SMART SCALE Project
Change Guide

August 30, 2019
Version 2.0
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Introduction

The SMART SCALE Project Prioritization Process (SMART SCALE) informs project selection by comparing a project’s benefits to the project’s costs. The benefit/cost comparison, as required by state law, results in a project score that is compared to other projects by District and Statewide, supporting transparency in the selection process.

A project’s benefits are assessed based on scope elements described in a project’s SMART SCALE application. Project scope elements are analyzed on the potential to provide benefits in the following factor areas: Congestion, Safety, Accessibility, Economic Development, and Environmental; a sixth factor, Land Use, is also considered in select areas of the Commonwealth. A project’s costs should be based on a collaborative planning and validation process between localities, regional planning partners, transit agencies, and the state; and should reflect the requirements for implementing the project.

Project Scope

Per the SMART SCALE Technical Guide, “at a minimum, a scope should define the limits of the project, its physical and operational characteristics, and physical and/or operational footprint.”

Each SMART SCALE application defines the scope of a project through several key inputs; specifically, the short project description, the detailed project description, the project location map, the project features, and required supporting documentation (i.e., project sketch and detailed cost estimate). The project’s benefits are calculated based on the inputs as defined by the applicant in their submitted and validated SMART SCALE application.

Project Cost/Budget

The project cost encompasses the total costs for all phases of project development and delivery, including, but not limited to, Preliminary Engineering, Right of Way/Utilities, and Construction for highway, bicycle/pedestrian, and TDM projects and other development and/or procurement phases for public transportation projects.

The project’s SMART SCALE budget is the portion of the total cost funded with District Grant and/or High Priority program funds.

Purpose

For any project selected for funding through SMART SCALE, it is expected that a project’s SMART SCALE benefit/cost score be maintained throughout the project development process. However, project scope and budget changes do occur and, in some cases, are unavoidable. As such, this guidance supports the SMART SCALE Technical Guide and assists applicants, OIPI, VDOT, and DRPT by outlining the policies and procedures relating to SMART SCALE project changes. It applies to all SMART SCALE projects regardless of project administration.

This guidance is structured linearly, providing insight into project change triggers, roles and responsibilities, processes, and outcomes. The information provided is not intended to limit flexibility in project design or discourage logical design refinements, but rather provide insight into assessing project changes that may affect a project’s benefits or budget and to document results of these assessments.
Project Change Triggers

Project changes are framed as increases or decreases that affect the project’s scope, budget, or both.

Scope

**Increase** – The addition of any element or feature of a project not included in the SMART SCALE application at the time of project selection OR the revision of any element or feature from how it is described in the application at the time of project selection.

**Decrease** – The removal of any element or feature of a project included in the SMART SCALE application at the time of project selection OR the revision of any element or feature from how it is described in the application at the time of project selection.

Budget

**Increase** – An increase in the SMART SCALE budget in comparison to the SMART SCALE budget at the time the project was approved in the Six Year Improvement Program (SYIP).

**Decrease** – A decrease in the SMART SCALE budget in comparison to the SMART SCALE budget at the time the project was approved in the Six Year Improvement Program (SYIP).

During project development if a project experiences any of the above changes, District and DRPT points of contact, as designated, are expected and encouraged to reach out to members of the SMART SCALE Working Group (SSWG) to determine the significance of the identified change. Prior to consulting the SSWG, please review the following project change considerations:

Scope Changes

- If a proposed project change would result in a scope modification, then the scope may not be modified in such a manner that the proposed improvements no longer accomplish significantly the same benefits as the original scope.
- If a proposed project change would result in a scope modification, then the scope may not be modified in such a manner that the proposed improvements no longer address the VTrans need identified in the original project application.
- If a proposed project change would result in the addition of significant project features not originally included in the SMART SCALE application and the scope increase does not negatively affect a project’s benefits, then the applicant is responsible for any additional costs related to the additional scope elements.
- If a proposed project change is requested, then the change should be requested prior to the completion of final design (design acceptance signature).
Budget Changes

- If a proposed project change would result in a budget increase that the applicant plans to cover with non-SMART SCALE funding, then the applicant should submit documentation in the form of a letter or email to VDOT’s Infrastructure Investment Director verifying the additional funding commitment. Any applicable project administration agreements must be updated to reflect the additional funding commitment in order to update the SYIP prior to authorization of any subsequent project phases. Delays in updating this information could result in project delays and/or cost increases due to delay for which the applicant is responsible.

