

PROJECT CHANGE REQUEST

PROJECT ID. 0512000075

DISTRICT/EA 05-1C110 PPNO 2359 PGM Doc. SHOPP PGM Del FY 15/16 PROG CODE 201.235

Cty Rte PM/PM Description

PROJECT (SCOPE) DESCRIPTION: SLO - 101 - 0.5/35.0 In and near the city of San Luis Obispo, from Santa Maria River Bridge to Cuesta Overhead at various locations. Construct roadside paving, access gates, weed barriers and relocate facilities.

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	\$ 281	15/16	\$334	15/16	\$334	119%	100%	\$0	0%	_____
PS&E	\$ 520	15/16	\$520	15/16	\$ 0	0%	0%	\$0	0%	_____	NA
R/W SUP	\$ 5	15/16	\$ 5	15/16	\$ 0	0%	0%	\$0	0%	_____	NA
CON SUP	\$ 512	15/16	\$512	15/16	\$ 0	0%	0%	\$0	0%	_____	NA
R/W CAP	\$ 5	15/16	\$ 5	15/16	\$ 0	0%	0%	\$0	0%	_____	NA
CON CAP	\$2,547	15/16	\$2,547	15/16	\$ 0	0%	0%	\$0	0%	_____	NA
Total	\$3,870		\$3,923		\$334			\$53	1%		

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

Cost Change Type	Description	Programmed Budget	Data Systems Changed
Cost Change Request Types			
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/PM -- Description

New Project Description: SLO - 101 - 12.1 / 29.9 -- In San Luis Obispo County at various locations from 0.4 miles north of Bridge Street Undercrossing to Buena Vista Overcrossing. Construct contrasting surface treatment (CST) in unpaved areas beyond gore and upgrade gore area signage.

"010" Safety Project? Yes No

Project Performance	EXISTING (PROGRAMMED)	PROPOSED	PERFORMANCE CHANGE		(SHOPP PRIMARY PERFORMANCE OUTPUT BY PROGRAM CODE)
	<u>68 locations</u> Value Units	<u>34 locations</u> Value Units	<u>-34 locations</u> Value Units	<u>-50%</u>	

1.) WHAT IS THE PROPOSED CHANGE?

- A. Document the final cost for the PA&ED component which exceeded programmed amount by 119% (\$53,000).
- B. Update the scope by clearly defining the beginning and ending post mile limits of project from 0.5/35.0 to 12.1/29.9 and subsequently also update the location and work descriptions.

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

- 1. ESTIMATE DATE: 04/14 (from PR) **Con Capital \$2,547** **RW Capital \$5**
- 2. ESTIMATE DATE: 09/11 (from PSR) **Con Capital \$2,547** **RW Capital \$5**

3.) WHAT WAS THE REASON FOR THE CHANGE?

- A. In August 2014, District 5's request to open the 1-phase for charging was rejected by the SPES program because the post miles shown in AMS did not match the NEPA document. A PCR was initiated in August 2014 to update the programming per the recently approved Project Report (PR). However, new PCR Change Management guidelines were adopted and became effective 08/01/14 but were not actually received until later. The PCR was changed to the new format in September 2014 but the Project Manager was unable to complete it due to competing priorities (an accelerated ER project 05-1F890 Cow Cliffs) but this project continued on schedule. Charging has continued to the 0-phase until this PCR could be completed. The District plan is to complete sufficient timesheet corrections to bring the PA&ED cost under the 120% (over run by approximately \$53,000).
- B. The original project limits of PM 0.5/35.0 were established more as begin and end points within which to study possible roadside safety improvement strategies and was not necessarily indicative of any specific need. The number of locations (68) was also estimated. After a series of meetings with maintenance personnel in the field during the development of the PR, 34 specific locations of need were identified and prioritized. The new project limits of 12.1/29.9 document the locations of the prioritized needs. As a result, the project location, work description, and Performance Measures are being updated accordingly.

