

PROJECT CHANGE REQUEST

PROJECT ID. 0400000129
 DISTRICT/EA 04/0A020 PPNO 0748E PGM Doc. SHOPP PGM Del FY 15/16 PROG CODE 201.131

PROJECT (SCOPE) DESCRIPTION: SON 1 15.1/15.8 Near Camet, 0.1 mile north of Del Sol Road. Realign Roadway

DOES THIS PROJECT INVOLVE PROPOSITION 1B FUND(S)? NO YES , TYPE(S) (CMLA, 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	\$ 4,500	15/16	\$ 6,500	17/18	\$4,900	109%	65%	\$2,000	44.44%	2	C
PS&E	\$ 1,800	15/16	\$ 1,800	17/18	\$0	0%	0%	\$0	0%	2	_____
R/W SUP	\$ 500	15/16	\$ 500	17/18	\$0	0%	0%	\$0	0%	2	_____
CON SUP	\$ 2,200	15/16	\$ 3,270	17/18	\$0	0%	0%	\$1,070	48.64%	2	A
R/W CAP	\$ 3,000	15/16	\$ 3,000	17/18	\$0	0%	0%	\$0	0%	2	_____
CON CAP	\$20,500	15/16	\$21,800	17/18	\$0	0%	0%	\$1,300	6.34%	2	A

Total \$32,500 \$36,870 \$4,900 \$4,370 13.45%

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	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		
Supplemental Funds Requests			
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	
	Value	Units	Value	Units	Value	Units
						%

(SHOPP PRIMARY PERFORMANCE OUTPUT BY PROGRAM CODE)

1.) WHAT IS THE PROPOSED CHANGE?

- A. Change program year from 15/16 to 17/18
- B. Cost increase of \$2,000,000 for PA&ED Support, \$1,070,000 for Construction Support & \$1,300,000 for Construction Capital

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

- 1. ESTIMATE DATE: 7/14, Con Capital \$21,800, RW Capital \$2,200.
- 2. ESTIMATE DATE: 4/13, Con Capital \$20,500, RW Capital \$2,200.

3.) WHAT WAS THE REASON FOR THE CHANGE?

A. Schedule Change

The schedule change is due to the following:

- a) The project will impact the highly endangered Myrtle's silverspot butterfly (MSB) habitat. A robust survey effort is underway to identify potentially suitable habitat for MSB within the project vicinity to develop a mitigation strategy for the impact. Per the interagency meeting held on January 26, 2014, the U.S. Fish and Wildlife Service (USFWS) strongly recommended to provide a viable mitigation strategy prior to the issuance of the biological opinion (BO). Additional time and effort is needed to find a potential mitigation location and develop a solid mitigation concept that will be approved by all permitting agencies.
- b) An individual permit is required for projects with greater than 0.5-acre of impacts to waters of the U.S and will require a 404(b) (1) alternative analysis to illustrate that the least environmentally damaging proposed alternative (LEDPA) has been selected. This project will impact 0.45 acre of wetland under the jurisdiction of the U.S. Army Corps of Engineers (USACE) and California Coastal Commission (CCC). Since there is a high potential that the project wetland impacts may approach the threshold of 0.5 acre, the PDT decided to include the LEDPA analysis in the EIR/EA to manage the risk. This will allow the agencies to review the analysis and any concerns can be addressed ahead of the environmental permitting phase. Since the project will include three alternatives as part of the EIR/EA, additional time is needed to follow the 404(b) (1) guidelines.
- c) A public scoping meeting was held on March 26, 2014 and twenty six public comments were received. Most of the comments were related to impacts to plant and animal species at Scotty Creek and surrounding wetlands, access to Gleason Beach, coastal trail and bike access. Based on the comments received from the scoping meeting, the PDT is expecting to receive numerous comments once the Draft Environmental Document (DED) is released to the public. Additional four months than previously anticipated is needed to analyze and respond to these comments.

Major tasks accomplished since July 2013:

- August 7, 2013 - One property, the Gleason-Mann-Ballard Ranch, was determined eligible for listing on the California Register of Historical Resources (CRHR) and the State Historic Preservation Officer (SHPO) concurred with the eligibility determination. Under CEQA, mitigation measures will be proposed and developed due to the substantial adverse impact the project could have on the property.
- December 2013 – The archaeological subsurface investigation was completed in December 2013 following several months of agency coordination; this constitutes a major milestone towards completing PA&ED
 - Section 7 consultation: Biological Assessment (BA) submitted - May 22, 2013; Biological Opinion (BO) received - August 21, 2013
 - ACOE 404 permit application submitted - July 18, 2013; permit received - August 29, 2013
 - RWQCB 401 permit application submitted - July 19, 2013; permit received - September 6, 2013
 - Coastal development permit submitted - July 25, 2013; met with Sonoma County as requested to discuss permit application – October 22, 2013; permit exemption received October 28, 2013
 - Permit-to-enter received from property owner – October 31, 2013
 - Archaeological subsurface investigation started – November 14, 2013; completed December 13, 2013; delay in between due to rainy days and holidays