- If a proposed project change would result in a budget increase in which additional SMART SCALE funding is requested, additional funding may be awarded subject to the following conditions:
  - Budget increase is within allowable administrative thresholds (pg. 45 SMART SCALE Technical Guide) AND surplus funding is available based on project type and eligibility in the applicable District Grant or High Priority Projects program balance entries in the SYIP.
  - Budget increase is above allowable administrative thresholds AND CTB action has occurred approving the additional funding AND surplus funding is available based on project type and eligibility in the applicable District Grant or High Priority Projects program balance entries in the SYIP.
  - If no eligible surplus funds are available at the time of budget change, the CTB may elect to use subsequent round allocations to fund a project’s cost to complete.

- If a proposed project change would result in a budget decrease, then the surplus funds may not be used to add scope to the project. These funds will remain allocated to the project until award of the Construction (or equivalent phase) contract at which time they will be transferred to the applicable District or Statewide balance entry. Such funds will be reserved to address budget increases on other existing SMART SCALE projects or reserved for allocation in subsequent rounds of SMART SCALE.

Appendix A of this document includes a summary of triggers for re-evaluation, re-scoring, and CTB action. When considering any potential project change that may affect a project’s scope or budget, it is advisable to reach out to membership of the SSWG.

Roles and Responsibilities

*Roles and Responsibilities in the Project Change Process will be reviewed, as needed, to accurately reflect current reporting structures and processes. Updated versions of this guidance will be published to reflect any changes.*

If there is potential for a project change or a change has already occurred, staff from VDOT, DRPT, and OIPI are all involved in identifying, evaluating, and resolving said project changes. These groups and their roles and responsibilities are outlined below.

**VDOT District Staff**

As the responsible party for the day-to-day oversight of project development, for projects not managed by DRPT, District staff will be the first to be aware of any potential project changes. Once aware of a potential project change, District staff are responsible for gathering information regarding the potential change, such as what prompted the change and what options
have been explored to mitigate the change. More specifically, if a project scope change is being considered District staff are responsible for providing sufficient documentation supporting the proposed change. District staff should also coordinate with appropriate parties at the District level, to ensure broader awareness. As soon as a potential project change is identified, the District point of contact is encouraged to reach out to the SSWG for an initial review. The following District staff roles should be involved in any potential project change processes:

- District Engineer (DE)
- District Project Development Engineer (DPDE)
- District Planning and Investment Manager (PIM)
- District SMART SCALE Point of Contact (POC)
- VDOT Project Manager or Locally Administered Project Coordinator

**Department of Rail and Public Transportation (DRPT)**

For public transportation and rail projects, DRPT provides day-to-day oversight of project development. DRPT Program Managers and SMART SCALE POCs will be the first to be aware of any potential project changes. As with the VDOT Districts, once aware of any potential project change, DRPT staff is responsible for gathering information and coordinating with appropriate parties. As soon as a potential project change is identified, the DRPT point of contact is encouraged to reach out to the SSWG for review. The following DRPT staff roles should be involved in any potential project change processes:

- Chief of Public Transportation or Chief of Rail Transportation
- Manager of Transit Planning and Corridor Development (DRPT POC)
- Director of Statewide Transit Programs or Director of Rail Programs
- DRPT Program Manager

**SMART SCALE Working Group**

The SMART SCALE Working Group (SSWG) is a cross-functional evaluation team with representatives from the following groups:

- Office of Intermodal Planning and Investment (OIPI)
- VDOT Transportation and Mobility Planning Division (TMPD)
- VDOT Infrastructure Investment Division (IID)
- VDOT Traffic Engineering Division (TED)
- VDOT Location and Design Division (L&D)
- VDOT Environmental Division
- DRPT

This team is tasked with the preliminary assessment, re-evaluation, and re-scoring of projects depending on the identified project change. All project changes as previously described should be submitted to the SSWG for review and documentation.

Should a project have an identified scope change; the SSWG will conduct a preliminary assessment to recommend if the scope change is a logical design refinement or if the scope change will require further re-evaluation.
Should a project have a budget change; the SSWG will conduct a preliminary assessment to recommend if the change is appropriate, if the change is within or beyond established thresholds, or if the change will require further re-evaluation.

The SSWG also has the discretion to elevate any identified project change to the Executive Working Group for additional review if deemed appropriate.

