD costs unless there is a scope change.
(3) RW changes are allowed up until the time that construction occurs in a Budget (Current) year. R/W changes are made during the development of the annual right of way plan.
(4) Once a programmed PJD component (PAED or PS&E) is part of a Budget (Current) year, that component cannot be changed. A PS&E component can be changed in a future year except under note 2.
(5) The construction components in a budget year can be changed at the time a request for funds (for CTC allocation) is made. A formal programming amendment is not needed in this case. However, if a management decision is required as outlined in this policy, a PCR should be submitted as soon as possible so that a decision can be made prior to completion of the PS&E.
(6) There are "use it or lose it" provisions applicable to delivery of STIP projects. Any STIP project that cannot be voted by the CTC during the delivery year must be given an allocation extension prior to the end of the programmed year. A project may be given a one-time extension of up to twenty months. The project must then be delivered before the time extension expires, or the funds will be deprogrammed. Deprogrammed funds will be made available to the County or the ITIP at the next STIP programming cycle.
(7) All STIP project change requests must be discussed with the RTPA or local county commission. They must agree to any RIP programming changes.
(8) IIP cost savings during a budget year between the programmed amount and the allocation of funds are reported by the CTC and the funds are controlled and managed by Transportation Programming.
(9) M - Mandatory, A - Advisory, D-Discretionary project change requests. See discussion on page 6.

A project change request is required to amend the delivery plan for any Special Program project or to split or combine a project as outlined below:

## Project Splits and Combines

| PCR Type (2) | Project Splits and Combines (excludes Minor projects) (#) see notes below | Management Decision Delegation | | | |
|---|---|---|---|---|---|
| | | Total Capital (R/w & Con) Cost of all projects (Millions) | District Director | Program Manager Project Management | Deputy Director Project Development |
| M | When one or more project(s) is to be split or combined the scope and costs of the resulting projects will be reviewed. (1) | < $5 | X | | |
| | | $5- $25 | | X | |
| | | > $25 | | | X |

Splits and Combines Notes:
(1) Project change requests are required for programmed project and special program project splits and combines.
(2) M - Mandatory, A - Advisory, D-Discretionary project change requests. See discussion on page 6.
(3) Any portion of a split project that results in a change condition such as a cost change or a fiscal year delivery change must also have a management decision made on the change as outlined within this policy.

## Special Program Project Changes

| PCR Type (3) | Special Programs Project (Seismic, and Retrofit Soundwalls) Cost, Scope and Schedule Changes (#) see notes below | | Management Decision Delegation | | | | |
|---|---|---|---|---|---|---|---|
| | | | District Director | Program Manager Project Management | Program Manager Transportation Programming | Deputy Director Project Development | Deputy Director Finance |
| D | Cost Savings (1,2) | | X | | | | |
| M | Cost Increase < 20% and program savings are available. (Capital or Support) (1,2) | | | X | X | | |
| M | Cost Increase ≥ 20% or when program savings not available. (Capital or Support) (1,2) | | | | | X | X |
| A | Scope change < 20% of the project limits. | | X | | | | |
| A | Scope change ≥ 20% of the project limits or a change in the project design strategy. | | | X | X | | |
| M | Delay outside delivery plan year | < $10 | | X | X | | |
| | | ≥ $10 | | | | X | X |

Special Program Notes:
(1) Costs changes apply to either capital or support costs.
(2) Support cost is determined from expenditures to date combined with the amount of resources needed to complete the project in a workplan.
(3) M - Mandatory, A - Advisory, D-Discretionary project change requests. See discussion on page 6.

Toll Bridge Program Project Changes

| PCR Type (3) | Toll Bridge Program Project<br>Cost, Scope and Schedule Changes<br>(#) see notes below | | Management Decision Delegation | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | District Director | Program Manager Transportation Programming | Program Manager Project Management | Deputy Director Project Development | Deputy Director Finance | Toll Authority (Toll Projects) |
| D | Cost Savings (1,2) | | X | | | | | |
| M | Cost Increase < 20% and program savings are available. (Capital or Support) (1,2) | | | X | X | | | |
| M | Cost Increase ≥ 20% or when program savings are not available. (Capital or Support) (1,2) | | | | | X | X | X |
| A | Scope change < 20% of the project limits. | | X | | | | | |
| A | Scope change ≥ 20% of the project limits or a change in the project design strategy. | | | X | X | | | |
| M | Delay outside delivery plan year | < $10 | | X | X | | | |
| | | ≥ $10 | | | | X | X | |

Special Program Notes:
(1) Costs changes apply to either capital or support costs.
(2) Support cost is determined from expenditures to date combined with the amount of resources needed to complete the project in a workplan.
(3) M - Mandatory, A - Advisory, D-Discretionary project change requests. See discussion on page 6.

