

**NORTH COUNTY CORRIDOR
TRANSPORTATION EXPRESSWAY AUTHORITY
TECHNICAL ADVISORY COMMITTEE**

ITEM: 4a

SUBJECT:

Project Updates

STAFF RECOMMENDATIONS:

Discussion only

FISCAL IMPACT:

Not determined

DISCUSSION:

The most recent project schedule and Risk Plan are attached. Jacob's staff provides the following updates:

Risk – No new risks have been identified and no current risks have been resolved/removed with one exception. It has been determined that there are no biological species that require a fall survey. This will lessen the urgency for signed "Permission to Enter" forms from area residents. However, these must be in place prior to January 2011.

Public Outreach Update –

A set of Public Outreach "Scoping" meetings have been conducted on the following dates and locations:

Wednesday, September 8, 2010
Oakdale Community Center
110 South Second Avenue
Oakdale, California
6:30 p.m. - 8:00 p.m.

Monday, September 13, 2010
Salida Regional Library
4835 Sisk Road
Salida, California
6:30 p.m. - 8:00 p.m.

The Oakdale meeting had 112 attendees and 33 submitted written or provided oral comments to the stenographer. The Salida meeting had 152 attendees and 51 submitted written or oral comments to the stenographer. Preliminary alignment maps were available for review by the public attendees and the NCCTEA team received comment on several new alternatives. The Project Development Team (PDT) will review the alternatives on the maps, along with the alternatives given through oral/written comments, and determine if any new alternatives should move forward into the formal environmental analysis.

A Draft Community Involvement Plan has been submitted to Caltrans.

A Draft Community Focus Group (CFG) has been created. Each member of the CFG has two responsibilities:

1. To provide community comments and concerns to the PDT, and
2. To serve as a liaison to larger constituent groups, including residents and property owners in the project area.

Following are examples of specific activities associated with each of those two responsibilities:

- Meet with PDT representatives at key milestones to help identify problems and to articulate and clarify local key issues.
- Liaison with residents and property owners in the North County Corridor area
 - a. Express community opinions and concerns of the North County Corridor area on key issues affecting improvement plans,
 - b. Encourage neighbors and other residents to attend the public meetings, and
 - c. Assist the PDT in distributing project information to residents in the North County Corridor area.

The CFG meetings will be chaired by the NCCTEA Project Manager and the Consultant Project Manager. Meetings will be held on a quarterly basis, as information is available.

Design Update –

Traffic data collection is in process. A meeting was held with StanCOG to discuss the traffic model that will be used for the next phase. A forecast memorandum will be distributed to the PDT. Caltrans District 10 Traffic Operations Branch has approved the traffic work scope from Fehr & Peers. The Project Charter has been drafted and will be sent to Caltrans. This document will be executed and the NCCTEA Board. The Quality Control/Quality Assurance Plan has been sent to the PDT for approval.

Environmental Update –

The team has prepared methodologies and data needs for the following technical studies:

- Noise
- Air Quality - Short-Term Construction Emissions, Long-Term Mobile and Stationary Source Emissions, Localized CO, PM10, and PM2.5 "Hot Spot" Impact Analysis, Carbon Monoxide, Project Conformity, Mobile Source Air Toxics, Climate Change, San Joaquin and Valley Air Pollution Control District Rule 9510 Compliance
- Energy
- Natural Environment
- Wetland Delineation
- Biological Assessment
- Cultural
- Paleontological
- Visual Impacts