**Executive Working Group**

The Executive Working Group (EWG) is comprised of leadership from the Office of the Secretary of Transportation, VDOT, and DRPT. The EWG convenes on an as-needed basis on a variety of issues including SMART SCALE project changes.

If the EWG is unable to convene, the SSWG will request concurrence on a proposed course of action from EWG membership via email or conference call.

Any project change significant enough to require CTB review and approval will be reviewed by the EWG prior to advancing.

**Commonwealth Transportation Board**

In cases where the project change is significant, the project change may need to be approved by the CTB. The EWG may choose to take any identified project change to the CTB for review. However, the following in-place thresholds would automatically trigger CTB considerations:

**Scope** – If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects.

*Cohort of Projects - The group of funded projects within a district, regardless of funding program, by round of selection.*

**Budget** – If budget increase is above thresholds (see below) and having already exhausted all available planned contingency in the Construction phase estimate.

<table>
<thead>
<tr>
<th>Total Project Budget</th>
<th>Change from Original SMART SCALE Requested Amount</th>
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<tbody>
<tr>
<td>Less than $5,000,000</td>
<td>20% or greater increase in funding requested</td>
</tr>
<tr>
<td>From $5,000,000 to $10,000,000</td>
<td>$1,000,000 or greater increase in funding requested</td>
</tr>
<tr>
<td>Greater than $10,000,000</td>
<td>10% or greater increase in funding requested; $5,000,000 maximum increase in funding</td>
</tr>
</tbody>
</table>

The CTB is also the only decision-making body with authority to cancel a SMART SCALE project. Details regarding project cancellation are further defined below.

**Process**

**Informal Outreach**

Informal outreach is defined as preliminary correspondence between the District and the SSWG regarding potential project changes.
**Initiation** – District and/or DRPT points of contact are encouraged and expected to reach out to members of the SSWG as soon as potential project changes are identified to avoid project delays.

**Process** – If contacted with project change questions, SSWG team members will communicate such questions to the SSWG informally via email or as part of the weekly meeting agenda. In addition, depending on the nature of the identified change, the project may be added to the At-Risk matrix, which is described in more detail in the project monitoring section.

**Outcomes** – Based on a preliminary qualitative review by the SSWG, if potential project changes are determined to be a scope refinement(s), budget increases within the appropriate threshold AND project contingency is exhausted, or a budget change in which non-SMART SCALE funds are being made available to cover any increases, then District or DRPT staff will receive email correspondence from the SSWG addressing the request as resolved. If budget increases are covered by non-SMART SCALE funds, District or DRPT staff should coordinate with applicants to update applicable project agreements and provide communication from applicants confirming the funding commitment. This correspondence should be documented with the project.

If changes are deemed to potentially impact the project’s original SMART SCALE score negatively or result in a budget increase not covered by non-SMART SCALE funds, Districts or DRPT staff will be asked to complete a Project Change Form.

**Project Change Intake Form**

The project change intake form is the mechanism for making a formal request for consideration of a potential project change.

**Initiation** – District or DRPT staff will complete a Project Change Request Form through the Outside VDOT SharePoint site. Directions for how to complete the form can be found in Appendix B.

If a project change request form is being submitted, then the following parties need to be aware of the request.

<table>
<thead>
<tr>
<th>VDOT Administered Projects</th>
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<tbody>
<tr>
<td>• Project Manager</td>
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<tr>
<td>• District Project Development Engineer</td>
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<tr>
<td>• District Planning and Investment Manager</td>
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<tr>
<td>• District SMART SCALE POC</td>
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<tr>
<td>• District Engineer</td>
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<table>
<thead>
<tr>
<th>Locally-Administered Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Locality Project Manager</td>
</tr>
<tr>
<td>• VDOT Project Coordinator</td>
</tr>
<tr>
<td>• District Project Development Engineer</td>
</tr>
<tr>
<td>• District Planning and Investment Manager</td>
</tr>
<tr>
<td>• District SMART SCALE POC</td>
</tr>
<tr>
<td>• District Engineer</td>
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</tbody>
</table>
Transit or Rail Projects

- Transit Agency or Locality Project Manager
- DRPT Program Manager
- DRPT SMART SCALE POC (Manager of Transit Planning and Corridor Development)
- Chief of Public Transportation or Chief of Rail

**Process** – The SSWG will review the project change request and recommend a course of action.

**Outcomes** – The request may be pushed back to the District/DRPT to provide additional information. The request may be qualitatively re-evaluated (below) by the SSWG, or the project change request may move directly to re-scoring (below).