4.) WHEN WAS THE CHANGE DISCOVERED?

With approval of the PR in May 2014 and the subsequent rejection by the SPES program to allow the 1-phase to be opened with federal funding due to the post miles in AMS not matching the NEPA document.

- 5.) **WHAT HAS BEEN DONE TO MINIMIZE ANY CHANGE?** The project's programmed cost and schedule were monitored closely during development of the PR. However, the delay from the opening of the PS&E phase has impacted the costs of the PA&ED phase.
- 6.) **WHAT CAN BE CONSTRUCTED WITH THE PROGRAMMED FUNDS?** The programmed funds are adequate to construct this project.
- 7.) **IF THE SCOPE IS REDUCED OR SPLIT, WOULD THE REMOVED WORK NEED TO BE REPROGRAMMED OR ADDED TO ANOTHER PROJECT?** No. The original number of locations was an estimate. The locations within the eliminated post mile limits do not need to be reprogrammed or added to another project.
- 8.) **IS A SUPPLEMENTAL SCOPING DOCUMENT NEEDED? IF YES, STATUS?** No. This change occurred during development of the PR, so it was documented there. For more information, please refer to the PR, approved 5/27/14.
- 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 conducted because of the low dollar value of the project (support + capital = \$3.8 million). However the principles of value analysis have been applied to ensure cost effectiveness of the proposal.
- 10.) **COST - WHERE WILL THE REQUIRED FUNDS COME FROM?** No additional funding is required.
- 11.) **PRIOR PCRS – LIST OTHER PCRS PREVIOUSLY APPROVED.** None.

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:** Keith Robinson, the Headquarters Program Manager for the 201.235 Roadside Safety Improvement Program, concurred with this proposed change on 1/22/15.
- 13.) **LESSONS LEARNED, NEW STRATEGIES (What new information pertaining to this project could be beneficial to others?):** Consider what the specific needs are within the larger designated study limits and adjust the post miles accordingly before programming if possible. Monitor component costs prior to completing a component within a reasonable timeframe.

14.) District Project Manager Signature

Ken Dostalek
KEN DOSTALEK
 District Project Manager

1/30/15
 Date

805-549-3133
 Phone Number

John Luchetta
JOHN LUCHETTA
 Acting Deputy District Director
 Program/Project Management

2/3/15
 Date

APPROVAL - COMMENTS - CONCERNS

- PD Concurrence
- PD Objections (detail concerns):

15.) Comments - Concerns:

Paul Gennaro
PAUL GENNARO
 HQ Project Delivery Coordinator

1/29/15
 Date

APPROVAL

[Signature]
TIMOTHY M. GUBBINS
 DISTRICT DIRECTOR

2/3/15
 Date

	Approve	Deny	No HQ Action
Cost	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Scope	<input checked="" 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"/>

[Signature] for
JAMES E. DAVIS
 HQ DIVISION CHIEF
 PROJECT MANAGEMENT

2/18/15
 Date

N/A
BRUCE DE TERRA
 ACTING HQ DIVISION CHIEF
 TRANSPORTATION PROGRAMMING

Date

REQUIRED ATTACHMENTS

- (a) Attach 1 page copy (screen-print) 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. 0512000075
 DISTRICT/EA 05-1C110

State Highway Operation and Protection Program
San Luis Obispo County
Document Year 2014, Version Number 2
PPNO: 2359
(Dollars in Thousands)

DIST: 05	PPNO: 2359	EA: 1C110	CTIPS ID: 113-0000-0360	TCRP No.	TITLE (DESCRIPTION): (In and near the city of San Luis Obispo, from Santa Maria River Bridge to Cuesta Overhead at various locations. Construct roadside paving, access gates, weed barriers and relocate facilities.)	ELEMENT: SHOPP Major Const.	MPO ID: 13
CT PROJECT ID: 05-1200-0075						SPONSOR: Caltrans	
COUNTY: San Luis Obispo						MPO: San Luis Obispo Council of Governments	
ROUTE: 101						CORRIDOR:	
PM: 0.5 / 35.0						PRJ MGR: Doug Heumann	
						PHONE: (805) 549-3788	LAW: 12
						EMAIL: doug_heumann@dot.ca.gov	

