

PROJECT CHANGE REQUEST

PROJECT ID. 0112000180
 DISTRICT/EA 01-43730 PPNO 2272 PGM Doc. 2014 SHOPP PGM Del FY 15-16 PROG CODE 201.310

City Rte PM Description

PROJECT (SCOPE) DESCRIPTION: HUM 036 36.10 40.50

DOES THIS PROJECT INVOLVE PROPOSITION 1B FUND(S)? NO YES , TYPE(S) (CMIA, Route 99, STIP, SHOPP, etc.) _____

SCOPE, COST & SCHEDULE CHANGES

TYPE OF REQUEST: PGM COST PGM YEAR SCOPE SPLIT / COMBINE OTHER: _____

COMPONENT Change (\$'s in 1,000's)

NO

Cost change only!
Per Jan 2015
ACR Committee Meeting.

	EXISTING (PROGRAMMED)		PROPOSED		COST EXPENDED to Date % COMPLETE			COST CHANGE			
	Value	FY	Value	FY	Expended	% Expended	% Complete	Value	Value%	Yrs	Type
PA&ED	\$200	15/16	\$220	15/16	\$210	105%	90%	\$20	10%	0	C
PS&E	\$100	15/16	\$30	15/16	\$0	---	---	\$(70)	(70)%	0	A
R/W SUP	\$400	15/16	\$600	15/16	\$6	1.5%	5%	\$200	50%	0	A
CON SUP	\$100	15/16	\$40	15/16	\$0	---	---	\$(60)	(60)%	0	A
R/W CAP	\$20	15/16	\$1,020	15/16	\$0	---	---	\$1000	5000%	0	A
CON CAP	\$7,180	15/16	\$6,090	15/16	\$0	---	---	\$(1,070)	15%	0	A

Total \$8,000 \$8,000 \$216 \$0 0%

WHAT PHASE IS THE PROJECT IN? PRE-PGM DELIVERY YR PGM DELIVERY YR & PRE VOTE POST VOTE

Cost Change Type	Description	Data Systems Changed	
Cost Change Request Types			
A	Programming Cost Change	Programmed Budget	Approved Cost
B	Headquarters Cost Approval	CTIPS	AMS Advantage
C	District Cost Documentation		AMS Advantage
NA	No Change Proposed		
Supplemental Funds Requests			
SFR	Supplemental Funds Request		AMS Advantage If Expenditures < 100%

New Project Description: _____ City - Rte - PM - Description
 (Only If Revised) "010" Safety Project? Yes No

Project Performance	EXISTING (PROGRAMMED)		PROPOSED		PERFORMANCE CHANGE	
	Value	Units	Value	Units	Value	Units
	74	Veh hrs	74	veh hrs	0	0%

(SHOPP PRIMARY PERFORMANCE OUTPUT BY PROGRAM CODE)

1.) WHAT IS THE PROPOSED CHANGE?

The proposed change is to increase r/w support, r/w capital and decrease PS&E, construction support and construction capital. Zero net sum increase.

In addition, this PCR is proposing to combine safety project (EA 01-0E930) into the operational improvement project (01-43730) at time of CTC allocation. The new combined project EA will be 01-4373U per attached worksheet. This PCR has the support of the 201.310 and 201.010 Program Advisor.

**2.) COMPLETE THE FOLLOWING REGARDING THE LATEST TWO COST ESTIMATES.
(\$'s in 1,000's.)**

- | | | |
|-------------------------|----------------------------|---------------------|
| 1. ESTIMATE DATE: 09/12 | Con Capital \$29.7 million | RW Capital \$70k |
| 2. ESTIMATE DATE: 12/14 | Con Capital \$34.5 million | RW Capital \$1,020k |

3.) WHAT WAS THE REASON FOR THE CHANGE?

Caltrans is partnering with Federal Lands on this Operational Improvement project. Federal Lands will provide \$22.5 million for Construction Capital and Caltrans will provide \$7.180 million for a total of \$29.68 million in the 15/16 FY. During project development, the estimated CON Capital cost and RW Capital cost has been refined using more detailed surveys, geometric and geotechnical analyses. The CON Capital cost is now estimated to be \$34.5 million.

These project limits have experienced an increase in ADT since the 2004 PSR/PDS scoped this project. District 1, Traffic Safety has revisited this segment and determined a need for safety improvements. As a result, a safety project (EA 01-0E930) has been initiated to address these needs. The proposed improvements from the new safety project combined with this Operation Improvement project (01-43730) will fund all improvements being proposed between PM 36.1/40.5.

Property acquisition is required and is on the critical path. A COOP Agreement to establish roles and responsibilities between Federal Lands and Caltrans was approved after programming in the 2012 SHOPP. The 2012 SHOPP programmed only minimal R/W. As part of the COOP Agreement, Caltrans is responsible for acquiring the R/W. In order to minimize further delays, it is recommended that this PCR shift monies from Construction Capital to R/W Capital. The properties to be acquired are in remote areas that require significant travel. Also there are a few parcels that are anticipated to require the condemnation process. As a result, additional R/W support is also being requested and will also be shifted from Construction Capital.