**Re-evaluation**

The re-evaluation process consists of a qualitative and/or quantitative assessment of scope and/or budget changes to determine if re-scoring is required.

**Initiation** – The SSWG will initiate the re-evaluation process, but re-evaluation can be requested by the Districts or DRPT. Requests must be submitted with concurrence from the VDOT District Engineer or Chief of Public Transportation/Rail (as applicable) and must include justification for the re-evaluation. SSWG will revise the workflow in the Project Change Request Form to indicate the re-evaluation status.

**Process** – The SSWG will task appropriate members to complete the qualitative and/or quantitative review based on the nature of the proposed change. The goal of the review is to determine if the project benefits will change and if that change is significant enough to warrant a re-score.

When re-evaluating a SMART SCALE project it is not necessary to review all factor areas, only those in which the project demonstrated benefit. For example, if a project scored points from only the safety factor, then it is only necessary to assess project change on safety benefits. The same planning assumptions will apply as when the project was originally scored (e.g., economic development sites).

If a proposed project change is non-compliant with a federal and/or state law, regulation, or policy independent of SMART SCALE policy, such laws, regulations, or policies may be factored into the re-evaluation process of the SSWG and may affect the resulting recommendation.

**Outcomes** – The request may be pushed back to the District or DRPT for additional information. The SSWG may offer a re-evaluation finding detailing the impact of the potential change. This finding will also include a recommended course of action. Finally, the SSWG may recommend that the project request advance to re-scoring (Ahead of this recommendation the SSWG may brief the EWG). Results of the re-evaluation will be documented on the Project Change Request Form.

**Re-score**

The re-score process will officially calculate a new benefit/SNART SCALE cost value for the project.
Initiation – Re-scores in most cases will be initiated by the SSWG, but can be requested by the Districts or DRPT. Requests must be submitted with concurrence from the VDOT District Engineer or Chief of Public Transportation/Rail (as applicable) and must include justification for the re-score provided to the SSWG. The SSWG will revise the workflow in the Project Change Request Form to indicate the re-score status.

Process – All re-scores will be completed by Central Office staff most related to the SMART SCALE factors potentially impacted by any proposed change (e.g. TPMD for congestion, TED for Safety, etc.). Upon completion, re-scores will be reviewed by the SSWG and then provided to the Districts or DRPT for review. All project re-scores where the revised score is lower than the lowest scoring project in the funded project cohort will be forwarded to the EWG.

When re-scoring a SMART SCALE project, not all factors may be reviewed, primarily just those in which the project received points during its initial evaluation. Furthermore, the same planning assumptions will apply as when the project was originally scored (e.g., economic development sites). Re-scoring will also utilize the scoring methods and policies in place from the round in which the project was originally selected. (Ex: Future vs Current Day traffic volumes depending on round).

Outcomes – Once a project has been re-scored, the EWG is responsible for approving recommendations regarding project changes. The SSWG will communicate its recommendation to both the District/DRPT staff and the EWG. The EWG may offer a re-score finding that will detail the impact of the proposed change and provide a recommended course of action. The EWG may also recommend that the project change request advance to the CTB for final decision in addition to any changes that automatically require CTB review. Results of the re-score will be documented on the Project Change Request Form.

CTB Action
Per the SMART SCALE Technical Guide, the CTB is responsible for reviewing project changes relating to requested SMART SCALE budget increases above allowable administrative thresholds and/or scope changes that reduce project benefit below the lowest ranked funded project in each District for the applicable round.

Initiation – The EWG will determine if projects need to go the CTB for review in consultation with the SSWG and the District(s)/DRPT. If the EWG is unable to convene, the SSWG will coordinate with the Director of OIPI to determine if project changes require CTB action.

Process – If the CTB needs to review a project change, the proposed change should be included as part of the next practical CTB agenda. OIPI or appropriate VDOT and/or DRPT designee will present the proposed project change. If the project is locally administered, a representative from the locality will be requested to be present to answer questions regarding the proposed project change.

Outcomes – The CTB may approve the proposed project change allowing the project to continue to proceed. The CTB may also not approve the proposed project change and recommend that the project be implemented as originally intended or cancel the project.
Cancellation

Once selected for funding, a project may only be cancelled by action of the CTB. A project may be recommended for cancellation for several reasons, including lack of public support, inability to obtain required permits, inability of the applicant to provide previously committed funds, failure of the applicant to advance the project, etc.