Six archaeological sites have been recorded. The archaeological testing report is currently being prepared which will determine the eligibility of the recorded sites. The report is expected to be completed by the end of October 2014 and SHPO concurrence anticipated in December 2014.
- January 2014 - The PDT hosted an interagency meeting to update all the stakeholders on the status of the project. The California Coastal Commission and Sonoma County requested that the District conduct one or more community outreach meetings because of the nature of the project, environmental sensitivity of the project area and as part of identifying context sensitive solutions. These public outreach meetings, which in scope are beyond the traditional public meeting, will disclose and discuss the details of the project alternatives and work towards identifying context sensitive solutions for challenges such as pedestrian beach access, the numbers of access roads, sea level rise and public parking.
- March 17, 2014 - The District filed a Notice of Preparation (NOP) to the State Clearinghouse stating that an EIR will be prepared for the project. The NOP was circulated to state, federal, and other public agencies having responsibility for funding or approving the project.
- March 26, 2014 - The District held a public scoping meeting. The comment period ended on April 17, 2014. These comments will be analyzed and included in the DED.

Technical Studies Completed to Date:

1. Habitat assessments for California Red-legged frog (CRLF), monarch butterfly, California fresh water shrimp and Myrtle's silverspot butterfly
2. Water quality report
3. Preliminary geotechnical report
4. Paleontological identification report
5. Preliminary drainage report
6. Rare plant survey (2.5 years)
7. Coastal wetland delineation
8. Archaeological survey report
9. Historic property survey report
10. Coastal erosion analysis (erosion study)

Outstanding Technical Studies/Analysis and Target Dates

1. Natural environment study (NES) - October 2014
2. BA-October 2014; BO-April 2015 (includes identifying mitigation location and strategy for MSB)
3. Archaeological Testing Report – October 2014
4. Visual Impact Assessment (VIA) – October 2014
5. Section 4(f)/Parks and Recreation
6. Community Impacts Assessment and Environmental Justice
7. Farmland Study
8. Climate Change
9. Cumulative Impacts
10. Transportation Management Plan (TMP)
11. Consistency with Plans/Programs
12. Paleontological Evaluation Report (PER)/ Paleontological Mitigation Plan (PMP)
13. Location Hydraulic Study report
(Note: Target completion for items 5-13 is November 2014)

Steps and Schedule to Complete DED:

1. All technical studies completed and signed – December 2014
2. Administrative DED – March 2015 (includes LEDPA analysis)
3. District Quality Control Review – April 2015
4. DEA/Legal Review – May 2015
5. DED Approval – June 2015

Steps and Schedule to Complete FED:

1. DED Public Circulation/Public Meeting – July 2015
2. Respond to Public Comments and prepare Administrative FED – August 17, 2015 to March 8, 2016
3. Final Paleontology Report – August 2015
4. District Quality Control Review - April 2016
5. DEA/Legal Review – May 2016
6. FED Approval – June 2016

Based on the above information, the new target PA&ED date will be June 2016. With the 18-month lead time for R/W, the target for R/W certification and RTL will be December 2017.

B. Cost Increase

Most of the additional funds from the previous approved PCR were spent on completing the subsurface archaeological investigation which included obtaining permits from various resource agencies as listed in Section A. Consultants helped in the investigation, coordinating with the tribe and obtaining all the permits required. Several A&E task orders were executed for this effort, which were not anticipated previously.

- Based on the outstanding tasks mentioned above, an additional \$2,000,000 is needed to complete the PA&ED. The District will utilize the services of consultant to prepare the EIR/EA and all remaining technical studies which will cost about \$1,300,000.
- The additional Construction Support cost of \$1,070,000 is needed for extensive coordination and biological monitoring during construction, post monitoring and reporting to all permitting agencies.
- The additional Construction Capital of \$1,300,000 is based on 5% escalation rate for the 2018 construction year.

Risk that could affect the project delivery schedule and cost:

- California Coastal Commission permit requirements and concerns may include: relinquishment or abandonment of the existing Highway 1 after the completion of the realignment project, inclusion of coastal trail within the project area, maximum public access and recreational opportunities such as pedestrian and bicycle use
- R/W acquisition – property owners may be unwilling to sell and the potential of lengthy condemnation process

4.) WHEN WAS THE CHANGE DISCOVERED?

