

**Project Study Report-Project Report  
To  
Request Programming in the 2014 SHOPP  
And  
Provide Project Approval**

On Route 101 in the City of Santa Barbara and Santa Barbara County

At The Butterfly Lane Pedestrian Undercrossing

I have reviewed the right of way information contained in this report and the R/W Data Sheet attached hereto, and find the data to be complete, current and accurate:

  
Suzette Shelloe, CENTRAL REGION DIVISION  
CHIEF, RIGHT OF WAY

APPROVAL RECOMMENDED:

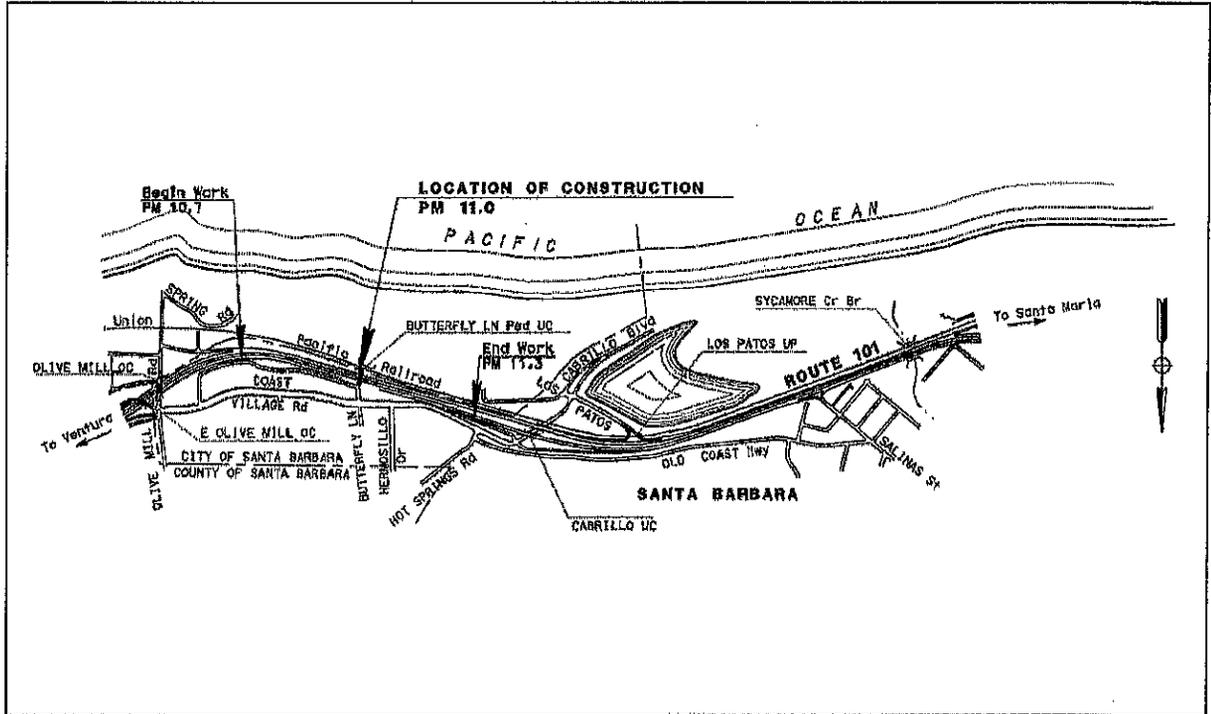
  
Rochelle M. Vierra, PROJECT MANAGER

APPROVED:

  
Timothy M. Gubbins, DISTRICT 05 DIRECTOR

6.6.14  
DATE

# Vicinity Map



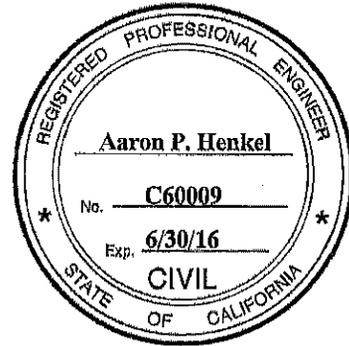
This project study report-project report has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

*Aaron P. Henkel*

REGISTERED CIVIL ENGINEER

5/22/14

DATE



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## 1. INTRODUCTION

### Project Description:

It is proposed to construct pedestrian accessible ramps to the Butterfly Lane pedestrian undercrossing (PUC) in Santa Barbara County in the City of Santa Barbara. The current (May 2014) estimated construction cost of the project is \$1,202,000 for roadway work, \$1,073,000 for structures work and \$724,000 for Right of Way and utility relocation. Therefore, the total capital cost of this project is \$2,999,000. This is a Class 1 project with minimal economic, social and environmental significance, and is categorically exempt under the California Environmental Quality Act (CEQA) guidelines.

<b>Project Limits</b>	05-SB-101 PM 11.0
<b>Number of Alternatives</b>	2
<b>Alternative Recommended for Programming</b>	1
<b>Current Capital Outlay Support Estimate</b>	\$2,381,000
<b>Current Capital Outlay Construction Estimate</b>	\$2,275,000
<b>Current Capital Outlay Right-of-Way Estimate</b>	\$724,000
<b>Funding Source</b>	20.xx.201.361
<b>Funding Year</b>	2018
<b>Type of Facility</b>	5 lane freeway/PUC
<b>Number of Structures</b>	1
<b>SHOPP Project Output</b>	Two approach ramps to PUC
<b>Environmental Determination or Document</b>	Class 2 CE/anticipated CE for NEPA
<b>Legal Description</b>	In Santa Barbara County in the City of Santa Barbara at Butterfly Lane
<b>Project Development Category</b>	Category 5 Project

## 2. RECOMMENDATION

It is recommended that this project be approved using the build alternative and proceed to the design phase by amending into the 2014 State Highway Operation and Protection Program (SHOPP).

### 3. BACKGROUND

This project was initiated by the District 5 Americans with Disabilities Act (ADA) Coordinator as a response to a grievance at this location.

The existing pedestrian undercrossing (PUC), Br No 51-0188, is within the City of Santa Barbara and allows pedestrians to access the coastal side of the freeway from the business district of Montecito under Highway 101. The PUC was originally built in 1954 with the access control freeway construction with modifications to the two entrances in 2007. For the original design the PUC was accessed on the inland side from a sidewalk that parallels Butterfly Lane and down a stair way to the PUC entrance. The existing sidewalk leading to the stairs is in excess of five percent grade, which is non compliant with ADA. The PUC is 8 feet in width, 8 feet in height and 150 feet long under Highway 101. The PUC has interior lighting and a mural on the walls. At the Union Pacific Railroad (UPRR) side of the PUC it is accessed by stairs to an asphalt path that a pedestrian follows across the railroad tracks to go to the beach. As part of the Milpas to Hot Springs project there were modifications to the stairs by the addition of a bike rail. Above each entrance to the PUC a light with architectural treatment was added. Along the Route 101 southbound lanes a concrete barrier was added to the outside with the addition of a third lane. The majority of the proposed work will be done within the State Right of Way and the City of Santa Barbara Right of Way. The work area within the City will be approximately 0.17 acres at the Butterfly Lane/Coast Village Circle intersection. A temporary construction easement for 800 square feet will also be required from UPRR in order to remove approximately four trees that will be compromised with excavation for retaining walls. To the ocean side of the UPRR is County of Santa Barbara right of way

### 4. PURPOSE AND NEED

**Purpose:**

The purpose of this project is to improve the access to the pedestrian undercrossing to allow equal access for disabled persons under ADA law.

**Need:**

The existing approaches to the PUC under Highway 101 do not meet current standards for ADA accessibility for pedestrians.

### 5. DEFICIENCIES

The sidewalk on the inland side leading up to the stairs exceeds the allowable five percent slope for ADA. The stairs at both ends of the undercrossing are not ADA accessible.

## 6. CORRIDOR AND SYSTEM COORDINATION

Systems - The State of California has placed Route 101 on the Freeway and Expressway System with provisions for control of access to the extent necessary to preserve the value and utility of the facilities. Route 101 is a principal arterial on the National Highway System (NHS). The NHS is comprised of the Interstate System and other urban and rural principal arterials that are essential for interstate and regional commerce and travel, national defense, intermodal transfer facilities, and trade. The Department of Defense, in cooperation with Caltrans, has identified Route 101 as a Strategic Highway Corridor Network (STRAHNET) route, meaning it is considered essential to national defense for facilitating the movement of troops and equipment. It is on the Interregional Road System (IRRS) and the National Truck Network, and is a State Highway Extra Legal Load (SHELL) route and a Surface Transportation Assistance Act (STAA) route. Route 101 is identified as a High Emphasis Route and Focus Route in the Caltrans Interregional Transportation Strategic Plan (ITSP). This makes this route a high priority for programming to address increased interregional travel demand with an emphasis towards goods movement, recreational, and lifeline needs. Although Route 101 is important for interregional traffic, it also serves commute traffic within and from outside of Santa Barbara County, and can be used as an evacuation route. The entire segment of Route 101 in Santa Barbara County is eligible for designation as a Scenic Highway. This freeway location has been designated as a Transportation Management area at the governor's request, Federal Register July 8, 2002, Vol. 67, No. 190. It is considered urban for the application of geometric standards.

State Planning - System Planning is Caltrans' long-range transportation planning process. The objective of System Planning is to promote that the investments in the state highway system and the larger transportation system would meet future needs for mobility, access, and safety. The Transportation Concept Report (TCR) of 2001 states that the proposed route concept for Route 101 from PM R0.0 to 27.8 is a six-lane freeway with interchange revisions operating at LOS D or better and strives for the implementation of aggressive Transportation Demand Management (TDM) measures. The TDM measures would include express transit service and facilities, operational improvements, intelligent transportation system strategies, and highway widening to reduce congestion. This project does not preclude the ultimate design of this facility.

Regional Planning - Santa Barbara County Association of Governments (SBCAG) is the county's metropolitan planning organization.

Local Planning - This project involves the City of Santa Barbara and the County of Santa Barbara. The entire project area is contained within the Coastal Zone, meaning the project must comply with the City of Santa Barbara's Local Coastal Plan (LCP). As part of LCP compliance, the 1996 document *Highway 101 Santa Barbara Coastal Parkway Design Guidelines* makes specific recommendations for the visual aspects of grading, structures and landscaping where consistent with State and Federal design

standards. After the environmental studies are completed, Caltrans must obtain a Coastal Development Permit from the City of Santa Barbara.

The City of Santa Barbara Pedestrian Master Plan adopted on July 18, 2006 shows no improvement for pedestrians are planned for this location.

## 7. ALTERNATIVES

### 7A. Viable Alternative

The viable alternative that meets ADA and geometric standards proposes to construct ramps for access to the PUC. On the north side of the highway near Butterfly Lane the project would remove a portion of the existing sidewalk that exceeds a five percent slope and the stairs that lead down to the PUC. The removal of the stairs will require the retaining structure along the stairs to also be removed. The stairs and removed section of sidewalk will be replaced with an ADA compliant ramp approximately 200 feet in length with landings every 30" drop. This will also require new retaining walls along the new ramp. This construction will require the removal of landscape to accommodate the new ramps. Approximately 50 feet of the new ramps will be built in the City of Santa Barbara Right of Way. Due to the elevation change from the conform location on the sidewalk in the City and the entrance to the PUC the ramps access will remove most of the existing vegetation and not have adequate space for stair access. Structures assumption is that Butterfly Lane/Coast Village Circle will be reduced to one lane during construction. During construction in this area it may require temporary closure of the entire roadway. In this area there is a 16 inch high pressure gas line that will require relocation.

On the south side of the highway near the Union Pacific Railroad tracks the existing stairs and retaining structures will be removed. An ADA compliant concrete ramp with landings and retaining walls will parallel the highway upstation. This side of the PUC will also have concrete stairs that will parallel the highway downstation on the opposite side of the ramp. All of the ramp and stairs will be built in the State Right of Way on the south side of the Highway. At this location the pedestrian path will conform at the UPRR and State right of way to the existing asphalt concrete path that crosses the railroad tracks. Access to the construction area on this side will be done from the Highway. This will require the closure of the number three lane and shoulder. The existing concrete barrier along the outside shoulder will be removed in the area and be replaced with a barrier slab and new concrete barrier. This will minimize the area required for a temporary construction easement from UPRR.

Drainage currently goes to a sump pump at the railroad side of the PUC. There are no changes proposed to the drainage path. The existing sump pump will be replaced as part of this project to accommodate the additional flow.

Aesthetic treatments to hardscape, railings and other features will be included with the project. New landscaping will be provided, including a minimum of five trees to be planted in the vicinity of the south-side improvements.