It is also recommended that this PCR document approval to combine safety project 01-0E930 into 01-43730 at time of CTC allocation.

4.) WHEN WAS THE CHANGE DISCOVERED?

The shortfall between estimated construction capital costs and programmed capital were discovered in December 2013. The estimated need for R/W capital and R/W support was not finalized until April 2014. A PCR to increase construction capital was denied in June 2014.

5.) WHAT HAS BEEN DONE TO MINIMIZE ANY CHANGE?

The project team has continually pursued cost reduction measures during development. A Value Engineering/Value Engineering study was conducted and measures are being incorporated to minimize overall cost increases.

6.) WHAT CAN BE CONSTRUCTED WITH THE PROGRAMMED FUNDS?

It has been determined that the project can't be constructed with the programmed funds. If additional funding was not available, the scope of the project would need to be reduced or changed. Options to be considered include reduced geometric improvements and/or reduced project limits.

The safety project mentioned above has a completed Project Initiation Document (see attached) and is being requested to be amended into the 2014 SHOPP. The proposed scope of this project consists of four locations that are within the limits of the operational improvement parent project (EA 01-43730). The funding for construction of these four safety improvements will allow the parent project to fully fund the remaining operational improvement work within these limits.

7.) IF THE SCOPE IS REDUCED OR SPLIT, WOULD THE REMOVED WORK NEED TO BE REPROGRAMMED OR ADDED TO ANOTHER PROJECT?

Yes to complete the project as originally contemplated a separate project would need to be created and programmed in order to address operational deficiencies identified in the original Project Scoping Document. This would be inefficient, labor intensive, cost intensive and thus not recommended.

8.) IS A SUPPLEMENTAL SCOPING DOCUMENT NEEDED? IF YES, STATUS?

A PSR has been completed for the safety project and is attached as part of this PCR. The PSR is in the process of being amended into the 2014 SHOPP.

9.) WAS A VALUE ANALYSIS STUDY CONDUCTED? EXPLAIN THE RESULTS OF THE STUDY OR WHY A STUDY WAS NOT CONDUCTED?

Yes, a Value Analysis/Value Engineering study was conducted. Some of the alternatives were rejected, others were accepted, and others need further analysis.

10.) COST - WHERE WILL THE REQUIRED FUNDS COME FROM?

This proposal is to shift monies from Construction Capital, Construction and PS&E support to R/W Capital and R/W Support. This is a '0' net change in overall programming to EA 01-43730.

This project is now fully funded since the safety project will fund four segments of work within the overall limits.

11.) PRIOR PCR_s - LIST OTHER PCR_s PREVIOUSLY APPROVED.

A PCR was approved to shift monies from CON Capital to provide support cost for oversight.

PROJECT CONCURRENCE

12.) (A) (STIP-RIP) WHEN DID THE DISTRICT DISCUSS THIS WITH HEADQUARTERS STIP PROGRAM MANAGER AND THE RTPA OR COUNTY TRANSPORTATION COMMISSIONS STAFF? EXPLAIN THEIR REACTION.

N/A

(B) (STIP-IIP) WHEN DID THE DISTRICT DISCUSS THIS WITH HEADQUARTERS STIP PROGRAM MANAGER? EXPLAIN THEIR REACTION.

N/A

(C) (SHOPP) WHEN DID THE DISTRICT DISCUSS THIS WITH THE HEADQUARTERS

PROGRAM MANAGER? EXPLAIN THEIR REACTION.

Kien Le, SHOPP advisor for the 310 and 010 programs is in support of this PCR.

A meeting involving Rick Guevel, Kien Le, Thomas Schriber, Mark Suchanek and myself was held to discuss this project. The conclusion of the meeting was to proceed with initiating a safety PID and process a PCR that included a copy of the approved PID (attached) to combine the projects at time of CTC allocation.

13.) LESSONS LEARNED, NEW STRATEGIES (What new information pertaining to this project could be beneficial to others?)

When applications for Federal Lands projects are being submitted, recommend that District's Project Management and Design Department review any approved PIDS to be used in applications before finalizing the application.

14.) District Project Manager Signature

Richard Mullen
 Richard Mullen
 District Project Manager

 Date

707 441-5871
 Phone Number

Mark Suchanek
 Mark Suchanek
 Deputy District Director
 Program/Project Management

1/5/15
 Date

APPROVAL - COMMENTS - CONCERNS

PD Concurrence

PD Objections (detail concerns):

Note - This PCR does not reflect the strategy which was discussed w/ D+ PM on 12/19/14. It was my understanding that PCR would be to downscope EA 43730 by deleting 4 locations. A separate safety (010) project EA 06930K would then be programmed to construct those 4

15.) Comments - Concerns:

deleted locations and the two EA's would then be combined. Additionally, it should be noted that there remain unapproved non-std. design features with the original EA 43730 & new EA 06930K which have not yet received design concurrence.