There are certain times when a project change request is "mandatory" to secure a project approval, "advised" to reach a project decision, or "discretionary" to provide flexibility for project costs. A mandatory (type "M") [as indicated in the left column on the previous charts] condition indicates a project change request is required. This occurs when a special CTC approval is required or to update programming information in a new programming document. An advisory (type "A") condition occurs when a management decision is needed in order to proceed with the project. This could involve increased costs or a scope change. A discretionary (type "D") condition does not require a project change request. It may be advantageous, however to prepare a project change request for an identified cost savings to be used to fund another project.

Corporate project change requests are to be submitted to the Project Management Program in corporate. The Project Management Program will schedule programming change delivery meetings approximately five weeks before each CTC meeting. Project change requests will be due to Project Management one week prior to the delivery meeting or six weeks prior to the CTC meeting. The purpose of the delivery meetings is to discuss and assess the merits of project change requests. The project change request must have all of the required District approvals, reviews by the appropriate program advisors, and the approval of the District Design Coordinator before the project change request will be considered.

These business rules also apply to jointly funded projects (i.e. locally funded, tax measure, or funding contribution only projects) when a change is considered to the programmed STIP, SHOPP, or Special Program funded portion of a jointly funded project.

## V. RESPONSIBILITIES

California Transportation Commission: Approves SHOPP and adopts IIP funded capital projects for programming in State programming documents. Incorporates and adopts RIP funded projects from RTIP into STIP programming document. Makes project allocations for construction and an annual right of way program allocation for capital funds for all STIP and SHOPP projects. Has approval authority to take action on proposed amendments for STIP programming changes.

Deputy Directors for Project Development and Finance: Based on project change requests submitted at the Deputy Director level, decides whether to support submittal of a programming amendment and recommends, denies, or instructs the District to revise its proposal.

Program Manager's for Project Management and Transportation Programming: Based on project change requests submitted at the Program Manager's level, decides whether to support submittal of a programming amendment and recommends, denies, or instructs the District to revise its proposal.

District Director: Based on project change requests submitted at the District level, decides whether to support submittal of a programming amendment and recommends, denies, or instructs the Project Manager to revise his or her proposal.

Regional Agency: Approves RIP funded capital projects for programming in Regional programming documents. Initiates actions for STIP-RIP amendments. Agrees to proposed programming changes for any STIP-RIP projects.

Project Management Program: Processes management reviews and the decision making process for all corporate Project change requests. Measures project delivery performance.

Transportation Programming: Processes changes to programming documents for all approved project change requests. Processes project amendments, deletions, and supplemental votes. CTC liaison on issues concerning changes to programmed projects.

Corporate Program Advisor's: Reviews and agree to proposed project change requests to verify project is cost effective and remains a priority for program funds. In any instance where the program advisor has not agreed to a project change, the issue may be elevated to the program manager level for resolution.

District Division Chiefs of Program / Project Management: Identifies cost savings from other projects or future programming to fund any cost increase. Processes district management reviews and the district's decision making process for all project change requests.

Design and Local Programs District Coordinators: District design coordinators are to assess and evaluate all proposed changes to cost, scope and schedule and are to comment on whetheher the proposed changes should be recommended for approval.

Project Managers:. Limits change to programmed projects. Documents need for changes by providing complete and accurate information when preparing and submitting project change requests. Continually monitor's the progress of their projects. As changes occur, submits a project change request in a timely manner. Initiates STIP and SHOPP program amendments.

## VI. DEFINITIONS AND OTHER CONSIDERATIONS

PMD 004 "Delivery Plans" gives instructions for splits and combines of capital projects.

Careful planning and sequencing of projects should be an integral part of determining what projects should be programmed and planned for delivery. Every effort should be made to minimize the number of conflicts between projects in an effort to minimize the number of splits and combines needed.

Budget (Current) Year: The term budget year is synonymous with the current fiscal year. We are measured for delivery of a fiscal budget between July 1 and June 30 of the current year.