The total current roadway cost for this alternative is estimated to be \$1,202,000, structures cost \$1,073,000, and a right of way cost of \$724,000.

#### **7B. Rejected Alternative**

The No-build alternative does not address ADA compliance and was rejected. There are no costs or associated environmental impacts with the No-build alternative.

### **8. CONSIDERATIONS REQUIRING DISCUSSION**

#### **A. Hazardous Waste**

Aerially deposited lead (ADL) will potentially be an issue since this project includes soil excavation that may contain ADL. A task order will need to be written to have soil sampling performed. This will be done in order to document the soil lead concentrations so the material can be properly handled and disposed.

There will also be treated wood waste generated from the wood post of the metal beam guardrail which will require special disposal.

#### **B. Right of Way**

This project will be constructed within the existing State right of way and fifty feet of the City of Santa Barbara right of way within the existing sidewalk. The project will require a Temporary Construction Easement from the Railroad for construction and the removal of trees.

#### **C. Railroad Impacts**

The project will be constructed parallel to the Union Pacific Railroad (UPRR) within the States right of way. Flagging from UPRR will be required during construction for the removal of approximately four trees within a 10 foot by 80 foot construction easement.

#### **D. Utility Impacts**

Relocation of approximately 100 feet of an existing 16 inch high pressure gas line will be required as part of this project. The gas line is located at the intersection between Butterfly Lane and Coast Village Circle.

#### **E. Structures**

This project will require the removal of retaining walls with new walls being placed to facilitate the new ramps for access to the PUC. See Attachment D for the Advanced Planning Study (APS).

**F. Highway Planting**

The project will require the removal of approximately 4 trees and other vegetation. Planting will be required and will be addressed during the Design phase of the project.

**G. Permits**

The project is within the Coastal Zone for the City of Santa Barbara and will require a Coastal Development Permit. This will be done during the Design phase of the project.

**9. OTHER CONSIDERATIONS AS APPROPRIATE****A. Traffic Control**

The work to bring the PUC into compliance will require the closure of the PUC during construction. Pedestrians will need to go either to Cabrillo Blvd or Olive Mill Road to access the beach from the inland side of the freeway.

The project will also require southbound number 3 lane closure for access to the work zone on the beach side of the highway to build the retaining walls, ramps and stairs along southbound lanes. There will also be approximately four trees removed that reside near the right of way between the State and UPRR. This closure of the number 3 lane will require moving the transition from three lanes to two lanes to the north by approximately 1,000 feet.

On the inland side of the highway the turn from Butterfly Lane onto Coast Village Circle will require closure during construction. This will allow for the construction of the new retaining walls and ramps. The closure will be localized to the area and will affect approximately 3 diagonal parking spaces along Coast Village Circle.

**10. COMMUNITY INVOLVEMENT**

The Butterfly Lane PUC provides connections between homes and businesses in both the City of Santa Barbara and County of Santa Barbara. The project exists within the jurisdictional boundaries of the City of Santa Barbara. The project will require work within existing City of Santa Barbara streets and sidewalks. A Coastal Development Permit from the City of Santa Barbara will be needed. Staff from the City of Santa Barbara and County of Santa Barbara were contacted to make them aware of the project and discuss initial thoughts on a plan for obtaining community input during the design and construction phases. Potential elements of a public involvement process may include Open House/Workshop, group discussions, and distribution of postcards and comment cards. Community input and refinement of the design would also occur through the Coastal Development Permitting process which would likely involve reviews by the City Architectural Board of Review and the Planning Commission. Once the project is programmed Caltrans would coordinate further with

City and County staff to develop a working community involvement plan for the project. This plan would then be used to guide community outreach efforts for the Plans, Specifications and Estimate (PS&E) and construction phases of the project.

Aesthetic treatment will be integrated into the design and construction of the project, based on community input and related Coastal Development permitting conditions of approval. Specific types of aesthetic treatments will be developed during the design phase of the project. At that time aesthetic considerations will be solicited from local jurisdictional representatives and associated approval bodies.

## 11. ENVIRONMENTAL DETERMINATION/DOCUMENT

This project is Categorical Exempt under Class 2 of the State CEQA guidelines. See Attachment J.

It is anticipated that the project will receive a Categorical Exclusion determination from the National Environmental Policy Act (NEPA) upon its programming in the Federal Transportation Improvement Program (FTIP).

## 12. FUNDING/PROGRAMMING

The proposed project is a candidate for amendment into the 2014 State Highway Operations and Protection Program (SHOPP) for delivery in the 2017/18 fiscal year. See the following table for the Capital Outlay Support and Project Estimate. See attachment C for the Engineer's Cost Estimate.

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

### **Senate Bill 45 (SB45) - Chaptered in 1997**

The component categories shown in the funding table below are as identified in Senate Bill 45 (SB45), which are as follows:

- Project Approval and Environmental Document (PA&ED); Completion of all permits and environmental studies
- Plans, Specifications and Estimates (PS&E): Preparation of plans, specifications, and estimates
- Right of Way (R/W) Support and Capital - The acquisition of rights-of-way
- Construction (Constr.) Support and Capital - Construction and construction management and engineering, including surveys and inspection.

### Capital Outlay Support and Project Estimates

Fund Source	Fiscal Year Estimate				
	2014/15	2015/16	2016/17	2017/18	Total
20.xx.201.361					
Component	In thousands of dollars (\$1,000)				
PA&ED Support	22				22
PS&E Support	1,596				1,596
Right-of-Way Support	164				164
Construction Support				994	994
Right-of-Way	880				880
Construction				2,634	2,634
<b>Total</b>	<b>2,662</b>			<b>3,628</b>	<b>6,290</b>

*Note: Support categories are the same as those identified by SB 45. Support Costs escalated at 5% for all years. Construction Capital escalated at 5% per year. Right of Way Capital estimate is escalated at 5% per year to FY 2017/18 as shown in attachment "E" ROW datasheet. Support Cost ratio: 79% (All Support Costs divided by the sum of the escalated Construction Capital and escalated R/W Capital.*

### Workplan Assumptions, Constraints and Risks

- Contingencies: It is anticipated this project will require a significant community outreach effort in the design and construction phases. Therefore \$20,000 has been included under 05.CC01 for the potential utilization of Architectural & Engineering (A&E) for public engagement.
- An estimate for PA&ED is included in the workplan and the programming document as the federal environmental clearance cannot be accomplished until the project has been programmed in the SHOPP and added to the Federal Transportation Improvement Program (FTIP).
- The Project Development Team (PDT) members will identify and communicate changes (assumptions, constraints, risks, scope, schedule and / or budget) to the appropriate Task Manager and Project Manager immediately so that the Team may assess potential actions, impacts and categorize (avoid, transfer, mitigate, exploit, share, enhance or accept) the proposed change to the project.
- Accepted changes to the initial scope of work whether they are an increase or a decrease will be assessed by the PDT and the workplan will be re-examined as needed to adjust the budget in hours and/or dollars to address the accepted changes.
- The workplan was developed using a "Bottoms-Up" approach at the lowest Work Breakdown Structure (WBS) level and then rolled up to "WBS Level 5 - the Major Task Level". Prior to any charges occurring on a task the PDT may choose to change the level that a task is planned at.
- The project support budget (in dollars) was developed from the accepted workplan (in hours by task) based upon the "Rate Matrix" set for the Cost Centers with Source Unit by District as loaded into Project Resource and Schedule Management (PRSM)

as of April 25, 2014 and includes an escalation factor of 5% for each year through the close of the project to accommodate the following factors:

- The “PRSM Rate Matrix Data 2013-2014” posted on the HQ Project Management web page as of July 02, 2013 is based on “Past 3 years of expenditure data from EFIS; inflation rates and ICRP rates considered”.
  - AB 14-06 ICRP Rates effective July 1, 2014, Functional OH increases from 41.91% to 42.68%.
  - AB 14-05 Payroll Reserve Assessment Rates (Benefits) effective January 3, 2014, increases from 69.36 % to 74.04%. AB14-08 shows an additional temporary increase to 81.68% in the Payroll Reserve Assessment Rates (Benefits) effective between April 1, 2014 and June 30, 2014. It will be adjusted for the upcoming FY. At this time it is unknown what rate will be for next FY.
  - Base salary rate increase of 4.5% on July 1, 2014
- A risk register was prepared to assess, respond and monitor identified project risks that may occur throughout the life of the project. The risk register is designed as a tool to help the PDT and Project Sponsor in their decisions regarding project alternatives and objectives and encourages the project team to take appropriate measures to minimize adverse impacts to the project scope, schedule, quality or cost. However, the risk register cannot identify all risks in advance of occurrence for a project, some risks are unknown.

The current cost estimate and/or schedule does not include quantitative impacts to costs and/or schedule for the risks identified in the risk register.

- Functional unit estimates were developed based on the initial scope of work for Alternative 1 of the project as defined in the attached documents to the workplan request:
  - Functional unit project fact sheet - 11 page
  - Draft project schedule
  - Draft Project Study Report/Project Report
- Per the “*Fiscal Year 2012-13 Annual Project Delivery Report to the California State Legislature*” the average Capital Outlay Program wide “*Annual goal for S/C ratio based on capital value groups*” for projects (STIP and SHOPP) between \$1 million and \$5 million is 60%. The support cost ratio for this project is higher than the annual average goal. This is likely due to the project locations existing physical constraints, work associated with ADA projects is more detailed and requires additional effort, railroad involvement, the need for community outreach and efforts required for obtaining permits.

### 13. SCHEDULE

Project Milestones		Scheduled Delivery Date (Month/Year)
PROGRAM PROJECT	M015	July 2014
BEGIN ENVIRONMENTAL	M020	July 2014
PA & ED	M200	October 2014
DRAFT STRUCTURES PS&E	M378	April 2017
PS&E TO DOE	M377	June 2017
RIGHT OF WAY CERTIFICATION	M410	August 2017
READY TO LIST	M460	October 2017
HQ ADVERTISE	M480	January 2018
AWARD	M495	April 2018
APPROVE CONTRACT	M500	May 2018
CONTRACT ACCEPTANCE	M600	April 2019
END PROJECT	M800	February 2020

### 14. RISKS

The attached Risk Register (Attachment "J") is a living document and was prepared to assess, respond and monitor identified project risks that may occur throughout the life of the project. The Risk Register will be reassessed throughout the projects lifecycle and is designed as a tool to help the Project Development Team and Project Sponsor in their decisions regarding project alternatives and objectives and encourages the project team to take appropriate measures to minimize adverse impacts to the project scope, schedule or cost. The Risk Register cannot identify all risks in advance of occurrence for a project, some risks are unknown.

The primary risks for this project involve:

- Potential for multiple Architectural Board of Review (ABR)
- Issuance of a Coastal Development Permit (CDP)
- Discussions with Union Pacific Railroad
- Discussions with California Public Utilities Commission (CPUC or PUC)

The project scope, schedule or cost shown within this programming document does not include quantitative impacts identified within the Risk Register.

### 15. FHWA COORDINATION

This project is considered to be an Assigned Project in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.