Jim Deluca
 HQ Project Delivery Coordinator

Jim
 Date 1/5/15

Date

However, at this time, it is assumed that approval authority will be delegated from HQ to NH Design through the impending Baseline Memorandum Agreement

APPROVAL

Charles C. Fielder
 Charles C. Fielder
 DISTRICT DIRECTOR

Jan 5, 2015
 Date

	Approve	Deny	No HQ Action
Cost	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scope	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Schedule	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Split / Combine	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Revise & Resubmit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Monkus for
 JAMES E. DAVIS
 HQ DIVISION CHIEF
 PROJECT MANAGEMENT

1/20/15
 Date

F 25

Rachel Falsetti
 RACHEL FALSETTI
 HQ DIVISION CHIEF
 TRANSPORTATION PROGRAMMING

1/22/15
 Date

REQUIRED ATTACHMENTS

- (a) Attach 1 page copy (screenshot) of project workplan/status schedule.
- (b) Attach the current CTIPS project information.
- (c) PCR Data Worksheet, if applicable (for splits/combinations).
- (d) For STIP Projects, please attach the latest Project Programming Request (PPR).
- (e) Summary Cost Estimates, if/when needed.

PROJECT ID: 0112000180
 DISTRICT/EA 01-43730

2014 State Highway Operation & Protection Program
Humboldt County
(Dollars in Thousands)

DIST. PPNQ. EA. CTSPB ID.	TITLE DESCRIPTION:	ELEMENT:
01 2272 42738 180-0000-2428	(In and near Oriskany, on Route 36 (Forest Highway 4). Roadway improvements.)	SHOPOP Major Const.
CT PROJECT ID. 0112000100		RESPONSOR: Caltrans
COUNTY:		MPO: Rural Non-MPO
Humboldt County	ROUTE: 36	PM: 26,140.6
	Performance Measure: 1000 Vehicle Hours/Yr	Quantity: 1.00
		CORRIDOR:
		PRJ MGR: RICHARD MULLEN
		PHONE: (707) 441-8877
		CALNET:
		MPO ID: 38 LAW: 12

ASSEMBLY: 1 Implementing Agency: PAED - RW -
SENATE: 2 POE - CON -
CONGRESS: 1

PROJECT VERSION HISTORY		(Printed Version is Shaded) (Last 8 versions displayed)		Programmed Dollars in Thousands - Total For Project									
Version	Status	Date	Initiated By	Change Reason	Amend. No.	Vote	Cent. Avail.	Prop. Cost	Exec. RW	PA & EQ	P.S. & U	BX Sup	Gen. Sup
3	Official	03/26/14	DBERRY	Approved - Carry Over				7,100	20	200	100	400	100
2	Official	11/27/12	ABREGOZRI	Amendment - Cost/Scope/Spec. Change	12H-186			7,100	20	200	100	400	100
1	Official	06/12/12	DBERRY	Approved - New Project				8,505					

Fund Source 1 of 1	SHOPOP - Mobility	SAC - SHOPOP Major Const.	PROR	14/16	15/16	16/17	17/18	18/19	19/20	FUTURE	TOTAL
Route Type:											200
Rational Hwy System											100
Program Code:											400
20.XX.001.310 - Non-Capacity Increasing Operations											100
Executing Agency:											7,100
											20
											7,180
											8,505
											8,605

***** Version 3 - 03/26/2014 *****
Carryover project from 2012 to 2014 SHOPOP
***** Version 2 - 11/28/2012 *****
Made Amendment 12H-186 official - AGC
Entered amendment #12H-186 - RW
***** Version 1 - 06/12/2012 *****
New 2012 SHOPOP project.

43730 Milestones 12-11-14

01-0e930 Milestones

Task	Description	Finish	Finish
0112000180.K.M000	ID NEED	2/20/2013	2/20/2013
0112000180.K.M010	APPROVE PID	11/27/2012	11/27/2012
0112000180.0.M015	PROG PROJ	11/27/2012	11/27/2012
0112000180.0.M020	BEGIN ENVIRO	11/27/2012	11/27/2012
0112000180.0.M040	BEGIN PROJ	6/26/2012	6/26/2012
0112000180.0.M120	CIRC DPR & DED EXT	7/3/2014	7/3/2014
0112000180.0.M200	PA & ED	1/15/2015	5/1/2015
0112000180.1.M224	R/W REQTS	10/1/2014	10/1/2014
0112000180.1.M380	PROJ PS&E	10/1/2015	10/1/2015
0112000180.1.M460	RTL	2/1/2016	2/1/2016
0112000180.1.M480	HQ ADVERT	3/1/2016	3/1/2016
0112000180.1.M490	BIDS OPEN	4/1/2016	4/1/2016
0112000180.1.M495	AWARD	5/1/2016	5/1/2016
0112000180.1.M500	APPROVE CONTRACT	6/1/2016	6/1/2016
0112000180.2.M225	REGULAR RW	9/1/2014	9/1/2014
0112000180.2.M410	R/W CERT	1/1/2016	1/1/2016
0112000180.3.M600	CONTRACT ACCEPT	6/1/2018	6/1/2018
0112000180.3.M700	FINAL REPORT	6/1/2019	6/1/2019
0112000180.3.M800	END PROJ	6/1/2020	6/1/2020