Statewide Cost Savings: Savings that occur during a budget year for SHOPP and IIP projects are controlled and managed by the Transportation Programming Program. These savings may be made available to a District at the discretion of the CTC and the SHOPP Program Manager based on identified savings, statewide priorities and an equitable distribution back to the Districts. For cost increases on future year projects or whenever statewide savings are not available, the District will need to identify funds within available program funding capacity to cover any cost increase.

SHOPP Programming Cost Changes: All SHOPP cost changes (except those handled by a G-12) directly impacts the future funding capacity for the entire SHOPP program. Future programming funds are sometimes used to cover cost increases. This results in less money to do new projects, and may require delaying some programmed projects to meet fiscal year programming funding levels.

STIP Programming Cost Changes: All STIP cost changes (except those handled by a G-12) directly impact county shares and future funding capacity for either the Region (RIP funded) or the State (IIP funded). Right of Way, Project Development and Construction costs must be considered separately for STIP projects.

STIP Programming Final Costs: There are certain instances when expenditures for RW and PJD programmed components may be adjusted against a County's RIP program county share balance and the IIP balance. When the total of all PJD (PAED and PS&E combined) and RW (Capital and support) expenditures exceed 120% of the programmed amount, an adjustment will be made to the county RIP share balance or IIP balance. PJD costs are reported to the CTC at the time a project allocation is requested for construction. RW costs are reported to the CTC in the annual R/W plan and are the RW costs at the time a project is certified for Right of Way. For Construction (capital and support) there will only be an adjustment made whenever there is a supplemental funds vote.

Scope Changes: A project's "purpose and need" as identified in a scoping document sets the parameters for measuring a project's scope. A scope change occurs whenever there is a deviation from the original project scope by either adding to / deleting from the original project limits, or by changing the original design strategy. Examples of limit changes include a change in postmile (kilometer) limits or the number of locations to be worked on. Examples of design strategy changes include replacing a rehabilitation project with a "Cap-M" project or bridge replacement in lieu of bridge rehabilitation.

G-12 Authority: (CTC Delegation of Authority to Adjust Project Allocations): During the time between a project's initial vote allocation up until the time a project is completed (contract acceptance), any cost increase will be handled administratively if within the G-12 authority limits. Any costs exceeding the G-12 limit will require a supplemental funds vote by the CTC. Funding for G-12 changes will come from program savings, therefore the District will not be required to identify a funding source. Any cost savings identified after the initial vote allocation is not made available. These savings revert back to the program.

Supplemental Funds: Requests for a CTC vote for supplemental funds beyond the G-12 funding limits must be submitted by the District directly to the Deputy Directors for Project Development and Finance, with copies to the Corporate Program Managers for Project Management, Construction, Design and Local Programs, Transportation Programming and Budgets. The request should be submitted at least two weeks prior to the 'request for funds' due date to Budgets for CTC processing.

Ready To List: To qualify a project as "ready to list", the project must have all clearances and approvals necessary to advertise a project. This includes having all permits, agreements, appropriate right of way certification and FTIP approval. If new requirements are identified during processing, the project may be delayed, putting delivery at risk while issues are resolved.

Schedule Changes: The Department's programming documents establish a fiscal year commitment (SHOPP – "PROG YEAR"; STIP-"CON YEAR") for delivery of individual projects. Planned delivery of a project that is scheduled beyond the programmed year commitment requires a programming change. Approved schedule changes to change the fiscal year of delivery will result in a STIP or SHOPP amendment that updates the programmed year. A project must be "ready to list" to measure completion of this delivery commitment. Projects delivered early (prior to a programmed year) do not result in a schedule change, and are counted as advanced delivery.

Deletions (Unpar): Requests to delete projects from programming documents are to be submitted to Transportation Programming. SHOPP projects are deleted when a request to delete a project is approved in a memorandum signed by the Program Manager for the Transportation Programming Program. STIP projects are deleted by a CTC action on a STIP amendment requesting a project be deleted from the STIP. RTPA's must agree to a request to process an amendment to delete a STIP RIP project. STIP support expenditures for any project deleted will be finalized in accordance with STIP guidelines.

Updating Programming Documents: The adoption of new programming documents, including any approved technical amendments establishes a new delivery baseline. The SHOPP is normally updated in January of each year. The STIP is normally updated in April of each even year with a technical adjustment made around April of each odd year.

In instances when a change is needed for a project that is programmed for delivery in the next fiscal year, the Project Manager needs to process a project change request for approval prior to the current year's SHOPP or STIP update. That means that a programming change request needs to be submitted and approved by Corporate before December (SHOPP) or February (STIP-IIP) for processing. Once the documents are finalized and updated, individual projects are committed to delivery.