Initiation – For a project to be cancelled it needs to be recommended by the applicant, VDOT, or DRPT. The SSWG should also be notified of this request.

Process - If a SMART SCALE project is under consideration for cancellation, the following steps should be followed:

Step 1 – Gather documentation to justify project cancellation.
- Project Manager/Coordinator or POC will facilitate/develop justification materials.
- If locality/agency is requesting a project cancellation, then the locality/agency must provide official correspondence requesting cancellation (Board Resolution, Letter from Senior Staff, etc.).

Step 2 – Review by VDOT/DRPT Executive Management for recommendation.
- VDOT District Engineer (DE) or DRPT Chief will develop a recommendation.
- Recommendation will be submitted to VDOT Commissioner or DRPT Director for review and concurrence.

Step 3 – Review by District CTB member for recommendation/action.
- District Engineer/DRPT Chief will communicate project cancellation request and recommendation to District CTB member.
- If CTB member concurs with project cancellation, project goes to the CTB for review and approval.
  - If DGP funded and CTB member does not concur with cancellation, project continues.
  - If HPP funded and CTB member does not concur with cancellation, CTB-member’s recommendation is included in presentation to CTB.

Step 4 – Presented to CTB for review and action.
- OIPI, or designated staff from VDOT/DRPT, will present the cancellation request at the next appropriate CTB meeting for review and discussion; a formal request for the CTB to take action will be presented at the subsequent meeting.

Outcomes – Should the CTB decide to cancel a SMART SCALE project, funding from said project may be used to fund projects included in the next round of SMART SCALE or to fund increases on existing SMART SCALE projects.

District Grant funds remain within the district and may not be used in another district. High Priority Project funds will be transferred to a statewide balance entry account and may be used in the next round of SMART SCALE or to fund increases on existing SMART SCALE projects.

If the applicant initiates cancellation, any federal or state funds expended to date may be subject to repayment in accordance with the Code of Virginia.
Monitoring
Projects selected for SMART SCALE funding are regularly monitored for both scope and budget changes. If through the monitoring process a project change is identified that could potentially require review by the SSWG, EWG, or CTB; then that project may be determined to be At-Risk and may be monitored on the At-Risk matrix maintained by VDOT IID staff. Projects on the At-Risk matrix may be taken to the CTB for discussion at the discretion of Executive Staff from VDOT, OIPI, and DRPT in support of the SMART SCALE Cost Overrun Policy. At-Risk projects are likely to be presented to the CTB for review if action is required for a project to advance to a subsequent phase of work.

While these review efforts will be used to assist in early identification of potential changes for project scopes and budgets, Project Managers/Coordinators, and SMART SCALE POCs are in the best position to identify these changes and are encouraged to coordinate with the SSWG as early as possible to obtain feedback on potential changes before progressing in project development.

Scope
For VDOT projects, scope changes will be monitored at two key milestones during project development: Scoping and Advertisement.

Scoping – The Project Manager/Coordinator will be responsible for reviewing the project scope to determine if the scope as defined at the end of scoping has differed from how the scope was presented in the project’s SMART SCALE application. Prior to completing scoping, the Project Manager/Coordinator will certify that the project scope has not been changed from the original project scope as detailed in the SMART SCALE application AND no additions or changes have been made that will substantially impact the project benefit. The Project Manager/Coordinator may also confirm that changes did occur and that the project was reviewed, re-evaluated (if necessary), and re-scored (if necessary) through the SMART SCALE project change process. For VDOT oversight projects, this certification must be documented on the Scoping Certification Form (PM-100), or equivalent scoping documentation for locally administered projects, and approved by appropriate District and/or Central Office leadership in accordance with VDOT Tier 1/Tier 2 development processes.

Advertisement – The Project Manager/Coordinator will be responsible for reviewing the project scope to determine if the scope as defined prior to advertisement has differed from how the scope was presented in the project’s SMART SCALE application. Prior to advertisement, the Project Manager/Coordinator will certify that the project scope has not been changed from the original project scope as detailed in the SMART SCALE application AND no additions or changes have been made that will substantially impact the project benefit. The Project Manager/Coordinator may also confirm that changes did occur and that the project was reviewed, re-evaluated (if necessary), and re-scored (if necessary) through the SMART SCALE project change process. For VDOT oversight projects, this must be documented on the Certification of Plan Correctness (LD-406), or equivalent plan submission documentation for locally administered projects, and approved by appropriate District and/or Central Office leadership in accordance with VDOT Tier 1/Tier 2 development processes.
For DRPT projects, the DRPT program manager will coordinate with the recipients at least quarterly to monitor progress and to identify any potential changes.