ASSEMBLY: 33	IMPLEMENTING	PAED	RW
SENATE: 18	AGENCIES:	PSE	CON
CONGRESS: 22			

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					Con Sup	
								Prog Con	Prog RW	PA & ED	PS & E	RW Sup		
2	Official	03/26/14	DBERRY	Approved - Carry Over				2,547	5	281	520	5	512	
1	Official	04/12/12	DBERRY	Approved - New Project				2,547	5	281	520	5	512	

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.201.235	Roadside Safety Improvements			281						281
Fund Type:				520						520
National Hwy System				5						5
				512						512
				5						5
				2,547						2,547
				Total:						3,870

HQ Comments:
***** Version 2 - 03/26/2014 *****
Carryover project from 2012 to 2014 SHOPP
***** Version 1 - 04/12/2012 *****
New 2012 SHOPP project



Caltrans Central Region Online Project Status Report

Exp Download 01/26/2015

PMCS Download

Const Download

Friday, January 30, 2015, 08:51 AM

EA / Project ID Phase Co-Rte-Post PPNO Project Name
05-1C110 1/PS&E/RW SLO-101-12.1 / 2359 South SLO 101
 0512000075 Roadside Safety Improvements

Location Description Work Description
 IN SAN LUIS OBISPO COUNTY ON ROUTE 101 FROM NEAR SANTA MARIA FROM SANTA MARIA BRIDGE TO CUESTA GRADE O.H. ROADSIDE SAFETY IMPROVEMENTS

Program Information				
XPM	Yes	Delivery Plan	Yes	APL List
Program	Status	Doc Year		
SHOPP	Programmed	2012		
Prog Code	Prog FY	Const\$\$	RW\$\$	
201.235	2016	\$2,547	\$5	
Funds Req Date	CTC Vote Date			
Component	Funding			
	RIP	IIP	Local	Other
CAPT	\$0	\$0	\$0	\$0
SUPT	\$0	\$0	\$0	\$0

Units: English
 Current Contract for Delivery: NO

Project Documents		Esc Est	Cur Est	Date
Env State	CE	Struct Est	\$0	\$0
Env Federal	EX	District Est	\$2,547	\$2,547 05/27/2014
PID Appr	09/27/2011	Total Con Est	\$2,547	\$2,547
Project Rpt	05/27/2014	R/W Est	\$0	

PM Ken Dostalek PH (805) 549-3133 RW Marshall Garcia PH (805) 549-3471
 DM James Perano PH (805) 549-3438 CM Bob Hurd PH (805) 348-3197
 EM Matt Fowler PH (805) 542-4603 SM Jeremy Villegas PH (805) 549-3066
 STM Ken Dostalek PH (805) 549-3133

AGREEMENTS
 Type Agency Name Date

Environmental/Permit	Submittal Date	Approval Date	Status
CE - Categorical Exempt (CEQA)			Final
EX - Categorical Exclusion (NEPA)			Final

Project	Maps to	Reg	Struc	PSE	Dist	PSE	R/W	HQ	Appr	contract	End
Schedule	PAED	Survey	R/W	to Dist	to HQ	Cert	RTL	Advertise	Const	Accept	Project
Delivery Plan	M200	M224	M225	M378	M380	M410	M460	M480	M500	M600	M800
Approved	07/01/2013		07/01/2013		09/01/2015	09/01/2015	12/01/2015	01/12/2016	05/06/2016	03/01/2017	01/01/2018
Current	05/27/2014		07/01/2013		11/08/2016	09/01/2015	02/10/2017	03/23/2017	07/19/2017	05/10/2018	02/01/2019
	A		A		T	T	T	T	T	T	T