## 16. PROJECT REVIEWS

District Program Advisor	<u>Kathy DiGrazia</u>	Date <u>10/10/13</u>
Headquarters SHOPP Program Advisor	<u>Darold Heikens</u>	Date <u>10/10/13</u>
District Maintenance	<u>Greg Dealba Sr.</u>	Date <u>4/17/14</u>
Headquarters Design Coordinator	<u>Paul Gennaro</u>	Date <u>3/2014</u>
Project Manager	<u>Rochelle Vierra</u>	Date <u>2/24/14</u>
District Safety Review	<u>Scott Morris</u>	Date <u>3/20/14</u>
Constructability Review		Date <u>4/22/14</u>

## 17. PROJECT PERSONNEL

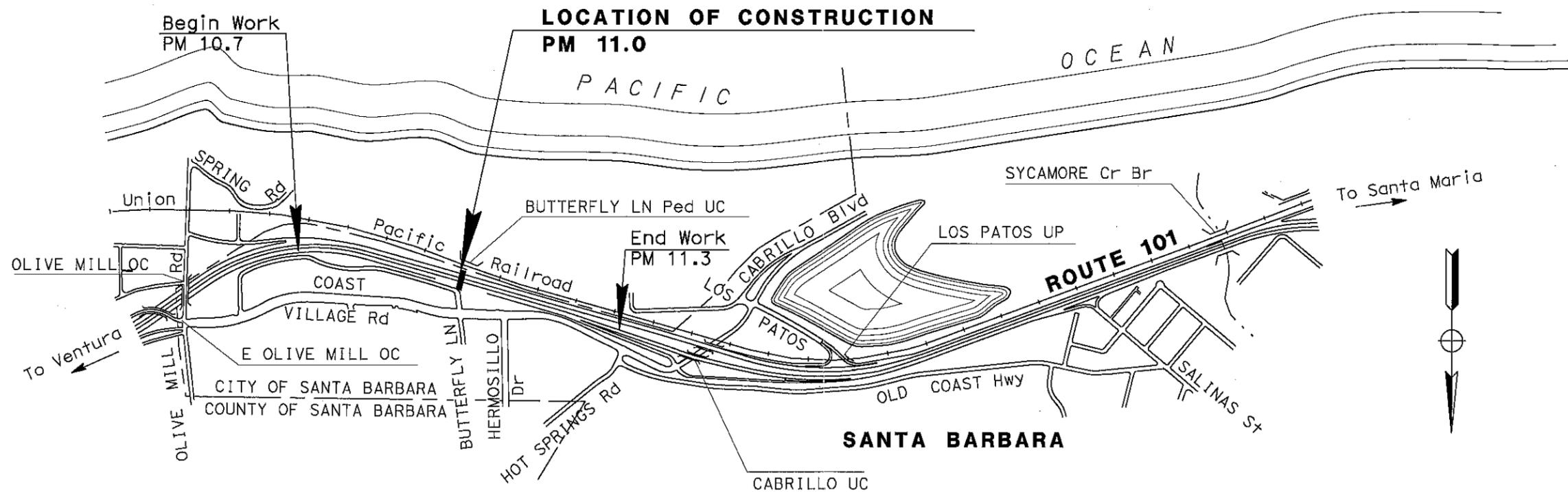
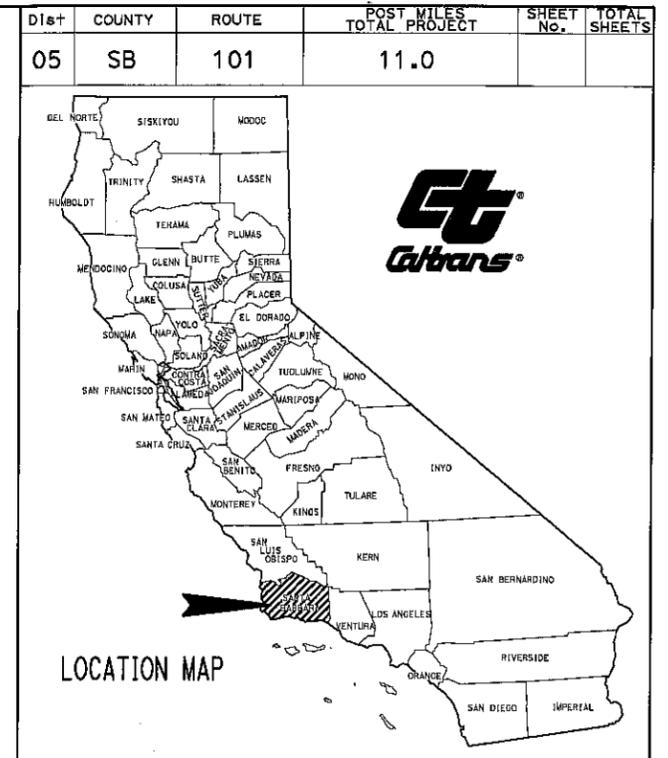
<i>Rochelle Vierra, Project Manager</i>	<i>(805)549-3003</i>
<i>John Fouche, Design Manager</i>	<i>(805)549-3330</i>
<i>Aaron Henkel, Project Engineer</i>	<i>(805)549-3085</i>
<i>David Emerson, Landscape Architect</i>	<i>(805)549-3357</i>
<i>Phil Lutz, Senior Bridge Engineer</i>	<i>(916)227-8514</i>
<i>Paula Huddleston, Environmental Planning</i>	<i>(805)549-3063</i>
<i>Alan Haag, Senior Construction Engineer</i>	<i>(805)542-4680</i>
<i>Kathy DiGrazia, ADA</i>	<i>(805)542-4692</i>

## 18. ATTACHMENTS (Number of Pages)

- A. Vicinity Map (1)
- B. Layouts (2)
- C. Project Report Cost Estimate (7)
- D. Advanced Planning Study (6)
- E. Right of Way Data Sheet (3)
- F. Storm Water Data Sheet (1)
- G. Traffic Management Plan Checklist (1)
- H. Distribution List (1)
- I. Risk Management Plan (3)
- J. Environmental Document (1)

STATE OF CALIFORNIA  
 DEPARTMENT OF TRANSPORTATION  
**PROJECT PLANS FOR CONSTRUCTION ON  
 STATE HIGHWAY**  
**IN SANTA BARBARA COUNTY**  
**IN**  
**SANTA BARBARA AT BUTTERFLY LANE**

TO BE SUPPLEMENTED BY STANDARD PLANS DATED 2010



PROJECT MANAGER  
**ROCHELLE VIERRA**  
 DESIGN ENGINEER  
**JOHN FOUCHE**

THE CONTRACTOR SHALL POSSESS THE CLASS (OR CLASSES) OF LICENSE AS SPECIFIED IN THE "NOTICE TO BIDDERS."

PROJECT ENGINEER \_\_\_\_\_ DATE \_\_\_\_\_  
 REGISTERED CIVIL ENGINEER



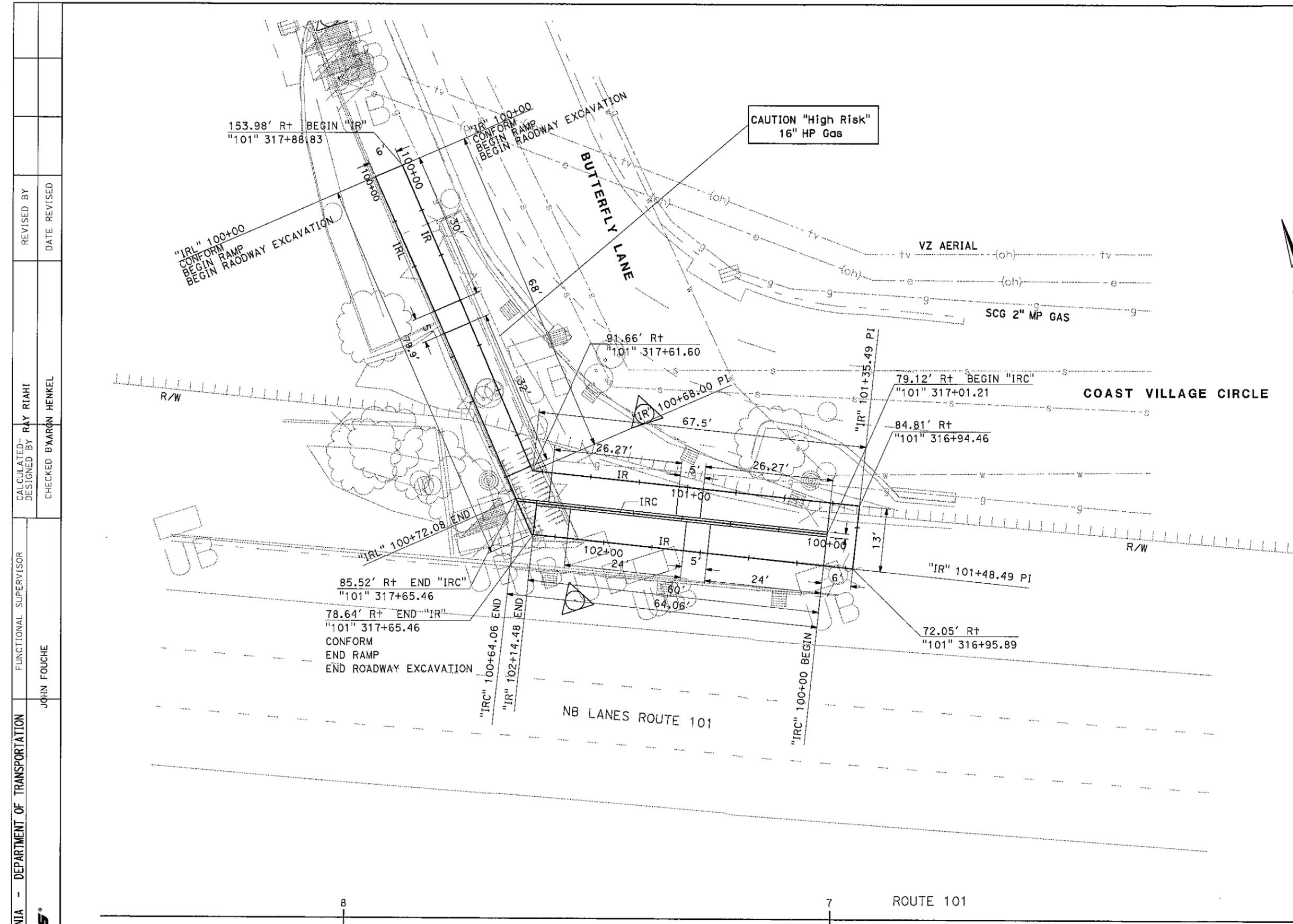
PLANS APPROVAL DATE \_\_\_\_\_  
 THE STATE OF CALIFORNIA OR ITS OFFICERS OR AGENTS SHALL NOT BE RESPONSIBLE FOR THE ACCURACY OR COMPLETENESS OF SCANNED COPIES OF THIS PLAN SHEET.

**ATTACHMENT A**

CONTRACT No.	<b>05-1E0404</b>
PROJECT ID	<b>051300027</b>

DATE PLOTTED => 25-APR-2014  
 TIME PLOTTED => 11:21  
 LAST REVISION 01-07-14

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
REGISTERED CIVIL ENGINEER			DATE		
PLANS APPROVAL DATE					
<small>THE STATE OF CALIFORNIA OR ITS OFFICERS OR AGENTS SHALL NOT BE RESPONSIBLE FOR THE ACCURACY OR COMPLETENESS OF SCANNED COPIES OF THIS PLAN SHEET.</small>					



STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR	CALCULATED-DESIGNED BY	REVISED BY
John Fouché	JOHN FOUCHÉ	RAY RIAHI	RAY RIAHI
		CHECKED	DATE REVISIED
		BAARON HENKEL	



ALL DIMENSSIONS ARE IN FEET UNLESS OTHERWISE SHOWN

N 71°57'01" W

ROUTE 101

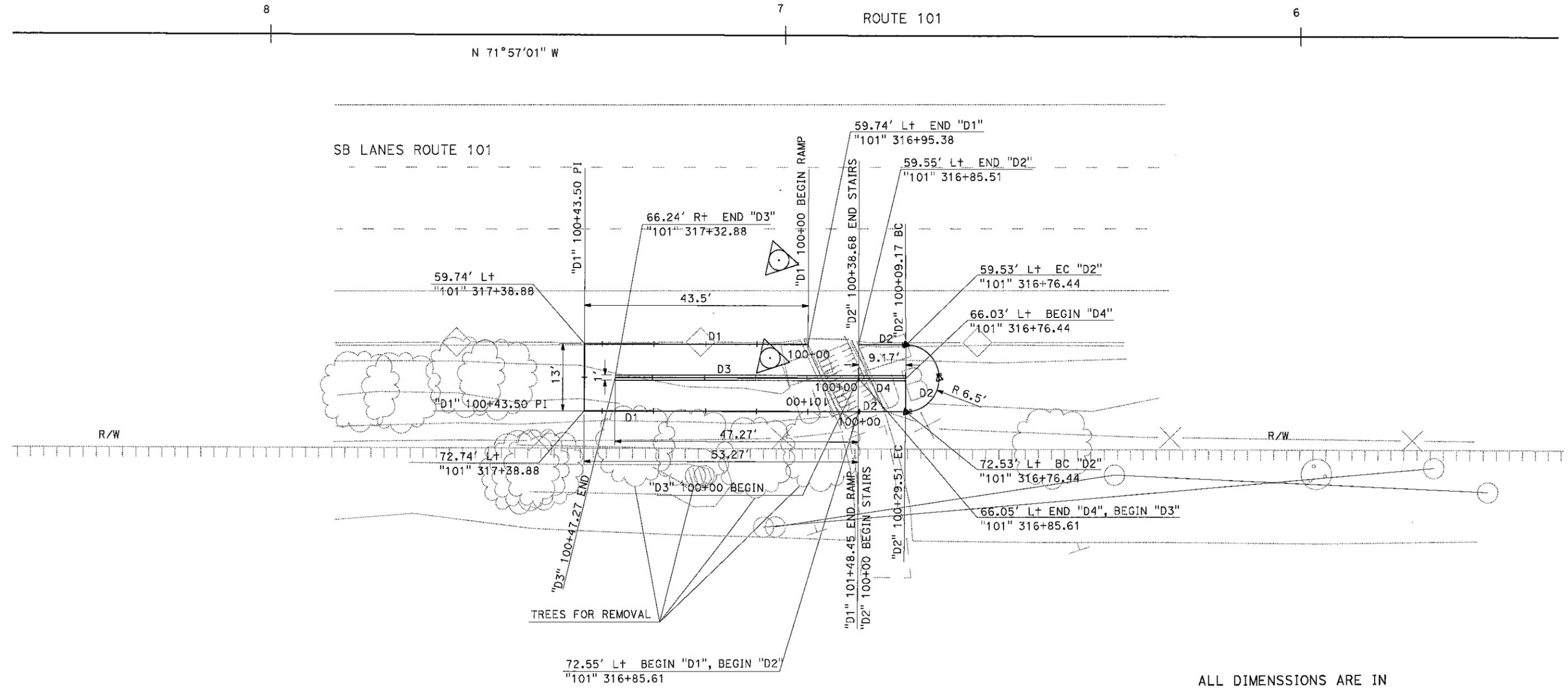
**LAYOUT**  
SCALE: 1" = 10' **L1**  
**ATTACHMENT B**

