

# **ATTACHMENT M**

State Route 99 Improvement Project

RISK MANAGEMENT PLAN - Active Risk

Identification					Qualitative Analysis			Response Strategy		Monitoring and Control
Status	ID #	Date Identified	Threat/Opportunity Event	SMART Column	Type	Probability	Impact	Response Actions including advantages and disadvantages	Affected WBS Tasks	Responsibility (Task Manager) See Attached Contact list
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(15)	(16)	(17)
Active	5	6/20/2007	Impacts to Land use by Project (Toyota Nummi Plant TNP)	TNP impacts the scope of the project to maintain local access and the take of their parking spaces. Therefore, Alternative does not view land use equal and therefore, final comparison is difficult to quantify what the best alt. for the public - EML alt. couldn't provide continuous connection for TNP is not feasible - if Alternative 1 and 3 is chosen this Risk is High	Cost	High	High	The response strategy to mitigate impacts of Alt. 1 and 3 on the NTP would be to investigate feasibility to constructions Retaining Wall to avoid impacts to plant. Right of Way needs to review early the cost of the partial take of the NTP in comparison to the R/W cost - This would add additional cost to the project but minimal in comparison to the Right Way cost impacts because of the NTP	WBS 185 Prepare Base Maps and Plan Sheets	Martin Nishikawa
Active	6	6/20/2007	Changes in Right of Way acquisition needs due to lack of coordination with locals	Lack of potential coordination with locals land use approvals and policies and the needs of the Project	Cost	Medium	Medium	Caltrans, SCOG and Local PDT team member present to community development group of each local agency affected to raise project awareness on impacts of land use changes. IGR process to raise it to Caltrans for input	WBS 100 Project Management	PM
Active	7	6/20/2007	Impacts to Residential Neighborhoods due to minor takes	due to modifications of local streets specifically the grass strip between sidewalk and curb due to sliver acquisitions	Scope	High	Low	Focus meeting with effected community that includes local PDT members, Right of Way to explain impacts after alternative is chosen and right of way of maps are completed	WBS 225 Obtain Right of Way Interests for Project Right of Way Certification	Anthony Dorn
Active	8	6/20/2007	haven't Identify relinquish areas	delays in identify work to be done and drafting and approving agreements with the locals	Schedule	Medium	High	determine preferred alternative as soon as possible. Then start immediate discussion with locals regarding what is to be relinquished is cooperative agreement and clearly identified prior to construction	WBS 175 Circulate Draft Environmental Document and Select Preferred Project Alternative	PM
Active	9A	8/7/2007	Acquisition of right of way to be relinquished back to locals	Local Agencies have concerns if Caltrans elects to aquire right of way in the Local Agency name and the timing of when Caltrans chooses to relinquishes to the City i.e. before construction is complete	Schedule	Medium	Low	A meeting early with Caltrans right of way and local agencies to agree on the business processs and policies regarding aquisition and relinquishment that effect the locals liability	WBS 195 Right of Way Property Management and Excess Land	Anthony Dorn
Active	9	6/20/2007	Freeway Agreement Approval (with County )	Due to change in local access (eliminating one point of contact) potential conflict over project may occur with locals and delay approval of Freeway Agreement and recommended alternative	Schedule	Medium	High	Inform elected officials on impacts of project to local community and mitigation strategies to obtain consensus early on in the project - key impacts that can be addressed with elected officials for Charter Way, Golden Gate, Clark Drive and Farmington	WBS 100 Project Management	PM