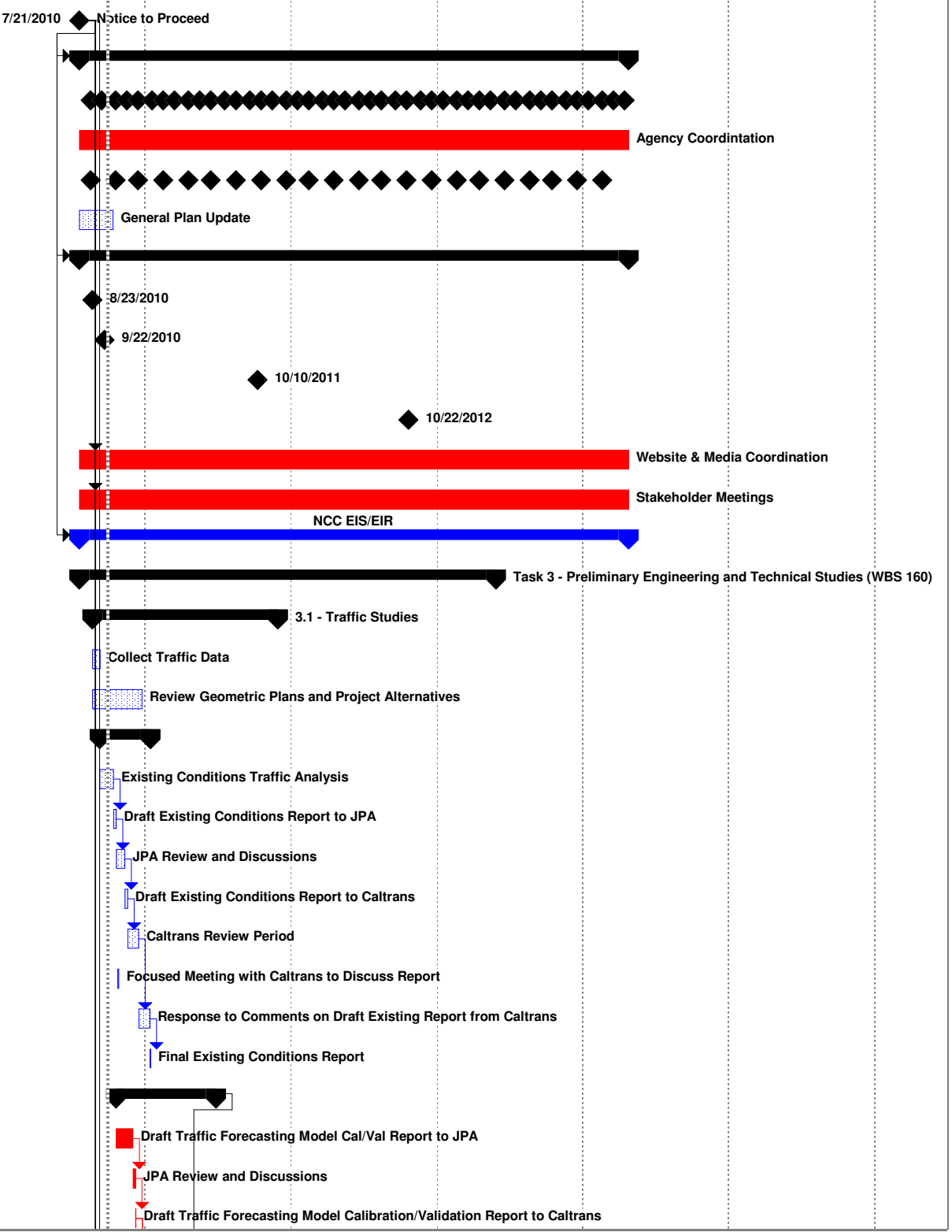
Letters to 19 regulatory agencies soliciting their interest in becoming a Participating Agency or Cooperating Agency on this project were sent on September 24, 2010. A kick-off meeting will be scheduled.

A draft "Permission to Enter" letter has been prepared to obtain access to private property for environmental study has been prepared. Once the areas have been defined for springtime surveys, the mailing list will be created and the letters will be sent.

The Jacobs team is preparing the project Draft Purpose and Need statement. This will be circulated to the PDT.

The PDT decided that there will be no consultation with Federal Highways at this time as it was determined that the project does not meet the criteria for a major project definition.