LAST REVISION DATE PLOTTED 13 00 MAY 2014

DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET NO.	TOTAL SHEETS
REGISTERED CIVIL ENGINEER			DATE		
PLANS APPROVAL DATE					
<small>THE STATE OF CALIFORNIA OR ITS OFFICERS OR AGENTS SHALL NOT BE RESPONSIBLE FOR THE ACCURACY OR COMPLETENESS OF SCANNED COPIES OF THIS PLAN SHEET.</small>					



STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR	CALCULATED-DESIGNED BY	RAY RIAHI	REVISOR BY	
<b>Caltrans</b>	JOHN FOUCHE	CHECKED BY	AARON HENKEL	DATE REVISED	



ALL DIMENSIONS ARE IN FEET UNLESS OTHERWISE SHOWN

**LAYOUT L2**

SCALE: 1" = 10'

LAST REVISION: DATE BY REVISION: 10/1/14 JAH 10014

PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE



Dist-Co-Rte: 05-SB-101  
PM: PM 11.00  
EA: 05-1E040  
Program Code: 20.10.201.361

PROJECT DESCRIPTION:

Limits: SB-101, at PM 11.0

Proposed Improvement:  
(Scope of Work)

Build retaining walls to create ADA ramps to Pedestrian Undercrossing.

Alternative: Build

SUMMARY OF PROJECT COST ESTIMATE

TOTAL ROADWAY ITEMS	Total of Sections 1 - 10 shown above	\$	1,201,365
TOTAL STRUCTURES ITEMS		\$	1,073,000
	SUBTOTAL CONSTRUCTION COSTS	\$	2,274,365
TOTAL RIGHT OF WAY ITEMS (Not Escalated)		\$	723,594
	TOTAL PROJECT CAPITAL OUTLAY COSTS	\$	2,997,959

Reviewed by  
District Program Manager:

(Signature)

4-28-2014  
(Date)

Approved by Project Manager:

(Signature)

4/29/2014  
(Date)

Phone Number:

\_\_\_\_\_

\_\_\_\_\_

Form revised 12/01/09



**PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE**



Dist-Co-Rte: 05-SB-101

PM: PM 11.00

EA: 05-1E040

Program Code: 20.10.201.361

Section 4 - Specialty Items

	<u>Quantity</u>	<u>Unit</u>	<u>Unit Price</u>	<u>Item Cost</u>	<u>Section Cost</u>
Retaining Walls	0	SF	\$0	\$0	
Temporary Railing (Type K)	300	LF	\$50	\$15,000	
Barriers and Guardrails	100	LF	\$100	\$10,000	
Lead Compliance Plan	1	LS	\$2,000	\$2,000	
Water Pollution Control	1	LS	\$30,000	\$30,000	
Hazardous Waste Investigation and/or Mitigation Work	1	LS	\$25,000	\$25,000	
Railroad Flagging	100	days	\$1,500	\$150,000	
Resident Engineer Office Space	1	LS	\$30,000	\$30,000	
				\$0	
			<b>Subtotal Specialty Items:</b>		<b>\$262,000</b>

Section 5 - Traffic Items

Lighting	1	LS	\$100,000	\$100,000	
Traffic Delineation Items	1	LS	\$10,000	\$10,000	
Temporary End Treatments	2	LS	\$5,000	\$10,000	
Overhead Sign Structures	0	EA	\$0	\$0	
Roadside Signs	0	EA	\$0	\$0	
Traffic Control Systems	1	LS	\$55,000	\$55,000	
Transportation Management Plan	1	LS	\$20,000	\$20,000	
Cozeep	1	LS	\$20,000	\$20,000	
Staging	1	LS	\$30,000	\$30,000	
				\$0	
			<b>Subtotal Traffic Items:</b>		<b>\$245,000</b>

**PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE**



Dist-Co-Rte: 05-SB-101  
 PM: PM 11.00  
 EA: 05-1E040  
 Program Code: 20.10.201.361

**II. ROADSIDE ITEMS**

<u>Section 6 Planting and Irrigation</u>	<u>Quantity</u>	<u>Unit</u>	<u>Unit Price</u>	<u>Item Cost</u>	<u>Section Cost</u>
Highway Planting	1	LS	\$75,000	\$75,000	
Replacement Planting	0	LS	\$0	\$0	
Irrigation Modification	0	LS	\$0	\$0	
Relocate Existing Irrigation	0	LS	\$0	\$0	
Facilities	0	LS	\$0	\$0	
Irrigation Crossovers	0	LS	\$0	\$0	
				\$0	
Subtotal Planting and Irrigation Section:					\$75,000

<u>Section 7: Roadside Management and Safety Section</u>	<u>Quantity</u>	<u>Unit</u>	<u>Unit Price</u>	<u>Item Cost</u>	<u>Section Cost</u>
Vegetation Control Treatments	0	LS	\$0	\$0	
Gore Area Pavement	0	LS	\$0	\$0	
Pavement beyond the gore area	0	LS	\$0	\$0	
Miscellaneous Paving	0	LS	\$0	\$0	
Erosion Control	0	LS	\$0	\$0	
Slope Protection	0	LS	\$0	\$0	
Side Slopes/Embankment Slopes	0	LS	\$0	\$0	
Maintenance Vehicle Pull outs Off-freeway Access (gates, stairways, etc.) Roadside Facilities (Vista Points, Transit, Park & Ride, etc)	0	LS	\$0	\$0	
Relocating roadside facilities/features	0	LS	\$0	\$0	
				\$0	
Subtotal Roadside Management and Safety Section:					\$0

TOTAL SECTIONS 1 thru 7 \$809,000

NOTE: Extra lines are provided for items not listed; use additional lines as appropriate.

**PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE**



Dist-Co-Rte: 05-SB-101  
 PM: PM 11.00  
 EA: 05-1E040  
 Program Code: 20.10.201.361

**III. ROADWAY ADDITIONS**

Section 8 - Minor Items

				<u>Item Cost</u>	<u>Section Cost</u>
(Subtotal Sections 1 thru 7)	<u>\$809,000</u>	x	<u>0.10</u> (5 to 10%)	=	<u>\$80,900</u>
				TOTAL Minor Items:	<u>\$80,900</u>

Section 9 - Roadway Mobilization

(Subtotal Sections 1 thru 8)	<u>\$889,900</u>	x	<u>0.10</u> (10%)	=	<u>\$88,990</u>
				TOTAL Roadway Mobilization:	<u>\$88,990</u>

Section 10 - Supplemental Work & Contingencies

Supplemental Work

(Subtotal Sections 1 thru 8)	<u>\$889,900</u>	x	<u>0.10</u> (5 to 10%)	=	<u>\$88,990</u>
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Contingencies

(Subtotal Sections 1 thru 8)	<u>\$889,900</u>	x	<u>0.15</u> (**%)	=	<u>\$133,485</u>
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Supplemental Work & Contingencies:	<u>\$222,475</u>
TOTAL ROADWAY ADDITIONS Sections 8 thru 10:	<u>\$392,365</u>

TOTAL ROADWAY ITEMS:	<u>\$1,201,365</u>
(Subtotal Sections 1 thru 10)	

Estimate Prepared by:	<u>Aaron Henkel</u>	Phone: <u>(805) 549-3085</u>	<u>04/24/14</u>
	(Print or Type Name)		(Date)
Estimate Checked by:	<u>Chris Baab</u>	Phone: <u>(805) 549-3665</u>	<u>04/25/14</u>
	(Print or Type Name)		(Date)

\*\*Use appropriate percentage per PDPM, Part 3 Chapter 20.  
<http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm> - pdpm

**PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE**



Dist-Co-Rte: 05-SB-101  
 PM: PM 11.00  
 EA: 05-1E040  
 Program Code: 20.10.201.361

**II. STRUCTURE ITEMS**

	STRUCTURE			
	No. 1	No. 2	No. 3	
Bridge Name	_____	_____	_____	
Structure Type	_____	_____	_____	
Width (out to out) - (ft)	_____	_____	_____	
Span Length - (ft)	0	0	0	
Total Area - ft <sup>2</sup>	0	0	0	
Footing Type (pile/spread)	0	0	0	
Cost per ft <sup>2</sup>	0	0	0	
(incl. 10 % mobilization and 20 % contingency)				
Total Cost for Structure	<u>\$1,073,000</u>	<u>\$0</u>	<u>\$0</u>	
SUBTOTAL STRUCTURES ITEMS			<u>\$1,073,000</u>	
(Sum of Total Cost for Structures)				
Railroad Related Costs (Not incl. in R/W Est)	_____	_____	_____	<u>\$0</u>
	_____	_____	_____	<u>\$0</u>
SUBTOTAL RAILROAD ITEMS			<u>\$0</u>	
TOTAL STRUCTURES ITEMS			<u>\$1,073,000</u>	
(Sum of Structures items plus Railroad Items)				

**COMMENTS:**

Estimate Prepared by: \_\_\_\_\_ Phone: \_\_\_\_\_ 0/0/00  
 (Print or Type Name) (Date)

(If appropriate, attach additional pages as backup)

**PROJECT STUDY REPORT - PROJECT REPORT COST ESTIMATE**



Dist-Co-Rte: 05-SB-101  
 PM: PM 11.00  
 EA: 05-1E040  
 Program Code: 20.10.201.361

**III. RIGHT OF WAY ITEMS**

No. of years for Escalation = ██████████

	Current Values	Rate (%)	Escalation Factor		Escalated Values
A. Acquisition, including excess lands, damages to remainder(s) and Goodwill	\$62,500	5.0	1.00	-	\$62,500
B. Utility Relocation (State Share)	\$627,500	5.0	1.00	-	\$627,500
C. Mitigation	\$12,500	5.0	1.00	-	\$12,500
D. Expert Witness	\$18,750	7.0	1.00	-	\$18,750
E. Title and Escrow Fees	\$2,344	4.0	1.00	-	\$2,344
<b>TOTAL RIGHT OF WAY** ITEMS=</b>	<b>\$723,594</b>				<b>\$723,594</b>

(Escalated Value)

Anticipated Date of Right of Way Certification: 0/0/00  
 (Date to which Values are Escalated)

**F. Construction Contract Work**

Brief Description of Work

Right of Way Branch Cost Estimate for Work\*

\_\_\_\_\_ \$0

\* This dollar amount is to be included in the Roadway and/or Structures Items of Work, as appropriate. Do not include in Right of Way Items

**COMMENTS:**

Estimate Prepared by: \_\_\_\_\_  
 (Print or Type Name)

Phone: \_\_\_\_\_

0/0/00  
 (Date)

(If appropriate, attach additional pages and backup including Right of Way Data Sheet and Environmental Mitigation and Compliance Cost Estimate Sheet).

## Memorandum

*Flex your power!  
Be energy efficient!*

To: AARON HENKEL  
Project Engineer  
Project Development Central Region

Date: Dec. 06, 2013

File: 05-SB-101-PM 11.0  
Butterfly Lane PUC  
(Br. No. 51-0188)  
ADA Compliance  
EA-1E040K EFIS 0513000027

From: GORDON DANKE *GWD*  
Bridge Design Branch 9  
Office of Bridge Design West  
Structure Design  
Division of Engineering Services

Subject: Advance Planning Study Transmittal

Attached is the Advance Planning Study for the above referenced project as submitted to the Division of Engineering Services by your request memo dated August 20, 2013.