In addition to the review milestones detailed above, SSWG membership will implement additional process controls and/or reviews to ensure project scopes have not materially changed from the original application selected for funding. This may include, but is not limited to, regular review of Scoping Certification forms and/or Certifications of Plan Correctness for projects in which scoping is complete to compare against SMART SCALE project applications.

Appendix C of the document includes an illustrative list of scope changes for assistance in reviewing project changes. This list is meant as reference-only. Any deviations from the project scope as detailed in the submitted and validated SMART SCALE application must be brought to the SSWG for review and recommendation.

**Budget**

For VDOT oversight projects, budget changes are monitored on a monthly basis by the VDOT-IID in support of the SMART SCALE Cost Overrun Policy. Project budgets are also reviewed for changes as part of the funding verification process. In conjunction with VDOT L&D’s monthly statewide project delivery meetings, IID staff will pull information from the Live Six Year Improvement Program (SYIP). Based on this monthly review, IID staff will identify any potential issues for SMART SCALE projects by reviewing potential flagged risks including, but not limited to, in the following programmatic areas:

- Overspent project phases (based on recommended estimates)
- Non-Participating project costs
- Costs to Complete (project shortfalls)
- Project inactivity
- Major schedule variances (acceleration or delays) that may have impacts to project funding and/or project costs

Once identified, IID staff may coordinate with VDOT District staff to assess impacts of any identified issues. Depending on the outcomes of such coordination, projects may be added to the At-Risk matrix for more formal monitoring and potential reporting to the CTB if such issues would trigger CTB review.

For DRPT projects, the DRPT program manager will coordinate with the recipients at least quarterly to monitor progress and any potential changes.

Surplus District Grant funds remain within the district and may not be used in another district. Surplus High Priority Project funds will be transferred to a statewide balance entry account and may be used on a statewide basis on other High Priority projects. Funds no longer needed for delivery of the selected project cannot be used to add scope to the project but will be reserved to address budget adjustments on existing SMART SCALE projects or reserved for allocation in the next solicitation cycle for SMART SCALE.

**Transparency in the Process**

Transparency with SMART SCALE projects remains critical to the success of the prioritization process. Project Managers/Coordinators must continue to update schedules and budgets in accordance with appropriate policies and procedures to ensure accurate reporting on VDOT's
Once any project changes have been reviewed or acted upon by the CTB, the CTB and SMART SCALE websites will be updated to reflect that information. For project changes that do not require CTB action, the results of any re-evaluation or re-score will be documented and are available upon request in accordance with the SMART SCALE Technical Guide.
Appendix A
Summary of Triggers for Reevaluation, Rescoring, and CTB Action

The following tables detail potential outcomes for changes in project budget, scope, or both. **All project changes must be reviewed by the SSWG.** These tables are intended as guidance for potential outcomes related to project changes. This guidance is intended to assist with understanding the Project Change Process, but is not intended to definitively outline the outcome of a project change. If a project scope or budget has deviated from what was proposed, there is an associated narrative/purpose for why this change occurred. Each narrative is likely as unique as the projects themselves. Due to project change dynamics, the best course of action for any Project Manager/Coordinator is to reach out to the SSWG to help determine an appropriate course of action for a proposed project change.

### Scope

<table>
<thead>
<tr>
<th>Change</th>
<th>Action</th>
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| Increase| ● If benefits are the same or better, no further action.  
● If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative.  
● If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope.  
● The applicant is responsible for the cost of any additional scope, regardless of budget impact.  
● Surplus SMART SCALE funds will be reallocated after award. |
| Decrease| ● If benefits are the same or better, no further action.  
● If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative.  
● If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope. |

### Budget

<table>
<thead>
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<th>Change</th>
<th>Action</th>
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</table>
| Increase| ● If applicant covers the budget increase, no further action.  
● If budget increase is within thresholds, SMART SCALE funds may be provided once contingency is exhausted.  
● If budget increase is above thresholds, CTB action is required to approve the budget increase beyond available contingency. |
| Decrease| ● Surplus funds will be reallocated after award of the construction contract. |
### Both