- A. The need for schedule change was discovered during the January 2014 interagency meeting.
- B. Change in PA&ED Support cost overrun was discovered in March 2014. Change in the Construction Capital and Support were discovered in July 2014.

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

The PDT has been proactively coordinating with various environmental resource agencies, local agencies, community and permitting agencies to reach consensus on various project issues.

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

The programmed amount is based on the most expensive design alternative. If the preferred alternative after the FED is other than the expensive one then the entire project can be constructed with the programmed amount.

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

Not Applicable

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

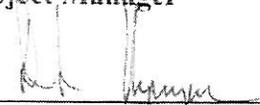
A supplemental scoping document is not needed but a Project Report will be prepared to document the preferred alternative.

14.) District Project Manager Signature


LILIAN A. ACORDA
District Project Manager

10/2/14
Date

(510) 286-4927
Phone Number


DOANH NGUYEN
Deputy District Director
Program/Project Management

10/3/14
Date

APPROVAL - COMMENTS - CONCERNS

- PD Concurrence
- PD Objections (detail concerns):

15.) Comments - Concerns:

LARRY T. MOORE
HQ Project Delivery Coordinator

Date

APPROVAL

		<u>Approve</u>	<u>Deny</u>	<u>No HQ Action</u>
	<u>10-7-14</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BIJAN SARTIPI	Date	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DISTRICT DIRECTOR		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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	<u>10/23/14</u>		<u>10/29/14</u>
JAMES E. DAVIS	Date	RACHEL FALSETTI	Date
HQ DIVISION CHIEF		HQ DIVISION CHIEF	
PROJECT MANAGEMENT	<i>for</i>	TRANSPORTATION PROGRAMMING	

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/combines).
- (d) For STIP Projects, please attach the latest Project Programming Request (PPR).
- (e) Summary Cost Estimates, if/when needed.

PROJECT ID. 0400000129
DISTRICT/EA 04/0A020

PROGRAM SCHEDULE CHANGE

Description of Schedule Change

Current Delivery Plan commitment for RTL (*month and year*): 6/1/16

Proposed Revision to Delivery Plan commitment for RTL (*month and year*): 6/1/17

Proposed Schedule Change

Milestones	Major Milestones	Original Target (if completed, check marks)	Proposed Target
MS 120	CIRC ED	4/1/14	6/1/15
MS 200	PAED	12/1/14	6/1/16
MS 380	PS&E	2/1/16	8/1/17
MS 410	R/W CERT	6/1/16	12/1/17
MS 460	RTL	6/1/16	12/1/17
MS 480	ADV	8/1/16	2/1/18
MS 500	APPROVED CONTRACT	9/1/16	4/1/18
MS 600	JOB COMPLETE (CCA)	12/1/17	12/1/18

* Attachment D is not necessary for Splits or Combines.

For Toll projects only:

Impact on Project Schedule: Yes No If yes, please list revised project schedule milestone date, including "Open to Traffic date" and "Seismic Retrofit Complete date"

	Original Target	Proposed Target
Open to Traffic date		
Seismic Retrofit Complete date		

State Highway Operation and Protection Program

Sonoma County

Document Year 2014, Version Number 5

PPNO: 0748E

(Dollars in Thousands)

DIST: PPNO:	EA:	CTIPS ID:	TCRP No:	TITLE (DESCRIPTION):	ELEMENT:	MPO ID: 6
04 0748E	0A020	106-0003-1824		(Near Camel, 0.1 mile north of Del Sol Road. Realign roadway.)	SHOPP Major Const.	
CT PROJECT ID:					SPONSOR:	Caltrans
04-0000-0129					MPO:	Metropolitan Transportation Commission
COUNTY:		ROUTE:	PM:		CORRIDOR:	
Sonoma County		1	15.1 / 15.8		PRJ MGR:	Lilian Accorda
					PHONE:	(510) 286-4927 LAW: 10
					EMAIL:	

ASSEMBLY:	IMPLEMENTING	PAED	RW
SENATE:	AGENCIES:	PSE	CON
CONGRESS:			

