

### PROJECT CHANGE REQUEST

PROJECT ID. 0300000725

DISTRICT/EA 03-4E860 PPNO 5580 PGM Doc. 2014 SHOPP PGM Del FY 14/15 PROG CODE 20.xx.201.010

Cty Rte PM Description

PROJECT (SCOPE) DESCRIPTION: PLA 193 4.4 5.4. Near Lincoln, from 0.1 mile west to 0.9 miles east of Clark Tunnel Road. Curve improvements and widening.

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)

	EXISTING (PROGRAMMED)		PROPOSED		COST EXPENDED to Date % COMPLETE			COST CHANGE			
	Value	FY	Value	FY	Expended	% Expended	% Complete	Value	Value%	Yrs	Type
PA&ED	\$1,400	14/15	\$1,676	14/15	\$1,676	119%	100%	\$276	0%	N/A	N/A
PS&E	\$1,641	14/15	\$2,600	14/15	\$2,265	138%	95%	\$959	58%	14/15	B
R/W SUP	\$743	14/15	\$1,161	14/15	\$642	86%	95%	\$418	56%	14/15	B
CON SUP	\$1,146	14/15	\$2,315	14/15	\$0	0%	0%	\$1,169	102%	14/15	A
R/W CAP	\$3,963	14/15	\$3,963	14/15	\$430	11%	10%	\$0	0%	N/A	N/A
CON CAP	\$8,500	14/15	\$10,081	14/15	\$0	0%	0%	\$1,581	19%	N/A	N/A
<b>Total</b>	\$17,393		<del>\$21,796</del> 20,083		\$5,013			\$4,403	15%		

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

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

Cty - Rte - PM - Description

New Project Description: \_\_\_\_\_  
(Only If Revised)

“010” Safety Project? Yes  No

Project Performance	EXISTING (PROGRAMMED)		PROPOSED		PERFORMANCE CHANGE		
	coll Value	Units	coll Value	Units	coll Value	coll Units	%
	80		80		0	0	0%

(SHOPP PRIMARY PERFORMANCE OUTPUT BY PROGRAM CODE)

**1.) WHAT IS THE PROPOSED CHANGE?**

Increase PS&E sup from \$1,641 to \$2,600 increase RW sup from \$743 to \$1,161, and increase CON sup from \$1,146 to \$2,315.

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

1. ESTIMATE DATE: 6/11, Con Capital \$7,402 RW Capital \$1,450
2. ESTIMATE DATE: 2/15, Con Capital \$10,081 RW Capital \$3,963

**3.) WHAT WAS THE REASON FOR THE CHANGE?**

**PS&E:** The nature of the project is complex. The foothill terrain baseline topographical data is incomplete, and the need for additional surveys has contributed to the resource burn. The traffic handling/staging plans are complex in this foothill location. Avoidance and minimization of impacts to environmental sensitive areas along the alignment continue to challenge the team. District and HQ Design are ramping up their respective proficiency with the use of the new Civil 3D software. This has led to some delays and rework. Environmental has stated that the project was originally scoped for nationwide permit. As the project matured the requirements have shifted to a Letter of Permission (an individual permit). Additional hours are also needed to manage the complex mitigation strategy for offsite creation, onsite restoration, and purchase of in lieu fee/credits for oak woodland, riparian and wetland.

**RW Support:** Design revisions during first written offer triggered new maps and revised appraisal/acquisition effort. There are known private irrigation crossings under highway identified during appraisals. This discovery required valuation of damages resulting from loss of utility during construction (including relocation plan development). Late identification of utility easements as well as utility relocation plan's impact on environmentally sensitive areas caused additional rework of utility relocation plans.

**CON SUP:** As mentioned above the project has increased in complexity as it has matured. The working days estimate has grown from 140 to 200. Environmental needs to restore, create, and monitor for 5-years the on and offsite mitigation for the 1602,401, and 404 permit requirements. The original assumption was that all mitigation would be handled through purchase of credits. Hence there were no resources identified for the post construction estimate, (T295.40). Oak tree mitigation strategy allowed for some credit to the Caltrans Coons Creek Ranch mitigation bank. This off site location requires some repair of the culverts under the access driveway. Maintenance will handle this small piece of scope that is was removed from the scope of the parent project. Six-hundred forty hours were added to task 270 for Maintenance's use for the offsite effort.