ID	Task Name	Duration	Start	Finish	2009				2010				2011				2012				2013				2014				2015				2016	
					Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2		
1	Notice to Proceed	0 days	Wed 7/21/10	Wed 7/21/10																														
2	Task 1 - Project Management (WBS 100.10)	983 days	Wed 7/21/10	Fri 4/25/14																														
3	Monthly PDT Meetings	956 days	Wed 8/18/10	Wed 4/16/14																														
49	Agency Coordination	983 days	Wed 7/21/10	Fri 4/25/14																														
50	TAC Meetings	916 days	Wed 8/18/10	Wed 2/19/14																														
73	General Plan Update	60 days	Wed 7/21/10	Tue 10/12/10																														
74	Task 2 - Consensus Building and Outreach (WBS 100.10.99)	983 days	Wed 7/21/10	Fri 4/25/14																														
75	Mail Newsletters	1 day	Mon 8/23/10	Mon 8/23/10																														
76	Scoping Meeting	1 day	Wed 9/22/10	Wed 9/22/10																														
77	Project Status Workshop 1	1 day	Mon 10/10/11	Mon 10/10/11																														
78	Project Status Workshop 2	1 day	Mon 10/22/12	Mon 10/22/12																														
79	Website & Media Coordination	983 days	Wed 7/21/10	Fri 4/25/14																														
80	Stakeholder Meetings	983 days	Wed 7/21/10	Fri 4/25/14																														
81	NCC EIS/EIR	983 days	Wed 7/21/10	Fri 4/25/14																														
82	Task 3 - Preliminary Engineering and Technical Studies (WBS 160)	745 days	Wed 7/21/10	Tue 5/28/13																														
83	3.1 - Traffic Studies	332 days	Mon 8/23/10	Tue 11/29/11																														
84	Collect Traffic Data	15 days	Mon 8/23/10	Fri 9/10/10																														
85	Review Geometric Plans and Project Alternatives	90 days	Mon 8/23/10	Fri 12/24/10																														
86	Existing Conditions Report	91 days	Fri 9/10/10	Fri 1/14/11																														
87	Existing Conditions Traffic Analysis	25 days	Fri 9/10/10	Thu 10/14/10																														
88	Draft Existing Conditions Report to JPA	5 days	Fri 10/15/10	Thu 10/21/10																														
89	JPA Review and Discussions	15 days	Fri 10/22/10	Thu 11/11/10																														
90	Draft Existing Conditions Report to Caltrans	5 days	Fri 11/12/10	Thu 11/18/10																														
91	Caltrans Review Period	20 days	Fri 11/19/10	Thu 12/16/10																														
92	Focused Meeting with Caltrans to Discuss Report	3 days	Mon 10/25/10	Wed 10/27/10																														
93	Response to Comments on Draft Existing Report from Caltrans	20 days	Fri 12/17/10	Thu 1/13/11																														
94	Final Existing Conditions Report	1 day	Fri 1/14/11	Fri 1/14/11																														
95	Traffic Forecasting Report	178 days	Thu 10/21/10	Mon 6/27/11																														
96	Draft Traffic Forecasting Model Cal/Val Report to JPA	30 days	Thu 10/21/10	Wed 12/1/10																														
97	JPA Review and Discussions	5 days	Thu 12/2/10	Wed 12/8/10																														
98	Draft Traffic Forecasting Model Calibration/Validation Report to Caltrans	1 day	Thu 12/9/10	Thu 12/9/10																														