The forecast structure cost, including time related overhead, mobilization and contingencies, is as follows:

Structure Name	Br. No.	Estimated Cost
Butterfly Lane PUC	51-0188	\$1,073,000.00
	Total Cost =	\$1,073,000.00

The escalated structure cost is provided for informational purposes only and does not replace annual cost updates as required by Department policy.

This Advance Planning Study and associated cost estimate is based on the following assumptions:

- Please see the attached APS Plan Sheets for assumptions applied to each structure alternative.

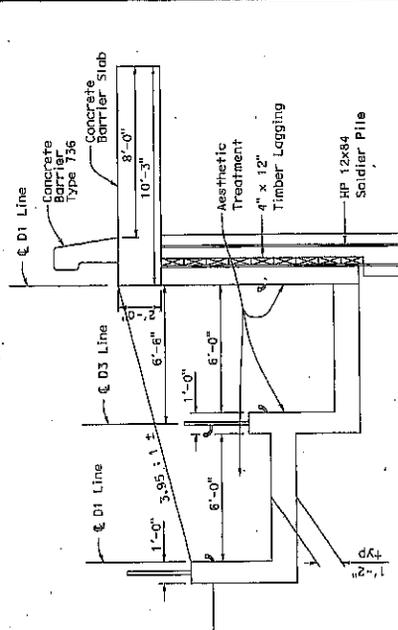
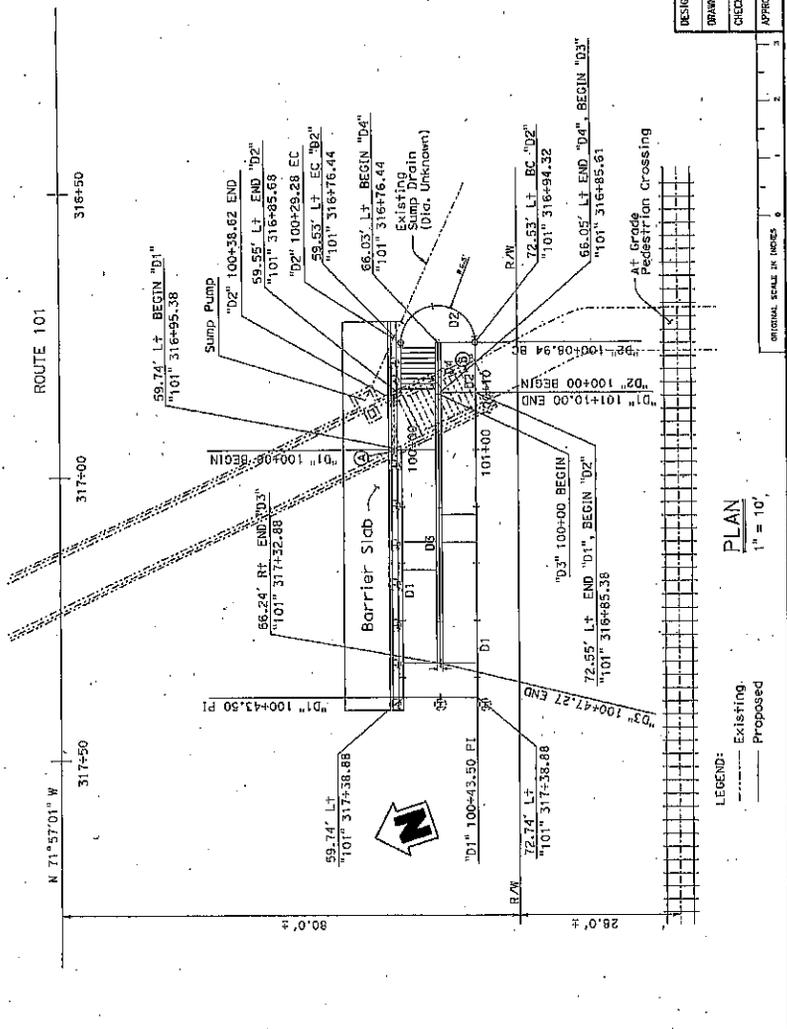
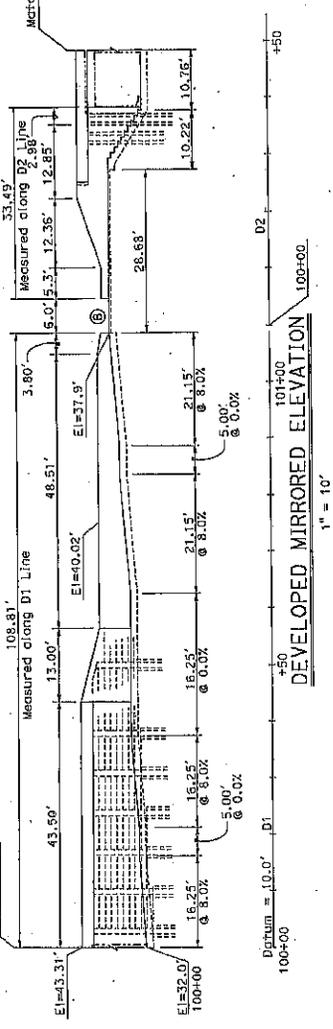
If you have any questions or if you need additional information regarding this study, please contact Phil Lutz at (916) 227-8514 or **Gordon Danke** at (916) 227-8224.

### Attachments

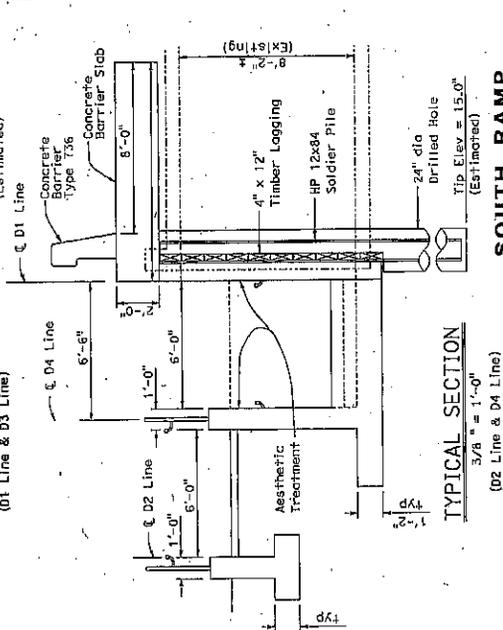
c: PEGGY LIM, Project Liaison Engineer  
KELLY HOLDEN, Bridge Design Office Chief  
MIKE DOWNS, Technical Liaison Engineer

WONG, QUINCY, Branch Chief, Bridge Architecture & Aesthetics  
PETE WHITFIELD, Office Chief, Structure Maintenance & Investigations  
KEVIN WALL, Program Advisor, Structure Maintenance & Investigations  
JEFF ABERCROMBIE, Structure Construction Assistant Deputy Division Chief  
MIKE FINEGAN, Geotechnical Services  
STEVE SCHOFF, Electrical, Mechanical, Water & Wastewater Office Chief  
ROCHELLE VIERRA, Senior Transportation supervisor

DIST.	COUNTY	ROUTE	POST MILE
5	SB	101	11.0



TYPICAL SECTION  
3/8" = 1'  
(01 Line & D3 Line)



TYPICAL SECTION  
3/8" = 1'  
(02 Line & D4 Line)

**SOUTH RAMP**  
SHEET 1 OF 3

DESIGNED BY P. Lutz	DATE 10-08-13	STRUCTURE DESIGN
CHECKED BY J. Rollie	DATE 10-08-13	BRANCH
APPROVED G. Donke	DATE 10-08-13	<b>9</b>

FILE # 15-06260-000-0101.dgn

**PLANNING STUDY**  
**BUTTERFLY LANE PUC**  
UNIT: 3584  
SCALE: AS SHOWN  
PROJECT No. & PHASE: 051300002 TK  
CONTRACT No.: 05-1E040K



DIST	COUNTY	ROUTE	POST MILE
5	SB	101	11.0

**ASSUMPTIONS:**

- PUC will be closed during construction.
- Traffic will be maintained on Route 101 during construction.
- K-rail to be placed along shoulder of Route 101 NB.
- K-rail placed along 101 SB to provide shoulder and lane closure required for placement of Barrier Slab.
- Cost Village Circle to be reduced to one lane of traffic during construction of North Ramp.
- Drill and Sand Dowel required at undercrossing entrances.
- CPW Soldier Piles employed where excavation is adjacent to roadway.
- Shaft depth assumed to be 15 feet below pile cut-off.
- Assume no night work.
- Assume noise and vibration restrictions.
- Additional Right-of-Way required for North Ramp.
- Assume no endangered species/environmental regions present.
- Assume no contaminated/hazardous materials present.
- Assume no geological difficulties/Liquefaction/Lateral spreading.
- Excavation shoring systems required for construction.
- Utility conflicts anticipated. (See line along North Ramp and existing Sump Drain)
- Construction equipment size and placement difficulties anticipated.
- Additional seismic investigations to be performed.
- Additional subsurface investigations to be performed.
- Aesthetic treatment included in study.
- Structural drainage issues to address.
- Railroad involvement for construction of South Ramp.

**CONSTRUCTION SEQUENCE:**

- Place K-rail along Route 101 and close work area to pedestrian traffic.
- Clear, grub and relocate utilities.
- Install Soldier Piles from non-freeway side of k-rail prior to excavation of ramps.
- Excavate in 3 to 4 foot lifts and place lagging.
- Remove old stairs, landings and existing ramps. Shoring as needed.
- Place sub-base and drainage for deeper portion of ramps.
- Attach anchor studs to soldier piles and place concrete for deeper portion of ramps.
- Grade structure backfill for upper portions of ramps.
- Construct Stairs and landing for South Ramp and upper depressed sidewalk ramp for North Ramp.
- Place Barrier Slab and concrete railing along South Ramp.
- Place hand railings, lighting and other miscellaneous items.

DESIGNED BY P. LUTZ		DATE 10-08-13	STRUCTURE DESIGN BRANCH <b>9</b>	PLANNING STUDY BUTTERFLY LANE PUC
DRAWN BY P. LUTZ		DATE 08-13		
CHECKED BY J. Ralley		DATE 10-08-13	UNIT# 3594	BRIDGE No. 51-0188
APPROVED G. Donke		DATE 10-08-13	PROJECT No. & PINES 051300002TK	CONTRACT No. 103-1E040K

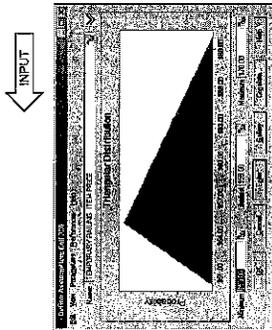
ORIGINAL SCALE IN INCHES 0 1 2 3  
 FILE # 10-053400-010-010.dgn

SHEET 3 OF 3

# PROBABILISTIC STRUCTURE COST ESTIMATE

GENERAL PLAN ESTIMATE  ADVANCE PLANNING ESTIMATE

BRIDGE NAME: BUTTERFLY LAKE PIC  
 BRIDGE NUMBER: 51-0188  
 TYPE: Suller Pile/Precast ADA Access Ramp  
 COUNTY: DS  
 FPM: 11.00  
 PROJECT ID: 051300027  
 DESIGN SECTION: 9  
 # OF STRUCTURES IN PROJECT: 1  
 EST. NO.: 2,712  
 COST INDEX: 389  
 PRICES BY: VTD  
 QUANTITIES BY: PL



The Assumption Curves, unless noted otherwise, are modeled with a triangular distribution with the "Minimum, Likeliest and Maximum values."