**4.) WHEN WAS THE CHANGE DISCOVERED?**

The change was discovered in August 2014. Disclosing the potential shortfall in programming at that time was considered mute because of the latent discovery. Upon council with District Management it was decided to wait until March 2015 prior to RTL to submit the PCR for the following reasons, 1. The extent of the shortfall was not fully known in August 2014, 2. Since the shortfall was discovered within the FY there was no apparent advantage in reporting it early, 3. Negotiations were concluded in February 2015 with PGE, ATT, and Wave Band for early relocation prior to the construction season. This allowed for a reduction in working days from 240 to 200. Although the construction support estimate remains above the programmed amount this current PCR reflects those savings associated with the reduction of 40 working days. Construction support estimate is now solid and ready for a Type A category PCR.

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

The PDT looked at the purpose, need, scope, and project site location to find any cost savings. Although there was a reduction of one parcel it was not enough to reduce cost. The preferred alternative represents a balance of safety improvements from the proposed geometrics of the roadway design and an effort to minimize impacts to adjacent property owners and the environment.

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

The entire project can be constructed within 120% of the current level of capital funding.

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

Scope cannot be reduced or split. It would cost more.

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

No

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

A value analysis study was not warranted in terms of the Federal and State cost threshold guidelines.

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

SHOPP

**11.) PRIOR PCRS – LIST OTHER PCRS PREVIOUSLY APPROVED.**

November 29, 2012 for increase in PAED funding and shift from 13/14FY to 14/15FY

PROJECT CONCURRENCE
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**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.**

\_\_\_\_\_

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

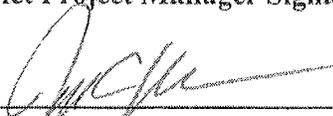
\_\_\_\_\_

**(C) (SHOPP) WHEN DID THE DISTRICT DISCUSS THIS WITH THE HEADQUARTERS PROGRAM MANAGER? EXPLAIN THEIR REACTION.**

Discussed change with John Holzhauser via phone on Feb 27, 2015 he was in agreement with the proposed changes.

**13.) LESSONS LEARNED, NEW STRATEGIES (What new information pertaining to this project could be beneficial to others?) Identification of resources at the PID and PAED level were not sufficient to account for the unknowns. Given the characteristics of the foothill setting with multiple adjacent property owners and cultural resources it would perhaps be better in the long run to place a value for uncertainty by adjusting the original resource estimate for projects that fit this characteristic profile. More frequent discussions over scope details will be facilitated by the PM for future projects.**

14.) District Project Manager Signature

  
 \_\_\_\_\_  
**JOHN HOLDER**  
 District Project Manager

2/27/15  
 Date

(530) 741 - 5448  
 Phone Number

  
 \_\_\_\_\_  
**THOMAS L BRANNON**  
 Deputy District Director  
 Program/Project Management

3/3/15  
 Date

*Handwritten: X PDK pmd*

**APPROVAL - COMMENTS - CONCERNS**

- PD Concurrence
- PD Objections (detail concerns):

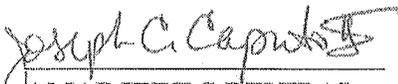
15.) Comments - Concerns:

  
 \_\_\_\_\_  
**Jim DeLuca**  
 HQ Project Delivery Coordinator

3/3/15  
 Date

**APPROVAL**

	Approve	Deny	No HQ Action
Cost	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scope	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Schedule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Split / Combine	<input type="checkbox"/>	<input 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"/>

  
 \_\_\_\_\_  
**AMARJEET S BENIPAL**  
 DISTRICT DIRECTOR

3 Mar 15  
 Date

  
 \_\_\_\_\_  
**JAMES E. DAVIS**  
 HQ DIVISION CHIEF  
 PROJECT MANAGEMENT

4/9/15  
 Date  
*for*

  
 \_\_\_\_\_  
**RACHEL FALSETTI**  
 HQ DIVISION CHIEF  
 TRANSPORTATION PROGRAMMING

4/17/15  
 Date

**REQUIRED ATTACHMENTS**

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

PROJECT ID. 0300000725  
 DISTRICT/EA 03-4E860

# State Highway Operation and Protection Program

Placer County

Document Year 2014, Version Number 6

PPNO: 5580

(Dollars In Thousands)

DIST: 03	PPNO: 5580	EA: 4E860	CTIPS ID: 107-0000-0798	TCRP No.	TITLE (DESCRIPTION): (Near Lincoln, from 0.1 mile west to 0.9 mile east of Clark Tunnel Road. Curve improvements and widening.)	ELEMENT: SHOPP Major Const.	MPO ID: 7
CT PROJECT ID: 03-0000-0725						SPONSOR: Caltrans	
COUNTY: Placer County		ROUTE: 193	PM: 4.4 / 5.4			MPO: Sacramento Area Council of Governments	
						CORRIDOR:	
						PRJ MGR:	
						PHONE:	LAW: 08
						EMAIL:	