PROJECT VERSION HISTORY (Printed Version is Shaded) (Last 9 versions displayed)				Programmed Dollars in Thousands - Total For Project								
Version	Status	Date	Updated By/Change Reason	Amend No.	Vote	Cum Award	Prog Con	Prog RW	PA & ED	PS & E	RW Sup	Con Sup
5	Official	03/26/14	DBERRY Approved - Carry Over				20,500	3,000	4,500	1,800	500	2,200
4	Official	07/01/13	AGREGORI Amendment - Cost/Scope/Sch. Change	12H-252			20,500	3,000	4,500	1,800	500	2,200
3	Official	04/12/12	DBERRY Approved - Carry Over				20,500	3,000	3,000	1,800	500	2,200
2	Official	11/16/11	AGREGORI Amendment - Cost/Scope/Sch. Change	10H-487			20,500	3,000	3,000	1,800	500	2,200
1	Official	05/03/10	DBERRY Approved - New Project				8,900	1,200	1,500	1,000	300	1,000
Fund Source 1 of 1 SHOPP - Emergency Response				<u>PRIOR</u>	<u>14/15</u>	<u>15/16</u>	<u>16/17</u>	<u>17/18</u>	<u>18/19</u>	<u>19/20</u>	<u>FUTURE</u>	<u>TOTAL</u>
20.XX.201.131 - Major Damage (Permanent Restoration)				PA&ED		4,500						4,500
Fund Type:				PS&E		1,800						1,800
National Hwy System				RW SUP		500						500
				CON SUP		2,200						2,200
				RW		3,000						3,000
				CON		20,500						20,500
				Total:		32,500						32,500

HQ Comments:
 ***** Version 5 - 03/26/2014 *****
 Carryover project from 2012 to 2014 SHOPP
 ***** Version 4 - 07/03/2013 *****
 Made Amendment 12H-252 official - ACG
 Entered amendment #12H-252 - RW
 ***** Version 3 - 04/12/2012 *****
 Carryover project from 2010 to 2012 SHOPP
 ***** Version 2 - 11/17/2011 *****
 Made Amendment 10H-487 official - ACG
 Entered amendment #10H-487 - RW
 ***** Version 1 - 05/03/2010 *****

EFIS ID: 0400000129 EA: 0A020 County: SON Route: 001
 Proj Mgr: ACORDA, LILIAN A PM: 15/10/15.80
 PRNO: 0748E PROGRAM YR: 2016 CT Status: APL

Project Nickname: Gleason Realignment

Project Descr: IN SONOMA COUNTY ON ROUTE 1 NEAR THE
 GLEASON BEACH AREA

Work Descr: REALIGN ROADWAY

HQ.Categorization SHOPP MAJOR AUTHORIZED SHOPP	District Category 1314FY_BDP 1415FY_ADP 1516FY_CFD	MS MS Description Due in 80 Days	MS Date
Capital Cost Estimates (k\$)	Date		
Roadway \$20,500	11/01/11		
Structures \$0			
Const Total \$20,500			
ROW \$406	04/15/13		
Total \$20,906			

Phase	BAC\$	Prog\$	EXP\$	ETC\$	EAC\$	Prog %	SIC%
0	8,391	4,500	4,500	1,224	6,536	145.2%	31.3%
1	4,247	1,800	0	3,861	5,257	214.5%	18.6%
2	460	500	0	445	445	89.1%	2.1%
3	2,863	2,200	0	3,439	3,439	189.0%	16.7%
4	16,799	9,000	4,912	9,429	14,368	159.3%	89.6%
9	0	0	0	0	0	0.0%	0.0%
9	0	3,000	18	0	18	0.6%	0.1%
Total:	16,090	32,500	4,929	9,429	14,368	44.2%	

Woo, Harlan@DOT

From: Acorda, Lilian A@DOT
Sent: Tuesday, October 07, 2014 4:59 PM
To: Woo, Harlan@DOT
Subject: FW: 04-0A020 PCR

This is my last communication with Larry regarding the PCR.

From: Moore, Larry T@DOT
Sent: Wednesday, September 17, 2014 2:00 PM
To: Acorda, Lilian A@DOT; Kracher, Gerald L@DOT; Ng, Stanley@DOT
Subject: RE: 04-0A020 PCR

Thanks Lilian,

Obviously not happy with the schedule delay, but I know the District has been working diligently on this project and has a viable plan on delivering this improvement. I have no comments regarding the PCR.

Lawrence T. Moore (Larry)
Project Delivery Coordinator (D4)
916-653-2647 Sac
916-275-2942 cell
510-286-4687 Oakland

From: Acorda, Lilian A@DOT
Sent: Wednesday, September 17, 2014 9:43 AM
To: Moore, Larry T@DOT; Kracher, Gerald L@DOT; Ng, Stanley@DOT
Subject: 04-0A020 PCR

Hello,

All of you had a chance to review the PCR for this project last May in anticipation of a June submittal but that did not happen. Since the PCR has changed a lot, please review the attached latest version and let me know if you have any questions or comments. The PCR is with Doanh for his final review.

Thanks,
Lilian
510-286-4927