As delivery progresses in the current year being measured, delivery of some projects may be subject to delay due to an unforeseen issue. As these delays occur, the Project Manager needs to consider if the project is deliverable in the following fiscal year. In instances when a project cannot be delivered in either the current year or following year, the Project Manager needs to process a project change request for approval prior to the current year's SHOPP or STIP update. If this is not done, the project will be reported as a delivery failure in both the current year and the following year.

## VI. APPLICABILITY

District Division Chiefs for Program / Project Management, Project Managers, project management support staff and employees in the Corporate Project Management and Transportation Programming Programs. In addition, all other employees who work on delivering capital projects.

JOHN A. BODA
Program Manager
Project Management

## ATTACHMENTS

| | |
|---|---|
| Attachment 1 | Project Change Request – Cover Sheet |
| Attachment A | Project Cost Change – (can also use for supplemental funds requests) |
| Attachment B | Project Schedule Change |
| Attachment C | Project Scope Change |
| Attachment D | Project Split and Combine Change |
| Attachment 2 | SHOPP Project Funding Sheet |
| Attachment 3 | STIP Project Funding Sheet |
| Attachment 4 | Process Flow Chart |

# *PROJECT MANAGEMENT DIRECTIVE*

| | | | |
|---|---|---|---|
| Title: | **Project Management Roles** | Number: | **PMD 003R** |
| Reference: | DD-34 Program/Project Management for Capital Outlay | | |
| | PMD001 Project Management Definitions | | |
| Supersedes: | PMD 003 Project Management Roles | Effective Date: | 05/01/02 |

## I. POLICY

When Caltrans refers to Capital project management roles, they have the same meaning throughout the Department.

## II. BACKGROUND AND DEFINITIONS

This revision updates PMD003 to clarify the roles of sponsors, functional managers and task managers in the development of charters and workplans. It also adds and clarifies roles in the use of brokering and consultants, and expands on the role of Deputy District Directors for Program and Project Management.

This directive uses the definitions contained in Project Management Directive 001, "Project Management Definitions".

## III. ROLES AND RESPONSIBILITIES

Project Sponsors:

- Identify and prioritize projects for which they are the sponsor.
- Provide information on the project and work toward agreement on the charter and workplan.
- Serve as advocates for their projects. This includes advocating for funding from the various funding programs (STIP, SHOPP, Minor, CMAQ, Toll, Sales Tax, etc.)
- Arrange funding for projects. For external sponsors, this includes working with the California Transportation Commission to arrange funding for STIP projects.
- Establish performance measures for measuring the quality of capital improvements.

Deputy District Directors for Program and Project Management have overall responsibility for the management of the capital program in their districts or regions. They:

- Manage delivery of the District's portfolio of State highway projects.
- Ensure that their district meets the programmed project delivery performance measures.
- Identify delivery trends and take corrective action to improve delivery.

- Work with RTPAs concerning changes to externally sponsored projects.
- Manage capital outlay support resources.
- Make decisions on how to apply resources, using staff, overtime and consultants.
- Maintain staffing / supervisor / manager ratios.
- Manage their District project management plan.
- Make decisions on which projects to implement, tools to be used in managing projects, and business processes to be implemented for effective project management.
- Work with other managers to establish priorities and manage production of project delivery.
- Ensure that procedures and business processes are in place to meet delivery objectives.
- Direct the Project Managers and the project management support unit, and the consultant services unit.
- Assign workload and resources to Project Managers.
- Provide Project Managers with training and direction in the use of resources.
- Set priorities between competing resource demands.

Functional Deputy District Directors and Deputy Division Chiefs in the Division of Engineering Services are responsible for entire functional areas in a District or Region. They manage functional managers and report directly to District Directors, Chief Deputy District Directors or the Chief of the Division of Engineering Services. Their project management responsibilities are:

- To facilitate interaction between Project Managers and Functional Managers.
- To provide Functional Managers with training and direction in the use of resources.

Project Managers have full authority, delegated from the District Division Chief for Program and Project Management, to produce the results that were intended, meet schedules, stay within budget and keep the sponsors and customers satisfied.[1] The Project Manager retains these responsibilities over the entire life of the project, and is the primary point of contact for the project sponsor. Project Managers:

*Initiate.*

- Identify the needs and expectations of the project sponsors.

*Plan.*

- Lead the project team in the development of a project management plan that defines the *project* scope, schedule, cost, resource needs, risk and communication needs.
- Ensure that the project management plan includes all the work required, and only the work required to produce the product.