ASSEMBLY: 4	SENATE: 1	CONGRESS: 4	IMPLEMENTING AGENCIES:	PAED	PSE	RW	CON
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PROJECT VERSION HISTORY (Printed Version Is Shaded) (Last 9 versions displayed)												
Version	Status	Date	Updated By	Change Reason	Amend No.	Vote	Cum Award	Programmed Dollars in Thousands - Total For Project				
							Prog Con	Prog RW	PA & ED	PS & E	RW Sup	Con Sup
6	Official	03/26/14	DBERRY	Approved - Carry Over			8,500	3,963	1,400	1,641	743	1,146
5	Official	01/04/13	LSTOCKTO	Amendment - Cost/Scope/Sch. Change	12H-178		8,500	3,963	1,400	1,641	743	1,146
4	Official	04/12/12	DBERRY	Approved - Carry Over			7,402	1,450	963	1,641	743	1,146
3	Official	06/14/11	AGREGORI	Amendment - Cost/Scope/Sch. Change	10H-349		7,402	1,450	963	1,641	743	1,146
2	Official	05/03/10	DBERRY	Approved - Carry Over			7,402	1,380	621	1,294	743	1,146
1	Official	08/10/09	AGREGORI	Amendment - New Project	08H-304		6,910	1,944	630	1,400	780	1,400

Fund Source 1 of 1	SHOPP - Collision Reduction	PRIOR	14/15	15/16	16/17	17/18	18/19	19/20	FUTURE	TOTAL
20.XX.201.010 - Safety Improvements		PA&ED	1,400							1,400
<b>Fund Type:</b>		PS&E	1,641							1,641
Surface Transportation Program		RW SUP	743							743
		CON SUP	1,146							1,146
		RW	3,963							3,963
		CON	8,500							8,500
		<b>Total:</b>	17,393							17,393

**HQ Comments:**  
 \*\*\*\*\* Version 6 - 03/26/2014 \*\*\*\*\*  
 Carryover project from 2012 to 2014 SHOPP  
 Made Amendment 12H-178 official. - LS  
 \*\*\*\*\* Version 5 - 01/04/2013 \*\*\*\*\*  
 Entered amendment #12H-178 - RW  
 \*\*\*\*\* Version 4 - 04/12/2012 \*\*\*\*\*  
 Carryover project from 2010 to 2012 SHOPP  
 \*\*\*\*\* Version 3 - 06/14/2011 \*\*\*\*\*  
 Made Amendment 10H-349 official - ACG  
 Entered Amendment #10H-349 - RW  
 \*\*\*\*\* Version 2 - 05/03/2010 \*\*\*\*\*  
 Carryover project from 2008 to 2010 SHOPP  
 \*\*\*\*\* Version 1 - 08/11/2009 \*\*\*\*\*  
 Made Amendment 08H-304 official - ACG  
 Entered new 2008 SHOPP Project - mb

## Afhami, Reza@DOT

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**From:** Dixon, Paulene M@DOT  
**Sent:** Wednesday, April 08, 2015 1:08 PM  
**To:** Afhami, Reza@DOT; Guevel, Rick L@DOT  
**Cc:** Holder, John C@DOT  
**Subject:** FW: 03-4E860 SI data  
**Attachments:** 03-4E860 PCR\_amended.pdf

Here is the concurrence from John. Please let me know if you need anything else. Thank you!

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**From:** Holzhauser, John F@DOT  
**Sent:** Wednesday, April 08, 2015 12:58 PM  
**To:** Holder, John C@DOT  
**Cc:** Dixon, Paulene M@DOT; Brannon, Tom L@DOT; Schriber, Thomas M@DOT; Bains, Gagandeep K@DOT  
**Subject:** FW: 03-4E860 SI data

Hello John,

I have reviewed the above revised PCR and provide my concurrence.

Thank you,

**John F. Holzhauser P.E., T.E.**  
Highway Safety and Operations Improvement Program  
Division of Traffic Operations  
Department of Transportation  
(916) 654-3748

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**From:** Holder, John C@DOT  
**Sent:** Wednesday, April 08, 2015 12:21 PM  
**To:** Holzhauser, John F@DOT; Dixon, Paulene M@DOT; Brannon, Tom L@DOT  
**Cc:** Schriber, Thomas M@DOT; Bains, Gagandeep K@DOT  
**Subject:** RE: 03-4E860 SI data

John Holzhauser:

Please see attached first sheet of the PCR with the amended values you requested to see. These changed values are a reflection the final funds request. The RW capital decreased and the construction capital increased slightly. Please note that the combined total for the RW Cap and Construction Cap is \$12.331 million < \$13 million allowable SI funding threshold.