ITEM PRICE RANGE	MINIMUM	LIKELIEST	MAXIMUM	AMOUNT
1	\$45.00	\$100.00	\$100.00	\$7,490
2	\$75.00	\$75.00	\$75.00	\$7,400
3	\$50.00	\$90.00	\$90.00	\$13,250
4	\$40.00	\$1,000.00	\$1,000.00	\$133,300
5	\$50.00	\$900.00	\$900.00	\$51,200
6	\$38.00	\$66.00	\$4,000	\$4,000
7	\$1.15	\$1.75	\$2,193	\$2,193
8	\$65.00	\$100.00	\$127,300	\$127,300
9	\$120.00	\$210.00	\$12,075	\$82,250
10	\$80.00	\$200.00	\$82,250	\$82,250
11	\$310.00	\$390.00	\$19,600	\$4,420
12	\$155.00	\$200.00	\$4,420	\$4,420
13	\$90.00	\$63.00	\$7,290	\$7,290
14	\$3,000.00	\$4,500	\$17,900	\$17,900
15	\$4.00	\$4.50	\$1,586	\$1,586
16	\$4.00	\$7.00	\$10,484	\$10,484
17	\$9,000.00	\$75.00	\$10,000	\$10,000
18	\$15.00	\$75.00	\$55,000	\$55,000
19	\$350.00	\$700.00	\$15,980	\$15,980
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				

TIME RELATED OVERHEAD	UNIT	QUANTITY
MOBILIZATION		
SUBTOTAL BRIDGE ITEMS		
CONTINGENCIES		
SUBTOTAL		

BRIDGE REMOVAL	MINIMUM	LIKELIEST	MAXIMUM
8%		9%	10%
25%			
SUBTOTAL			

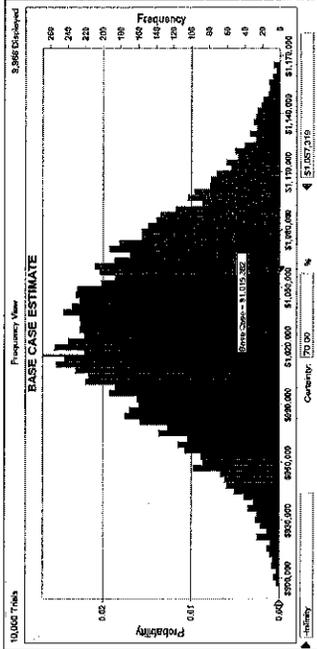
BRIDGE REMOVAL LUMP SUM PRICE INCLUDES TRO, MOBILIZATION AND CONTINGENCY

BASELINE ESTIMATE TO ASSUMED MIDPOINT OF CONSTRUCTION

BASE CASE ESTIMATE

OUTPUT

The estimate ranges generated below were prepared using Crystal Ball software. Crystal Ball software automatically calculates and records the results of thousands of different "what-if" cases. Analysis of these scenarios reveals to you the range of possible outcomes, their probability of occurring, the inputs that most impact your model, and where you should focus your efforts.



Percentiles:

0%	\$871,575
10%	\$968,996
20%	\$989,644
30%	\$1,005,229
40%	\$1,017,951
50%	\$1,030,554
60%	\$1,043,232
70%	\$1,057,319
80%	\$1,073,093
90%	\$1,094,206
100%	\$1,191,471

Forecast values

Escalation Rate	0.30%
Budget Est.	\$1,076,000
Escalated	\$1,091,000
Midpoint	\$1,118,000
Years Beyond	2.90%
1	\$1,150,000
2	\$1,179,600
3	
4	
5	

BASED ON THE ASSUMPTIONS USED TO CREATE THE MODEL, THE DES-STRUCTURE OFFICE ENGINEER RECOMMENDS THAT THIS PROJECT BE DESIGNATED AT THE 80% FORECAST VALUE.

Recommended Range

80% FORECAST VALUE = \$1,073,000.00

\*80% Forecast Value Escalated Budget Estimate to Assumed Midpoint of Construction

Escalated structure cost is provided for information only, actual construction costs may vary. Escalated structure costs provided do not replace Departmental policy to update cost estimates annually. Escalation rates used are based on Global Insight data posted at <http://www.doa.gov/govinfo/costest/datab.htm>. Web page updated April 2011.

80% Forecast = \$298

BRIDGE COST PER SQUARE FOOT =

BRIDGE REMOVAL =

Bridge Cost per Square Foot and/or Bridge Removal costs included independently. Their 80% Forecast Values Provided for informational purposes only.

Comments

\* Cost for replacement of the sump pump provided by Mechanical Branch

Notes

Highlighted cells represent the quantities and prices that are included in the model. Base Case Estimate is the sum of the Quantity multiplied by "Likeliest" Item Price

**Memorandum**

To: Rochelle Vierra

Date: 3/20/2014

Attn: Aaron Henkel

File: CD 05 EA 1E0401 Alt NA

Co SB RTE 101

John Fouche

**DESCRIPTION:**

ADA compliance for the Butterfly Lane pedestrian undercrossing.

From: Department of Transportation  
Division of Right of Way Central Region

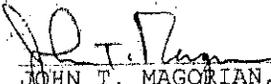
Subject: RIGHT OF WAY DATA SHEET

We have completed an estimate of the right of way costs for the above-referenced project based on the Right of Way Data Sheet Request Form dated 3/3/2014

The following assumptions and limiting conditions were identified:**Appraisal****Utility**

The location on Highway 101 is within a freeway/expressway and thus the underground utilities should be transverse crossings that are encased. Utility relocations may be subject to master agreements, 50% / 50% split. Comply with USA alert requirements at all project locations, including at construction sign locations. The permit record and archived plans provide inadequate information pertaining to utility facilities delineations in the project area. IT IS RECOMMENDED THAT UTILITY VERIFICATION PLANS BE PROVIDED BY DESIGN IMMEDIATELY SO THAT UTILITY VERIFICATIONS CAN BE REQUESTED FROM THE UTILITY OWNERS. UTILITY VERIFICATIONS WILL ALLOW FOR A POSITIVE-LOCATION (potholing) REQUEST TO BE DEVELOPED AS SOON AS POSSIBLE! If relocation is necessary it can take from 9 to 18 months after positive-location is finished to develop relocations plans and then actually complete the physical relocation work. Without utilities plotted on the design plans it is impossible to know the full extent of any utility involvements on this project or the associated costs to relocate. Costs included below are "ballpark" type and were requested by the P.E. for planning discussions. Revisions will be made once all information is available. Utility Verification plans are to be mailed to all identified six (6) Utility Owners in the project area so that the Utility Owners have the opportunity to verify the approximate delineations of their facilities. If utility relocations prove to be necessary; these utility relocations will need to be coordinated with construction, the schedule for this project may need to be extended and the estimated costs for utilities will likely increase.

Right of Way Lead Time will require a minimum of 24 months after we receive Certified Appraisal Maps and/or Utility Conflict Plans, obtained necessary environmental clearance and applicable freeway agreements have been approved.

  
JOHN T. MAGORIAN, Sr. Right of Way Agent  
San Luis Obispo Field Office  
(805) 549-3002

**Right Of Way Cost Estimate**

	Current Year 2014	Contingency Rate	Right of Way Escalation Rate	Escalated Year 2018
Acquisition:	\$62,500	25%	5%	\$75,969
Mitigation:	\$12,500	25%	5%	\$15,194
State Share of Utilities:	\$627,500	25%	5%	\$762,730
Expert Witness:	\$18,750	25%	5%	\$22,791
Relocation Assistance:	\$0	25%	5%	\$0
Demolition and Clearance:	\$0	25%	5%	\$0
Title and Escrow:	\$2,344	25%	5%	\$2,849
Ad Signs:	\$0	25%	5%	\$0
<b>Total Current Value:</b>	<b>\$723,594</b>			<b>\$879,533</b>

If RW Cost Est fields are blank, Costs = \$0

Estimated Construction Contract Work (CCW):

0 R/W LEAD TIME/Mo. 24

**Cost Break Down**

Pot Hole	2,000
<b>Mitigation</b>	
Land	0
Bank	0
Permit Fees	10,000

**RR Involvement**

Railroad Facilities or Right of Way Affected?	yes
Const/Maint Agreement:	no
Service Contract:	yes
Right of Entry:	yes
Clauses:	yes
Estimated Lead-time	24 mon

**Parcel Data**

# of Parcel Type X:	0		
# of Parcel Type A: less than \$10,000 non-complex	1		
# of Parcel Type B: more than \$10,000 non-complex	0		
# of Parcel Type C: complex, special valuation	0		
# of Parcel Type D: most complex and time consuming	0	# of Duals Needed:	0
<b>Totals:</b>	<b>1</b>	<b>Totals:</b>	<b>0</b>

# of Excess Parcels: 0

**Misc R/W Work**

# of RAP Displacements:	0
# of Clearance/Demos:	0
# of Const Permits:	0
# of Condemnations:	1

**Utilities**

U4-1: Owner Expense	
U4-2: State Expense, Conventional no Fed Aid	
U4-3: State Expense, Freeway no Fed Aid	
U4-4: State Expense, both with Fed Aid	1
U5-7: Utility verification, no relocation/potholing	4
U5-8: Utility verification, w/ some relocation/potholing	
U5-9: Utility verifications, relocation/potholing required	1

EA: 05-1E0401 ALT: NA

	Parcel Area	Unit:	s.f.
Total R/W Required:	0	Total R/W Cost:	\$0
Total Excess Area:	0	Total Excess Cost:	\$0

**General Description of R/W and Excess Lands Required (zoning, use, major improvements, critical or sensitive parcels, etc.):**

According to our Railroad agent, this is going to be an extremely difficult parcel to acquire and if there is any way to construct this project without it, we should look hard at that option. Reducing the size of the TCE will not have an affect on value or increase the likelihood of a uncontested acquisition.

**General Description of Utility Involvement:**

This project is to replace the existing stairs with a ramp to accommodate ADA requirements due to a local complaint received by the County Supervisors as it is currently unaccessible for wheelchair to the undercrossing. The PE states in the DS request dated 2/14/14 due 3/14/14 that it will be necessary to pothoethe gas line. A Permit search was not completed, and relocations ARE required. Work is adjacent to Railroad right of way and some is inside of City of Santa Barbara right of way.

Is there a significant effect on assessed valuation:

No

Were any previously unidentified sites with hazardous waste or material found:

No

Are RAP displacements required:

No

# of single family:

0

# of multi-family:

0

# of business/nonprofit:

0

# of farms:

0

Sufficient replacement housing will be available without fast resort housing:

N/A

Are material borrow or disposal sites required:

No

Are there potential relinquishments or abandonments:

No

Are there any existing or potential airspace sites:

No

Are environmental mitigation parcels required:

Yes

**Data for evaluation provided by:**

Estimator:

Railroad Liaison Agent:

sah

3/7/2014

Utility Relocation Coordinator:

Robert H. Davis

3/12/2014

*I have personally reviewed this Right of Way Sheet and all supporting information. I find this Data Sheet complete and current, subject to the limiting conditions set forth.*

Date

ENTERED PMCS

3/20/2014

BY: Patrick Mason

John T. Magorian

Sr. Right of Way Agent, Right of Way



Dist-County-Route: 05-SB-101

Post Mile Limits: 11.0

Project Type: Reconstruct Pedestrian Undercrossing

Project ID (or EA): 05-1300-0027-K (05-1E040K)

Program Identification: 201.378

- Phase:  PID  
 PA/ED  
 PS&E

Regional Water Quality Control Board(s): Central Coast, Region 3

- |   |                              |  |
|---|------------------------------|--|
| 1. Is the project required to consider incorporating Treatment BMPs?                                    | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| 2. Does the project disturb 5 or more acres of soil?  | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| 3. Does the project disturb more than 1 acre of soil and not qualify for the Rainfall Erosivity Waiver? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| 4. Does the project potentially create permanent water quality impacts?                                 | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| 5. Does the project require a notification of ADL reuse   | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

If the answer to any of the preceding questions is "Yes", prepare a Long Form - Storm Water Data Report.