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Active	10	6/20/2007	Choose Recommended Alternative	There is difficulty on obtaining consensus among the whole PDT on what the Recommended alternative should be, therefore, delaying project moving forward and securing funding for project	Schedule	High	High	Complete all analysis & studies - present a matrix to summary the alternative analysis to PDT members and obtain input pros and cons by no later Sept. PDT meeting; create a issue resolution process - Cairns PM, COG PM, Rep from City and County to recommend to Management - action item is each agency rep to get agreement to move forth in developing process (by next August 13th - All request status of this action from key members)- one suggestion of what this issue resolution process would include is an as needed Executive Committee	WBS 100 Project Management	PM
Active	11	6/20/2007	Delivery of right of way maps	resources of R/W surveyors may be inadequate to produce documents in timely manner to meet project goals for acquisition and utility relocation	Schedule	High	High	Scheduled for Jan 09 - need on-going status in PDT meeting to ensure envir. And R/W Surveyor will be completed on time. One option is to provide individual packages of maps in smaller pieces as envir. Clear project	WBS 100 Project Management	PM
Retired	12	6/20/2007	Hydraulic studies not completed	Complex Hydraulic Features additional easements or ponding basins not identified in Alt. has impacted foot print of project and Envir. Document	Schedule	Low	Low	completed	WBS 165 Perform Environmental Studies and Prepare Draft Environmental	N/A
Active	12A	8/6/2007	Added basins to the project	these basins have added additional study areas that impact the envir. Studies currently being completed for the project and the findings are unknown for these new study areas. These additional basins will require additional takes for Right of Way and potential increase cost	Schedule	High	Low	Evaluation on number of parcels required for the project once alt. is chosen and need to obtain results of Envir. Studies to see if impacts occurred	WBS 225 Obtain Right of Way Interests for Project Right of Way Certification	Anthony Dorn
Active	13	6/20/2007	Surveys	If an incomplete or inaccurate survey is performed the project will not have sufficient data to produce a quality design in sufficient time	Schedule	High	Low	Need recommended alternative before we can move forward with survey	WBS 220 Perform Right of Way Engineering	Martin Nishikawa
Active	14	6/20/2007	Scope Creep	Due to the bonding requirements and no budget increase authority the features of the project may have to be reduced or project may be eliminated	Cost	Low	High	Status potential scope creep at each PDT meeting and if anything comes up in between send e-mail or phone Project Manager	WBS 100 Project Management	PM
Active	15	6/20/2007	PDT Organizational Risk	Roles and responsibilities of Team is unclear that may lead to team not working together effectively to achieve project goals	Schedule	High	High	Develop Communication Plan for Project and change frequency of PDT meetings to monthly - will send out meeting notice for re-occurring meeting	WBS 100 Project Management	PM

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Active	16	6/20/2007	Design Exceptions	Lack of approval of Designs exceptions may change the scope of the project	Scope	Low	High	Coordinating with HQ Coordinating to ensure that the proposed exceptions are acceptable prior to submitting design exception fact sheet	WBS 180 Prepare and Approve Project Report and Final Environmental Document	Martin Nishikawa
Active	17	6/20/2007	New Standards	changes to standards change cost of project and affect scope and time	Scope	High	Low	Design coordinates closely with HQ design to stay on top of potential design standard changes planned for the future		Martin Nishikawa
Active	18	6/20/2007	Coordination of aesthetics with adjacent projects and approval by locals	delivery and final approval of plans may br impacted by City because only 2% of approval allowed and public	Cost	Medium	High	IGR status at PDT regarding local developments	WBS 100 Project Management	PM
Active	19	6/20/2007	Support cost is fixed so Project Manager needs to ensure sufficient funds is reserved for construction	Currently over budget in the PA&ED phase and the overall cost is fixed	Cost	High	High	Need to update XPM to ensure percent complete is accurate so adequate resources are identified in next fiscal year	WBS 100 Project Management	All
Active	20	6/20/2007	Full acquisitions	potential trend in central region is acquisition have tended to be 60% done by condemnation (36 months timeline to accomplish 6/2012 )	Schedule	High	High	Decrease foot print of project and decrease needed takes and not add additional takes to the project scope	WBS 225 Obtain Right of Way Interests for Project Right of Way Certification	Anthony Dorn
Active	21	6/20/2007	Sufficient resources available at CT to meet delivery requirements (HQ OE)	Is their sufficient staff available to meet the project goals	Schedule	Low	High	Revisit as part of PDT that each group feels the have sufficient resources	WBS 100 Project Management	All
Active	22	1/24/2008	R/W requesting additional resources	R/W requested resources based on current R/W Data sheet which needs to be updated based on the current number of parcels requested.	Cost	Medium	High	Need to work with R/W Staff to agree upon the necessary resources needed to complete the work and update the workplan	WBS 100 Project Management	PM/Anthony Dorn
Active	23	1/24/2008	R/W schedule is short	The schedule for R/W acquisitions may not have enough time to acquire the parcels needed, especially if there are any problems (condemnation)	Cost	Medium	High	PDT has discussed and agreed to begin appraisals after the technical studies have been completed. Properties that are common to all alternatives will be appraised first.	WBS 225 Obtain Right of Way Interests for Project Right of Way Certification	PM/Anthony Dorn