Financial Status						
Support Component	Planned (Hrs)	Exp (Hrs)	EAC (Hrs)	Prog Supp (\$)	EXP (\$)	EAC (\$)
PA&ED	3,839	2,891	3,177	281	354	385
PS&E	7,623	0	7,370	520	0	803
R/W	321	0	318	5	0	33
CON	4,996	0	4,996	512	0	504

PID Expenditures Support Hrs/\$\$
 75 / 5,192

Total Support/Capital
 68%

Earned Value (Excludes Consultant Planned and Expended)								
	Planned Value (Hrs)	Earned Value (Hrs)	Actual Value (Hrs)	Schedule Variance (Hrs)	Cost Variance (Hrs)	Sched Perform Index	Cost Perform Index	Progress
PA&ED	3,520	3,292	2,891	-228	401	0.94	1.14	93%
PS&E	2,700	253	0	-2,447	253	0.09	0.00	3%
R/W	58	3	0	-55	3	0.05	0.00	1%
CON	0	0	0	0	0	0.00	0.00	0%

R/W Information					
#Parcels	#Utilities	#Appraised	#Acquired	RR Involvement	Total Capital Exp
0	0	0	0	No	

Project Comments: 1/PS&E/RW Post mile limits changed during PA&ED. Need to submit PCR to make changes official. The original post mile limits were 0.5/35.0. The new post mile limits are 12.1/29.9. The reason for the change in post miles was due to a reprioritization of worker safety (PID Comments)

SHOPP REPORT 2015 DISTRICT 05

PRSM date = 01/27/2015

CTIPS date = 01/12/2015
 TRAMS/EFIS through 01/07/2015

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 01/27/2015

05 SLO 101 1C080	DESCRIPTION: ROADSIDE SAFETY IMPROVEMENTS	2014 SHOPP	PS&E	RW	CON	RW CAP	CON CAP	TOTAL
Ctips_id = 11300000359	Cg+Epno = 05-2356	Title =	PAGED					
PROGRAMMED	20.XX.201.235 - SHOPP Clnsn Rdcn	551,000	451,000	5,000	440,000	5,000	2,529,000	3,981,000
PROGRAMMED SUM		551,000	451,000	5,000	440,000	5,000	2,529,000	3,981,000
CD+EA5 = 05-1C080	Note: * means includes distributed expenditures.							
EXPENDED	20.10.201.235 - Rdsd Safety Impr	388,050	227,579	0	0	0	0	615,630
EXPENDED SUM		388,050	227,579	0	0	0	0	615,630
ESTIMATE TO COMPLETE		0	427,642	29,466	501,352	0	0	958,461
ESTIMATE AT COMPLETE		388,050	655,222	29,466	501,352	0	2,529,000	4,103,092
DIFFERENCE		162,949	-204,222	-24,466	-61,352	5,000	0	-122,092

05 SLO 101 1C110	DESCRIPTION: ROADSIDE SAFETY IMPROVEMENTS	2014 SHOPP	PS&E	RW	CON	RW CAP	CON CAP	TOTAL
Ctips_id = 11300000360	Cg+Epno = 05-2359	Title =	PAGED					
PROGRAMMED	20.XX.201.235 - SHOPP Clnsn Rdcn	281,000	520,000	5,000	512,000	5,000	2,547,000	3,870,000
PROGRAMMED SUM		281,000	520,000	5,000	512,000	5,000	2,547,000	3,870,000
CD+EA5 = 05-1C110	Note: * means includes distributed expenditures.							
EXPENDED	20.10.201.235 - Rdsd Safety Impr	339,427	0	0	0	0	0	339,427
EXPENDED SUM		339,427	0	0	0	0	0	339,427
ESTIMATE TO COMPLETE		63,343	831,295	33,061	513,258	0	0	1,440,958
ESTIMATE AT COMPLETE		402,771	831,295	33,061	513,258	0	2,547,000	4,327,386
DIFFERENCE		-121,771	-311,295	-28,061	-1,258	5,000	0	-457,386