Estimate Construction Start Date: Spring 2018 Construction Completion Date: Fall 2020

Separate Dewatering Permit (if yes, permit number) Yes  Permit # \_\_\_\_\_ No

Erosivity Waiver Yes  Date: \_\_\_\_\_ No

*This Short Form - Storm Water Data Report has been prepared under the direction of the following Licensed Person. The Licensed Person attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Professional Engineer or Landscape Architect stamp required at PS&E.*

Aaron P. Henkel 2/20/14  
 Aaron Henkel, Registered Project Engineer Date

*I have reviewed the stormwater quality design issues and find this report to be complete, current and accurate:*

(Stamp Required for PS&E only) FOR Andrew Pochwatka Date  
 Andrew Pochwatka, Regional SW Coordinator or Designee

# DISTRICT 5 TRAFFIC MANAGEMENT PLAN CHECK LIST

District/EA: 05/1E0400  
 Project Engineer: Aaron Henkel  
 Date Prepared: 1/27/2014

Co.-Rte-PM: SB-101-11.0  
 Description: Butterfly Lane ADA  
 Working Days: 180 days

**Check each box and reference your attachments to the item(s) number(s) shown on the list.**

**1.0 Public Information**

- 1.1 Public Awareness Campaign
- 1.2 Other Strategies

Required	Not required	Not Applicable	COMMENTS
<input checked="" type="checkbox"/>			Include \$15,000 in TMP-Public Info (066063)
	<input checked="" type="checkbox"/>		

**2.0 Motorist Information Strategies**

- 2.1 Changeable Message Signs
- 2.2 Construction Area Signs
- 2.3 Highway Advisory Radio (fixed and mobile)
- 2.4 Planned Lane Closure Web Site
- 2.5 Caltrans Highway Information Network (CHIN)

Required	Not required	Not Applicable	COMMENTS
<input checked="" type="checkbox"/>			Provide one unit@ \$200/day - \$18,000
<input checked="" type="checkbox"/>			
	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/>			Construction to provide information to TMC
<input checked="" type="checkbox"/>			Construction to provide information to TMC

**3.0 Incident Management**

- 3.1 COZEEP/MAZEEP
- 3.2 Freeway Service Patrol
- 3.3 Emergency Contact Numbers

Required	Not required	Not Applicable	COMMENTS
<input checked="" type="checkbox"/>			Include \$200/hour nights.
	<input checked="" type="checkbox"/>		
	<input checked="" type="checkbox"/>		

**4.0 Traffic Management Strategies**

- 4.1 Lane/Ramp Closures Charts
- 4.2 Total Facility Closure
- 4.3 Coordination with adjacent construction
- 4.4 Contingency Plan
  - 4.4.1 Material/Equipment Standby
  - 4.4.2 Emergency Detour Plan
  - 4.4.3 Emergency Notification Plan
- 4.5 SSP 12-220 and Others
- 4.6 Other Strategies:

Required	Not required	Not Applicable	COMMENTS
<input checked="" type="checkbox"/>			To be provided during PS&E
	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/>			
<input checked="" type="checkbox"/>			Standard
	<input checked="" type="checkbox"/>		Construction/Contractor to provide
	<input checked="" type="checkbox"/>		Construction/Contractor to provide
	<input checked="" type="checkbox"/>		Construction/Contractor to provide
<input checked="" type="checkbox"/>			
<input checked="" type="checkbox"/>			Please include \$200/working day in 066070
	<input checked="" type="checkbox"/>		
<input checked="" type="checkbox"/>			

Supplemental funds - Maintain Traffic (066070)

Consider incentive for early completion.

Special Days: La Fiesta

**5.0 Anticipated Delays**

- 5.1 Lane Closure Review Committee  
(for anticipated delays over 30 minutes)
- 5.2 Planned freeway closures
- 5.3 Minimal delay anticipated -  
no further action required

Required	Not required	Not Applicable	COMMENTS
	<input checked="" type="checkbox"/>		
	<input checked="" type="checkbox"/>		

yes     no

Shayne Sandeman  
 District TMP Coordinator

## CENTRAL REGION DISTRIBUTION LIST

Division/Program/Office	Project Type	DE	
EHWA	Designated high profile projects only. Refer to Stewardship Agreement	Dominic Hoang	1
HQ Division of Design	All Projects	Design Report Routing	1
HQ Division of Engineering Serv	All Projects	Division of Engineering Services	5
HQ Transportation Programming	SHOPP	Rick Guevel	1
HQ Environmental	All Projects	Bob Pavlik	1
HQ Traffic Ops/Traffic Safety Pgm	HB711	Darold Heikens	1
Project Manager	All Projects	Project Manager	1
Design Manager	All Projects	Design Manager	2
Resident Engineer	All Projects	Resident Engineer	1
District Maintenance	All Projects	Lance Gorman	1
	SHOPP	Kelly McClain	1
District Traffic Management	All Projects	Jacques Van Zeverter	1
District Traffic Safety	All Projects		1
District Traffic Safety	SB/SBt	Scott Morris	1
Region Traffic Design	All Projects	Mohammed Qatami	1
District Traffic Operations	All Projects	Paul McClintic	1
District Traffic Management	All Projects	Jacques Van Zeverter	1
Region Materials	All Projects	Doug Lambert	1
Region Environmental	All Projects	Susan Schilder	1
Region Landscape	All Projects	Dennis Reeves	1
Region Right of Way	All Projects	Connie Shellooe	1
District Planning	All Projects	Claudia Espino	1
PPM	All Projects	Linda Araujo	1
District Single Focal Point	All Projects	No Copy	0
Surveys	All Projects	Jeremy Villegas	1
	SB/SLO	Nick Tatarian	1
HQ DES/OPPM	Proj w/Structures	Andrew T S Tan	1
District Records	All Projects	Pat Duty (electronic copy only)	0

**ATTACHMENT H**

**RISK REGISTER CERTIFICATION (ACCOUNTABILITY CHECKPOINTS) FORM**

PPM-0001 (REV 07/2013)

The risk register is to be approved and signed-off by the District Deputies\* listed below for all scalability levels. By signing this form, you are certifying that you have reviewed the risks documented in the register and agree that they have been managed to the extent possible by the PDT.

Project Information:  Capital Project  Major Maintenance Project (Check One) Total Estimated Cost: \$6,290,000

Project ID/District-EA 0513000027 / 05-1E040

Project Description IN SANTA BARBARA COUNTY AT BUTTERFLY LANE PEDESTRIAN UNDERCROSSING - ADA COMPLIANCE

Project Manager (PM) ROCHELLE VIERRA

Project Risk Manager ROCHELLE VIERRA

(For Risk Level 3 Projects)

No Risk Register Certification Required - - Check box if project is less than \$1 million in total cost and risk register not prepared. Sign below and submit this form with PID, PA&ED, PS&E submittal, and RE Handoff File (as applicable).

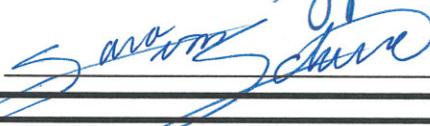
Project Manager Signature \_\_\_\_\_ Date: \_\_\_\_\_

**PA&ED (Required for Capital Projects Only)**

ROCHELLE VIERRA  
Project Manager  Date: 5/29/14

CHRISTINE COX-KOVACEVICH  
Chief, Central Region Environmental  Date: 5/28/14

*for* BRIAN EVERSON  
Chief, Central Region Project Development  Date: 5/28/14

SARA VON SCHWIND  
Deputy District Director, Program/Project Management  Date: 6.2.14

**Prior to PS&E (Required for Capital Projects and Major Maintenance Projects)**

Choose an item.

Project Manager \_\_\_\_\_ Date: \_\_\_\_\_

BRIAN EVERSON  
\*Chief, Central Region Project Development \_\_\_\_\_ Date: \_\_\_\_\_

MARK DER MATOIAN  
Chief, Central Region Construction \_\_\_\_\_ Date: \_\_\_\_\_

LORI GUINAN  
Chief, Central Region Right of Way \_\_\_\_\_ Date: \_\_\_\_\_

CHRISTINE COX-KOVACEVICH  
\*\*Chief, Central Region Environmental \_\_\_\_\_ Date: \_\_\_\_\_

SARA VON SCHWIND  
Deputy District Director, Program/Project Management \_\_\_\_\_ Date: \_\_\_\_\_

\*or Deputy District Director, Maintenance & Operations signature for HM Projects designed by the District Maintenance Division

\*\*or Deputy District Director, Transportation Planning signature for HM Projects environmentally cleared by the District Environmental Stewardship Branch

# Risk Register

Project ID (CD-EA)		051300027 (05-1E040_)		Project Name: Butterfly Lane ADA Co - Rte - PM: SB - 101 - 11.0						Project Manager: Rochelle Vierra Telephone: 805-549-3003				Date Register Created:	Date Register Last Updated:	
Item	Risk ID	Risk Statement	Status of Risk	Opportunity or Threat	RBS Risk Category	Date Risk Identified	Objective	L / NL Impact Scale	Probability (P)	Impact (I)	Risk Rating	Strategy Type	Response Description	Risk Owner	Next Review Date	
1	051300027 (05-1E040_)-01	As a result of drilling for the CDIH piles, an encounter with ground water containing hydro carbons may occur that could lead to additional cost due to the handling and disposal of the contaminated water	Active	Threat	ENV	03/10/14	COST	Nonlinear	2=Low (10-19%)	2 =Low	4	Low	MITIGATE	Reevaluate as project progresses and studies are completed; keep cost estimate up to date; If risk results in a significant cost increase a PCR would need to be completed for additional funds	Valerie Levulett / James Tkach	
2	051300027 (05-1E040_)-02	As a result of drilling for the CDIH piles, an encounter with soil containing hydro carbons may occur that could lead to additional cost due to the handling and disposal of the contaminated soil	Active	Threat	ENV	03/10/14	COST	Nonlinear	2=Low (10-19%)	2 =Low	4	Low	MITIGATE	Reevaluate as project progresses and studies are completed; keep cost estimate up to date; If risk results in a significant cost increase a PCR would need to be completed for additional funds	Valerie Levulett / James Tkach	
3	051300027 (05-1E040_)-03	As a result of the discovery of nesting birds, a prohibition of tree removal during nesting season may occur that could lead to a delay in the Construction (CON) schedule	Active	Threat	ENV	03/10/14	TIME	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Adjust schedule as project progresses to avoid nesting season; Consideration for removal of trees outside nest season (between August 1 to February 15)	Larry Bonner / James Walth	
4	051300027 (05-1E040_)-04	As a result of the discovery of nesting birds, a work buffer radius of 250 feet from the nest may occur that could lead to a delay in the Construction (CON) schedule	Active	Threat	ENV	03/10/14	TIME	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Adjust schedule as project progresses to avoid nesting season;	Larry Bonner / James Walth	
5	051300027 (05-1E040_)-05	As a result of discussions with the City of Santa Barbara regarding the Local Coastal Program (LCP) in relation to the trees proposed for removal being a Monarch butterfly resource, a requirement for protocol surveys may occur that could lead to a delay in receiving a coastal development permit (CDP), which may also cause an increase in PS&E support costs	Active	Threat	ENV	03/10/14	TIME	Nonlinear	2=Low (10-19%)	4 =Med	8	Med	MITIGATE	Pursue early coordination with the City of Santa Barbara after programming; Reevaluate needs as project progresses and design progresses; keep schedule up to date; If risk results in a significant increase to a task duration a PCR may be needed to adjust schedule.	Matt Fowler / Paula Huddleston	
6	051300027 (05-1E040_)-06	As a result of an appeal during the coastal development permit (CDP) application process, a need to address and potentially redesign project features may occur that could lead to a delay in receiving a coastal development permit (CDP)	Active	Threat	ENV	05/21/14	COST	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID		Matt Fowler / Paula Huddleston	
7	051300027 (05-1E040_)-07	As a result of discussions with the City of Santa Barbara regarding the Local Coastal Program (LCP) in relation to the trees (aka "Skyline" trees) proposed for removal being a Monarch butterfly resource, replanting within project limits becomes a condition of the coastal development permit (CDP) may occur that could lead to a delay in receiving a coastal development permit (CDP)	Active	Threat	ENV	03/10/14	TIME	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Project will consider replanting within project limits to the extent possible; Pursue early coordination with the City of Santa Barbara to discuss opportunities for planting within the project limits	Matt Fowler / Paula Huddleston	
8	051300027 (05-1E040_)-08	As a result of discussions with the City of Santa Barbara regarding the Local Coastal Program (LCP) in relation to the trees (aka "Skyline" trees) proposed for removal being a Monarch butterfly resource, replanting outside of project limits becomes a condition of the coastal development permit (CDP) may occur that could lead to a schedule delay, scope increase and cost increase to all components; This would also trigger a reevaluation as it would be outside the project limits evaluated.	Active	Threat	ENV	03/10/14	COST	Nonlinear	3=Med (20-39%)	16 =Very High	48	High	AVOID	Pursue early coordination with the City of Santa Barbara after programming; If replanting is required outside of project limits this would be an impact to ROW needs as well triggering a need to evaluate the CE	Matt Fowler / Paula Huddleston	
9	051300027 (05-1E040_)-09	As a result of discussions with the City of Santa Barbara regarding the Local Coastal Program (LCP) in relation to the "Skyline" trees proposed for removal, replanting within project limits becomes a condition of the coastal development permit (CDP) may occur that could lead to a delay in receiving a coastal development permit (CDP)	Active	Threat	ENV	03/10/14	TIME	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Pursue early coordination with the City of Santa Barbara after programming; Reevaluate needs as the project and design progresses; keep costs up to date; If risk results in a significant cost increase a PCR would need to be completed for additional funds	Matt Fowler / Paula Huddleston	