Please review and endorse the PCR so the project can move forward.

Thank you,

John Holder P.E., P.M.P  
Project Manager  
Capital and Special Funded Projects

Marysville, CA 530 741-5448

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**From:** Holzhauser, John F@DOT  
**Sent:** Wednesday, April 08, 2015 10:56 AM  
**To:** Dixon, Paulene M@DOT  
**Cc:** Holder, John C@DOT; Schriber, Thomas M@DOT; Bains, Gagandeep K@DOT  
**Subject:** FW: 03-4E860 SI data

Hello Paulene,

As programmed with a Construction Capital of \$8,500,000 and R/W Capital of \$3,963,000, the S.I. calculates to **212**. Under the latest PCR submitted for review, the proposed cost for Construction Capital increases to \$10,081,000 and R/W Capital stays the same at \$3,963,000, but the S.I. drops to **188** failing to qualify for safety funding.

The project qualifies for up to \$13,000,000 (Construction Capital +R/W Capital). Any proposed capital cost changes also need to be explained in the PCR.

If you have any questions, please feel free to give me a call.

Thanks,

**John F. Holzhauser P.E., T.E.**  
Highway Safety and Operations Improvement Program  
Division of Traffic Operations  
Department of Transportation  
(916) 654-3748

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**From:** Holzhauser, John F@DOT  
**Sent:** Wednesday, April 08, 2015 10:15 AM  
**To:** Schriber, Thomas M@DOT  
**Cc:** Dixon, Paulene M@DOT  
**Subject:** RE: 03-4E860 SI data

We are reviewing the S.I. and I will respond to Pauline ASAP.

**John F. Holzhauser P.E., T.E.**  
Highway Safety and Operations Improvement Program  
Division of Traffic Operations  
Department of Transportation  
(916) 654-3748

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**From:** Schriber, Thomas M@DOT  
**Sent:** Tuesday, April 07, 2015 4:35 PM  
**To:** Holzhauser, John F@DOT  
**Cc:** Bains, Gagandeep K@DOT

**Subject:** Fw: 03-4E860 SI data

**Importance:** High

They are looking for validation of a safety index:

Thomas Schriber, CE, TE  
Chief, Office of Performance  
Division of Traffic Operations

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**From:** Dixon, Paulene M@DOT  
**Sent:** Tuesday, April 07, 2015 11:29 PM Coordinated Universal Time  
**To:** Schriber, Thomas M@DOT  
**Cc:** Brannon, Tom L@DOT  
**Subject:** FW: 03-4E860 SI data

Hi, Thomas. Can you help with this? Thank you.

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**From:** Dixon, Paulene M@DOT  
**Sent:** Tuesday, April 07, 2015 10:04 AM  
**To:** Holzhauser, John F@DOT  
**Cc:** Brannon, Tom L@DOT; Holder, John C@DOT  
**Subject:** RE: 03-4E860 SI data  
**Importance:** High

Good morning, John. The PCR was placed on hold at the March meeting. We need you to confirm your concurrence as stated below. Thank you.

03-4E860  5580  14/15  201.010	<b>Cost-</b> The District proposes to increase the Con Sup (Type A), PS&E (Type B), and RW Sup (Type B) for a net \$4.403M increase in the total project cost.	<b><i>The PCR Committee Recommending the District's confirmation of Highway Safety &amp; Operations regarding the proposed change unit.</i></b>
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**From:** Holder, John C@DOT  
**Sent:** Monday, March 16, 2015 1:03 PM  
**To:** Holzhauser, John F@DOT  
**Cc:** Brannon, Tom L@DOT; Dixon, Paulene M@DOT; Belanger, Adam R@DOT; Hagen, Mike J@DOT  
**Subject:** 03-4E860 SI data

John Holzhauser,

For the PCR committee's review, please see the SI that assigns the project cost of >\$12 m when the project was initiated. The most recent SI date range drops the assignment of cost to \$10m. We present both SI work sheets for comparison.

Thanks,

John Holder P.E., P.M.P  
Project Manager

Capital and Special Funded Projects  
Marysville, CA 530 741-5448

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**From:** Hagen, Mike J@DOT  
**Sent:** Monday, March 16, 2015 11:16 AM  
**To:** Holder, John C@DOT  
**Subject:** 4E860 SI

here you go

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Mike Hagen, P.E.  
Branch Chief  
D3 Traffic Safety  
530-741-5712