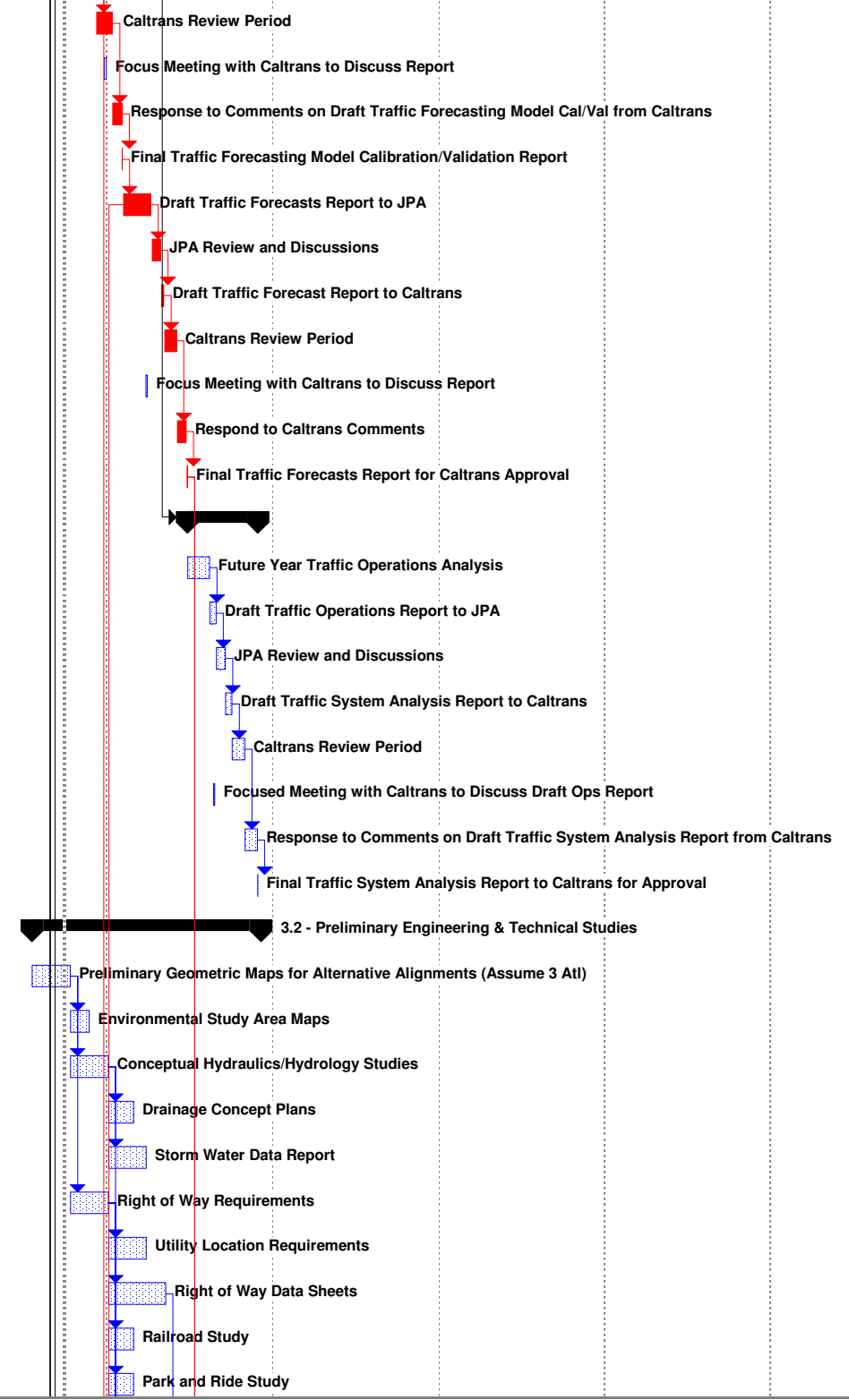
NORTH COUNTY CORRIDOR
 State Route 99 to SR 108/120 East of

Task		Progress		Summary		Rolled Up Critical Task		Rolled Up Progress		External Tasks		Group By SummTask	
Critical Task		Milestone		Rolled Up Task		Rolled Up Milestone		Split		Project Summary			

NCC JOINT POWERS AUTHORITY
 Stanislaus County, Modesto, Riverbank, Oakdale, Stanislaus Council of Governments, & Caltrans District 10