## Risk Register

Project ID (CD-EA)		051300027 (05-1E040_)		Project Name: Butterfly Lane ADA Co - Rte - PM: SB - 101 - 11.0						Project Manager: Rochelle Vierra Telephone: 805-549-3003				Date Register Created: 2/19/2014	Date Register Last Updated: 5/21/2014	
Item	Risk ID	Risk Statement	Status of Risk	Opportunity or Threat	RBS Risk Category	Date Risk Identified	Objective	L / NL Impact Scale	Probability (P)	Impact (I)	Risk Rating	Strategy Type	Response Description	Risk Owner	Next Review Date	
10	051300027 (05-1E040_-)10	As a result of a new "Policy on Borehole Backfill", a requirement to obtain a permit from the Local enforcement Agency (LEA) prior to drilling may occur that could lead to a delay in PS&E and CON and an increase in ROW capital costs for a potential permit fee	Active	Threat	DES	05/15/14	TIME	Nonlinear	4=High (40-59%)	2=Low	8	Med	MITIGATE	Work with Geotech on project specific needs and with ROW if there is a change in the ROW Capital needs for potential permit costs	Mike Finegan / Ryan Turner	
11	051300027 (05-1E040_-)11	As a result of a new "Policy on Borehole Backfill", the need to utilize A&E resources to comply with the requirement of the driller having a C-57 license may occur that could lead to an increase in costs (support and/or capital) for PS&E and CON	Active	Threat	DES	05/15/14	COST	Nonlinear	4=High (40-59%)	2=Low	8	Med	MITIGATE	Work with Geotech on project specific needs and add A&E resources to the workplan if required	Mike Finegan / Ryan Turner	
12	051300027 (05-1E040_-)12	As a result of differing site conditions discovered when completing additional Land Surveys, a need to redesign project features may occur that could lead to a delay in PS&E and CON	Active	Threat	DES	03/10/14	TIME	Nonlinear	1=Very Low (1-9%)	1=Very Low	1	Low	AVOID	DES and Design should identify Survey Requirements early and meet w/ Surveys before and after to ensure all work has been completed	John Fouche / Aaron Henkel	
13	051300027 (05-1E040_-)13	As a result of differing site conditions discovered during construction, a need to redesign project features by the Division of Engineering Services (DES) may occur that could lead to an increase in costs (support and/or capital) for Construction	Active	Threat	DES	03/10/14	COST	Nonlinear	2=Low (10-19%)	4=Med	8	Med	AVOID	Construction, DES and Design should discuss lessons learned on other projects constructed in the area to identify differing site conditions and ways to address prior to construction	John Fouche / Aaron Henkel	
14	051300027 (05-1E040_-)14	As a result of unidentified Environmentally Sensitive Area's (ESA's) in the proposed utility relocation area, a reevaluation of utility relocation plans may occur that could lead to a delay in utility relocation and construction	Active	Threat	DESIGN	03/10/14	TIME	Nonlinear	1=Very Low (1-9%)	1=Very Low	1	Low	AVOID	Coordinate with Utility companies to identify utility relocation plans; Identify ESA's within proeject limits so as the utility company can work to avoid them when deveopling their utility relocation plans	John Fouche / Aaron Henkel	
15	051300027 (05-1E040_-)15	As a result of discussions with the City of Santa Barbara Architectural Board of Review (ABR), multiple reviews of project features may occur that could lead to a delay in receiving a coastal development permit (CDP) thus delaying construction	Active	Threat	PM	03/10/14	TIME	Nonlinear	4=High (40-59%)	8=High	32	High	AVOID	Pursue early coordination with the City of Santa Barbara after programming; Reevaluate needs as the project and design progresses;	Rochelle Vierra / Scott Eades	
16	051300027 (05-1E040_-)16	As a result of discussions with the City of Santa Barbara a determination that the CEQA CE is not acceptable for the project, a reevaluation including the preparation of a Environmental Document may occur that could lead to a delay in obtaining the coastal development permit (CDP), ultimately delaying PS&E and CON	Active	Threat	ENV	03/10/14	TIME	Nonlinear	2=Low (10-19%)	2=Low	4	Low	AVOID	Pursue early coordination with the City of Santa Barbara after programming; Reevaluate need based on ongoing discussions	Matt Fowler / Paula Huddleston	
17	051300027 (05-1E040_-)17	As a result of changes in the design of project features, a change in the Temporary Construction Easements (TCE's) may occur that could lead to a delay in the Right of Way Certification thus delaying construction	Active	Threat	DESIGN	03/10/14	TIME	Nonlinear	3=Med (20-39%)	4=Med	12	Med	AVOID	Adapt and Adopt changes (if needed) early to avoid. Pursue early coordination with UPRR to ensure the TCE	John Fouche / Aaron Henkel	
18	051300027 (05-1E040_-)18	As a result of the current proposal of 8% on the ramp, a specification which calls for additional surveys for tighter control during construction may occur that could lead to an increase in costs (support and/or capital) for Construction	Active	Threat	CON	03/10/14	TIME	Nonlinear	2=Low (10-19%)	2=Low	4	Low	MITIGATE	Work closely w/ contractor and ADA coordinator to ensure ramps meet requirements for ADA	Alan Haag	
19	051300027 (05-1E040_-)19	As a result of the need for additional relief in the architectural treatment proposed, a need to redesign project features by the Division of Engineering Services (DES) may occur that could lead to a delay in PS&E and CON	Active	Threat	DESIGN	03/10/14	TIME	Nonlinear	3=Med (20-39%)	2=Low	6	Low	ACCEPT	Pursue early coordination with the City of Santa Barbara after programming to develop; Reevaluate needs as the project and design progresses	John Fouche / Aaron Henkel	
20	051300027 (05-1E040_-)20	As a result of delays in development of the final Project Initiation Document (PID) in Fiscal Year (FY) 13/14, a need for PID resources in the 14/15 Fiscal Year (FY) may occur that could lead to a reduction of PID resources for other projects planned in the 40.50 14/15 work program	Retired		PM	03/10/14							n/a - retired	Rochelle Vierra / Scott Eades		

# Risk Register

Project ID (CD-EA)		0513000027 (05-1E040_)		Project Name: Butterfly Lane ADA					Project Manager: Rochelle Vierra					Date Register Created:	Date Register Last Updated:	
				Co - Rte - PM: SB - 101 - 11.0					Telephone: 805-549-3003					2/19/2014	5/21/2014	
Item	Risk ID	Risk Statement	Status of Risk	Opportunity or Threat	RBS Risk Category	Date Risk Identified	Objective	L / NL Impact Scale	Probability (P)	Impact (I)	Risk Rating		Strategy Type	Response Description	Risk Owner	Next Review Date
21	0513000027 (05-1E040_)-21	As a result of schedule delays, failure to meet mandated ADA Program FY expenditure targets may occur that could lead to a hole in the ADA Program FY expenditure targets	Active	Threat	PM	03/10/14	COST	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Work to deliver the project on time; team needs to participate, communicate, adapt and adopt changes (if needed) early to avoid.	Rochelle Vierra / Scott Eades	
22	0513000027 (05-1E040_)-22	As a result of discussions of the project with California Public Utilities Commission (CPUC or PUC), a need to redesign project features by the Division of Engineering Services (DES) may occur that could lead to a delay in PS&E and Construction	Active	Threat	R/W	03/10/14	TIME	Nonlinear	2=Low (10-19%)	2 =Low	4	Low	AVOID	Pursue early coordination with CPUC after programming; Reevaluate needs as the project and design progresses; keep schedule up to date; If risk results in a significant task duration increase a PCR would need to be completed for additional time.	Nancy Johnson / Sally Hopkins	
23	0513000027 (05-1E040_)-23	As a result of discussions with Union Pacific Railroad regarding the project, denial of the temporary construction easement may occur that could lead to a delay in Right of Way (ROW) Certification thus a delay in CON.	Active	Threat	R/W	03/10/14	TIME	Nonlinear	3=Med (20-39%)	16 =Very High	48	High	AVOID	Pursue early coordination with UPRR after programming; Reevaluate needs as the discussion progresses;	Nancy Johnson / Sally Hopkins	
24	0513000027 (05-1E040_)-24	As a result of discussions with Union Pacific Railroad regarding the project, a suggestion by the railroad to close the at-grade intersection may occur that could lead to a delay in PS&E and Construction	Active	Threat	R/W	03/10/14	TIME	Nonlinear	3=Med (20-39%)	16 =Very High	48	High	AVOID	Pursue early coordination with UPRR after programming;	Nancy Johnson / Sally Hopkins	
25	0513000027 (05-1E040_)-25	As a result of the unknown location of 36" pipe crossing within the proposed alignment of the southerly proposed ramp, a need to redesign project features by design may occur that could lead to an increase in costs (support and/or capital) for PS&E and/or Construction, which in turn could delay PS&E and Construction	Active	Threat	DESIGN	04/16/14	TIME	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	MITIGATE	Design and Hydraulics are to meet w/ Surveys as a first item of work when the project is programmed to discuss and ensure the 36" pipe is located; If pipe is in conflict with ramp(s) then design and DES will need to evaluate effects and work with Environmental to reevaluate the Environmental Review (CE); If risk results in a significant cost increase a PCR would need to be completed for additional funds.	John Fouche / Aaron Henkel	
26	0513000027 (05-1E040_)-26	As a result of not obtaining a coastal development permit (CDP) in time to start the utility relocation, a delay in the relocation of utilities may occur that could lead to a delay in Construction	Active	Threat	ENV	05/21/14	TIME	Nonlinear	2=Low (10-19%)	4 =Med	8	Med	AVOID	Coordinate with Design for relocation plans and information needed to obtain the CDP	Matt Fowler / Paula Huddleston	
27	0513000027 (05-1E040_)-27	As a result of the discovery of cobbles when drilling the CDH piles in construction, a claim by the contractor may occur that could lead to an increase in costs (support and/or capital) for Construction	Active	Threat	DES	04/22/14	COST	Nonlinear	3=Med (20-39%)	4 =Med	12	Med	AVOID	Geotech should work w/Design and DES to identify issues early to avoid this occurring in construction; Utilize Lessons Learned from other projects constructed in the area	Mike Finegan / Ryan Turner	
28	0513000027 (05-1E040_)-28	As a result of the discovery of water during Geotechnical Investigations, obtaining a permit from the Regional Water Quality Control Board may occur that could lead to a delay in PS&E and Construction	Active	Threat	DES	04/22/14	TIME	Nonlinear	2=Low (10-19%)	8 =High	16	High	AVOID	Geotech should work w/Design and DES to identify issues early to avoid this occurring in construction; Utilize Lessons Learned from other projects constructed in the area	Mike Finegan / Ryan Turner	
29	0513000027 (05-1E040_)-29	As a result of unforeseen underground geotechnical conditions, difficult drilling operations may occur that could lead to an increase in costs (support and/or capital) for Construction	Active	Threat	DES	04/22/14	COST	Nonlinear	2=Low (10-19%)	8 =High	16	High	AVOID	Geotech should work w/Design and DES to identify issues early to avoid this occurring in construction; Utilize Lessons Learned from other projects constructed in the area	Mike Finegan / Ryan Turner	
30	0513000027 (05-1E040_)-30	As a result of the Geotechnical Investigations another type of retaining wall is recommended, a need to redesign project features by the Division of Engineering Services (DES) and/or District Design may occur that could lead to a delay in PS&E and Construction	Active	Threat	DES	04/22/14	COST	Nonlinear	3=Med (20-39%)	8 =High	24	High	AVOID	Geotech should work w/Design and DES to identify issues and wall types early to avoid this occurring;	Mike Finegan / Ryan Turner	

## Risk Register

Project ID (CD-EA)		0513000027 (05-1E040_)		Project Name: Butterfly Lane ADA						Project Manager: Rochelle Vierra				Date Register Created:	Date Register Last Updated:
				Co - Rte - PM: SB - 101 - 11.0						Telephone: 805-549-3003				2/19/2014	5/21/2014
Item	Risk ID	Risk Statement	Status of Risk	Opportunity or Threat	RBS Risk Category	Date Risk Identified	Objective	L / NL Impact Scale	Probability (P)	Impact (I)	Risk Rating	Strategy Type	Response Description	Risk Owner	Next Review Date
31	0513000027 (05-1E040_)-31	As a result of utility relocation plans being inconsistent with current assumption that the relocation will be within the current project Area of Potential Effect (APE), a reevaluation of project Area of Potential Effect (APE) may occur that could lead to a schedule delay, scope increase and cost increase to all components; This would also trigger a reevaluation of the CE as it would be outside the project limits evaluated.	Active	Threat	DESIGN	05/21/14	TIME	Nonlinear	2=Low (10-19%)	8 =High	16 High	AVOID	Develop Utility conflict maps at the begin of PS&E to start the coordination process with Utility companies as early as possible; Coordinate with Environmental for relocation plan consistency with the CE	John Fouche / Aaron Henkel	