<table>
<thead>
<tr>
<th>Budget Change</th>
<th>Scope Change</th>
<th>Action</th>
</tr>
</thead>
</table>
| Increase      | Increase     | - If benefits are the same or better, no further action by the CTB related to the scope change is required. The cost increase is the responsibility of the applicant.  
- If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative. The cost increase is the responsibility of the applicant.  
- If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope. The budget increase is the responsibility of the applicant. |
| Increase      | Decrease     | - If benefits are the same or better, no further action by the CTB related to the scope change is required. The cost increase is the responsibility of the applicant.  
- If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative. The cost increase is the responsibility of the applicant.  
- If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope.  
- If applicant covers the budget increase, no further action by the CTB is required related to the budget change is required.  
- If increase is within thresholds, SMART SCALE funds may be provided once contingency is exhausted.  
- If increase is above thresholds, CTB action is required to approve the budget increase beyond available contingency. |
| Decrease      | Increase     | - If benefits are the same or better, no further action by the CTB related to the scope change is required.  
- If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative.  
- If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope.  
- Surplus funds will be reallocated after award. |
| Decrease      | Decrease     | - If benefits are the same or better, no further action by the CTB related to the scope change is required.  
- If benefits are reduced but not below cohort of projects, SSWG will recommend action based on project change narrative.  
- If the benefits are reduced such that the revised score is less than the lowest ranked funded project in the district for that cohort of projects, CTB action is required to approve the change in scope.  
- Surplus funds will be reallocated after award. |
Appendix B

SMART SCALE Project Change Form Guidance

The Project Change Intake Form is available on the Outside VDOT SharePoint site. The form will need to be submitted for a project to advance to the re-evaluation phase of the process. The form has been developed to provide as much information about the potential project changes in one document. This will help the SSWG, the EWG, and the CTB when reviewing the potential project change. It also supports guidance outlined in the SMART SCALE Technical Guide relating to making the results of any re-scoring publicly available. Additionally, it provides staff with a quick reference to compare project change situations against past examples to ensure consistency in review and required actions. For access or questions related to this site, please contact VDOT IID staff.

The form requires information inputs from two main sources, the SMART Portal and iSYP. The graphics below will illustrate what information is requested and where that information can be found.

Above is the project identification portion of the form. As explained in the introduction this information will be found either in the SMART Portal Application or iSYP. Items 1, 9, 13, 20, 21, 22 should all be pulled from the SMART Portal Application. All other items should be pulled from iSYP.
Above is the project contact information portion of the form. The project initiator (23) should be the best District or DRPT point of contact for the project, for example the project manager or transit program manager. The District POC should be either the District SMART SCALE Point of Contact or the DRPT SMART SCALE Point of Contact (24).

The main elements of the form focus on information needed regarding the proposed project change: budget, scope or both.

Above is the proposed budget change portion of the form. Items 25, 26, 29, and 30 should all be found in the SMART Portal project application, unless the project has already been approved for a budget increase by the CTB. Items 27, 31, and 32 are information inputs related to the additional funding being requested to fully fund the project. Items 28, 33 and 34 will sum automatically based on the previous inputs. Item 35 should describe the reason for the budget increase. This information should be a detailed summary of the reasons that lead to the increase in budget. Item 36 should describe efforts done to keep the project within the budget. Finally, Item 37 is a check box to determine if the project’s increase in budget is due
to an increase in scope. As noted above, if a proposed project change would result in the addition of significant project features not originally included in the SMART SCALE application and the scope increase does not negatively affect a project benefits, then the applicant is responsible for any additional costs related to the additional scope elements.

Above is the proposed scope change portion of the form. Item 38 should describe the proposed scope change fully. This information should be a detailed summary of the scope elements being removed and/or added to the project. Item 39 should describe the need/justification for the scope change. This information should be a detailed summary of why the scope change is necessary.

Above is that final portion of the form. Item 40 allows respondents to upload attachments that might assist with the project change review such as revised project sketches or local funding commitments. Item 41 displays the workflow status related to the project change review process. Upon completing the form the respondent should revise the workflow status to submitted. All other status changes will be made by the SSWG. Each of these statuses, beyond submitted includes a notes section that will provide additional information.
Appendix C
Illustrative List of Scope Changes
The following examples of scope changes are meant to be illustrative only and should not be considered an exhaustive list of all scope changes that could impact the project benefit calculation. The tables include when a review is needed and how it may impact the project benefits or the SMART SCALE score. The information provided below is intended to provide direction and should not be interpreted as CTB Policy.