*Control.*

- Monitor project performance and take corrective action if necessary.

[1] Linn C. Stuckenbruck, *The Implementation of Project Management*, Project Management Institute, 1995, page 28.

- Communicate sensitive issues and project progress to district management, the sponsors and the project team.
- Provide input into the performance evaluation of project team members and recommend changes to the project team membership when necessary.
- Are the single point of contact for the project on matters involving overall *project* scope, cost or schedule.
- Resolve problems that affect *project* scope, cost or schedule.
- Control change to the *project* scope, cost or schedule throughout the project life-cycle, including construction.
- Manage the interface between task managers, ensuring that they know who will receive and use their products.
- Coordinate the efforts of the overall team, including the Division of Engineering Services.
- Chair project team meetings.
- Control the project budget (both support and capital).

*Close.*

- Are responsible for timely project completion.
- Are responsible for ensuring that the *final product* meets the needs of the project customers.
- Discuss final product with sponsors to gauge their level of satisfaction.
- Prepare a final report on the project, with recommendations for improvement.
- Provide feedback to the team on lessons learned.

Functional Managers are responsible for ensuring that the assigned staff have the necessary skills and that *products* comply with all applicable standards, regulations and policies. Functional Managers are involved in only a portion of the project lifecycle. They ensure that *intermediate products* meet the needs of internal customers. Project team members produce intermediate products for use by other team members. Intermediate products include reports, environmental documents, plans, specifications, estimates, appraisal reports, title deeds, permits, bid documents, as-built plans, etc. Functional Managers:

*Plan.*

- Assign project team members when requested by the Project Manager or task manager.
- Assign an equitable workload to individual employees when preparing or reviewing project resource estimates.

*Execute.*

- Direct project team members in the delivery of products within the timeframe agreed in the project management plan.
- Develop qualified staff.

- Empower staff to do their jobs with the minimum supervision that is consistent with the individual's capability.
- Provide technical and procedural direction to staff performing the work.
- Approve staff and other project expenditures.
- Ensure that there are adequate quality control and quality assurance processes in place for their products.

*Control.*

- Monitor and provide feedback to staff working on particular work packages.

*Close.*

- Ensure that *products* have the required features.

Task Managers are responsible for producing particular elements of the project Work Breakdown Structure. They are delegated the responsibilities of both the Project Manager and the functional manager for those elements. Task Managers are responsible to the Project Manager for producing work packages on time and within budget and to the Functional Manager for ensuring that work packages meet all applicable standards, regulations and policies. Task managers must know their internal project customers and ensure that their products meet those customers' needs.

If the WBS elements are produced entirely by one functional unit, the functional manager appoints the task manager. Functional managers may appoint themselves as task managers. If the WBS elements are shared among several functional units, the lowest level supervisor or manager who manages all those functional units appoints the task manager.

Task Managers:

*Plan.*

- Participate in the development of the project management plan.
- Provide expert knowledge and analysis in preparation of project scope, schedule and resource estimates.
- Commit to delivery of their portion of the project workplan.

*Execute.*

- Lead project team members in the delivery of products within the timeframe agreed in the project management plan.
- Provide activity status information to the Project Manager. ("Start date", "remaining duration", "finish date", "percent complete" and "hours at completion")
- Coordinate with other functional areas on planned work packages.
- Communicate sensitive project problems, issues, conflicts, or changes to the Project Manager and the functional manager.
- Resolve technical problems, issues, or conflicts raised by staff so that the overall project scope, cost, schedule, and product quality are not compromised.

- Provide feedback to staff, functional managers and the Project Manager on lessons learned.
- Provide early identification to the Project Manager of issues that might impact the budgeted and scheduled delivery.

Functional Coordinators are Task Managers who are responsible for WBS elements that are shared among several functional units and who are assigned full-time to task management duties.

Project Team members are responsible for delivering timely and cost effective products with the quality promised. They:

*Plan.*

- Provide input into the development of the project management plan.

*Execute.*

- Deliver products within the timeframe agreed in the project management plan.
- Work together in a team environment.
- Monitor work package production and progress.

*Control.*

- Communicate sensitive issues and project progress to task managers.
- Control change to activities and products.

*Close.*

- Provide feedback to functional managers on how work can be done more effectively and efficiently.

## IV. APPLICABILITY

All employees who work on capital projects.

Mickey Horn

MICKEY W. HORN
Acting Chief
Division of Project Management