As stated previously the expectation for managing any potential scope changes is for designated points of contact to reach of to the SSWG for review.

### Additional Project Scope

<table>
<thead>
<tr>
<th>Description</th>
<th>Affected Measure</th>
<th>Trigger Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required Roadway Signage</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Guardrail</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Required Stormwater Management/Sound Barriers</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Landscaping/Streetscaping*</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Non-standard materials*</td>
<td>None</td>
<td>Yes</td>
</tr>
<tr>
<td>New through lanes, turn lanes, or ramps</td>
<td>Congestion; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Extension of project termini</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Addition or Upgrade to intersection improvement (signal to roundabout, at grade to grade separated, etc.)</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
</tbody>
</table>

*If not accounted for in the original project description or project features and budget then items such as these are not allowed unless the cost associated with the scope change is covered by the applicant.*
## Multimodal Features

<table>
<thead>
<tr>
<th>Description</th>
<th>Affected Measure</th>
<th>Trigger Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Addition or Elimination of bike/pedestrian components</td>
<td>Accessibility; Land Use Environment; Safety (if only improvement of project)</td>
<td>Yes</td>
</tr>
<tr>
<td>Elimination of TDM (park and ride) or transit components or 15% or greater reduction in # of spaces or transit capacity</td>
<td>Safety; Congestion; Accessibility; Land Use; Environment; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Reduction in transit (bus or rail) service frequency during peak hour (For example: 3 trains in peak hour to 2 or 3 buses in peak hour to 2) - before implementation</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Reduction in rolling stock capacity (For example 8 car train to 6 car train)</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Greater than 20% reduction in forecasted ridership during peak hour</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Conversion of sidewalk and bike lane to shared use path</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Change in location for proposed bus stop</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Less than a 20% reduction in forecasted ridership during peak hour</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Less than a 20% reduction in forecasted daily ridership</td>
<td>None</td>
<td>No</td>
</tr>
</tbody>
</table>
## Changes in Intersection/Interchange Treatments

<table>
<thead>
<tr>
<th>Description</th>
<th>Affected Measure</th>
<th>Trigger Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elimination of or significant modification to Alternative Intersection treatment: • Addition of lanes • Modification to allow full movement • Increasing # of signal phases (example - go from 2 to 4 phase) • Eliminating proposed RCUT or Quadrant Roadway intersection • Elimination of intersection improvement</td>
<td>Safety; Congestion</td>
<td>Yes</td>
</tr>
<tr>
<td>Changing grade separated interchange to an at-grade intersection</td>
<td>Safety; Congestion; Econ Dev</td>
<td>Yes</td>
</tr>
<tr>
<td>Grade separated interchange - changing the number of ramp lanes and/or traffic control at the ramp terminal</td>
<td>Safety; Congestion; Econ Dev</td>
<td>Yes</td>
</tr>
<tr>
<td>Elimination of flyover ramps</td>
<td>Safety; Congestion</td>
<td>Yes</td>
</tr>
<tr>
<td>Adjusting the length of proposed turn lanes</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>Addition of RIRO entrance that does not trigger an access management waiver</td>
<td>None</td>
<td>No</td>
</tr>
</tbody>
</table>

## Changes in Roadway Segments

<table>
<thead>
<tr>
<th>Description</th>
<th>Affected Measure</th>
<th>Trigger Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduction in number of through or auxiliary lanes</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>RCUT to traditional divided facility</td>
<td>Safety; Congestion; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Reduction in length of improvement/project termini</td>
<td>Safety; Congestion; Accessibility; ED-Reliability</td>
<td>Yes</td>
</tr>
<tr>
<td>Elimination of access management features - increase in number of full movement access points or inclusion of access point that would require an access management waiver</td>
<td>Safety; Congestion</td>
<td>Yes</td>
</tr>
<tr>
<td>Adjusting the travel lane or shoulder width 2 feet or less - example 8 foot shoulder to 6 foot shoulder, or 12 foot lane to 11 foot lane</td>
<td>Safety; Congestion</td>
<td>No</td>
</tr>
</tbody>
</table>