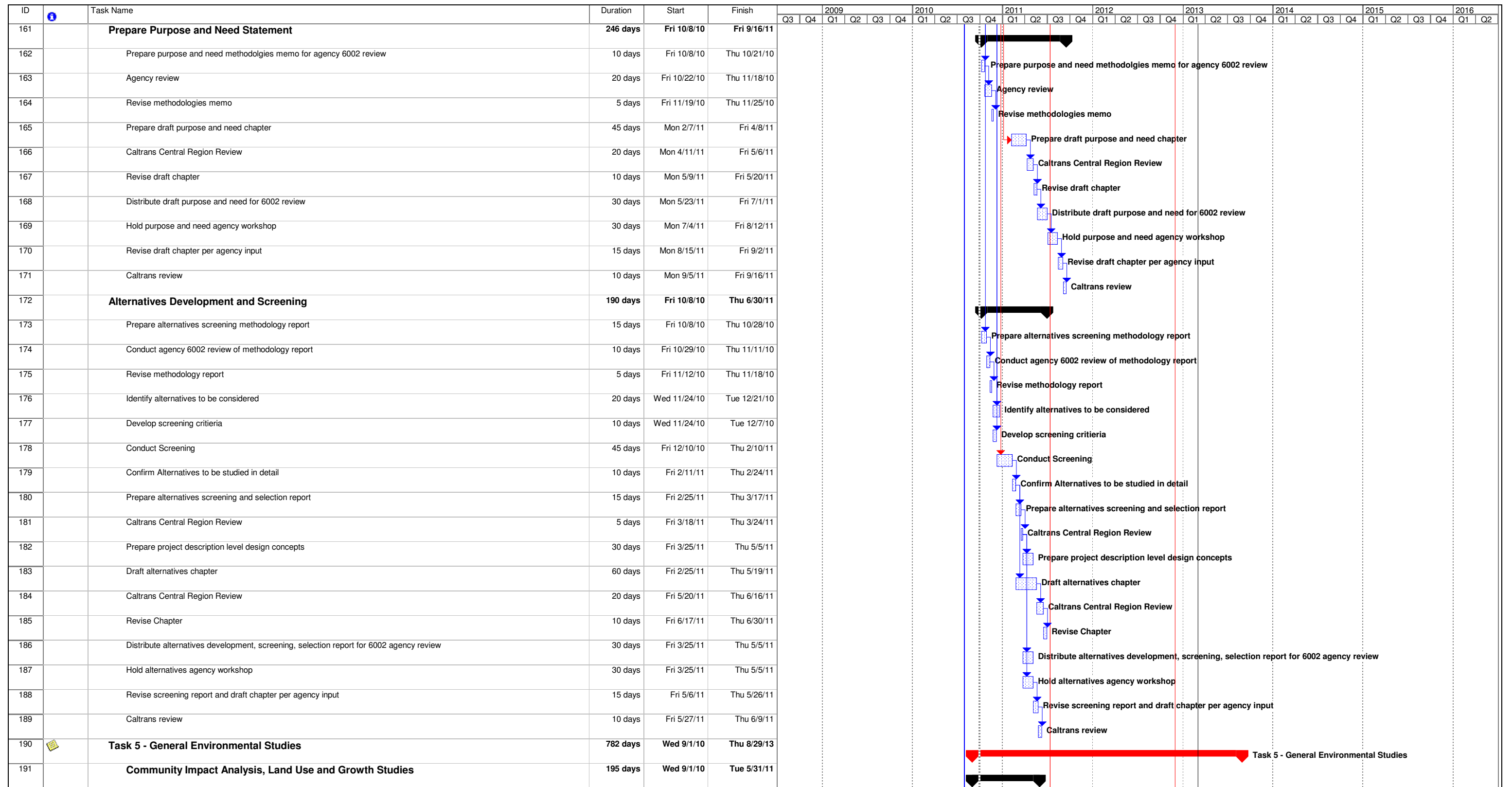


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99	Caltrans Review Period	25 days	Fri 12/10/10	Thu 1/13/11																														
100	Focus Meeting with Caltrans to Discuss Report	5 days	Mon 12/27/10	Fri 12/31/10																														
101	Response to Comments on Draft Traffic Forecasting Model Cal/Val from Caltrans	15 days	Fri 1/14/11	Thu 2/3/11																														
102	Final Traffic Forecasting Model Calibration/Validation Report	1 day	Fri 2/4/11	Fri 2/4/11																														
103	Draft Traffic Forecasts Report to JPA	45 days	Mon 2/7/11	Fri 4/8/11																														
104	JPA Review and Discussions	15 days	Mon 4/11/11	Fri 4/29/11																														
105	Draft Traffic Forecast Report to Caltrans	5 days	Mon 5/2/11	Fri 5/6/11																														
106	Caltrans Review Period	20 days	Mon 5/9/11	Fri 6/3/11																														
107	Focus Meeting with Caltrans to Discuss Report	4 days	Mon 3/28/11	Thu 3/31/11																														
108	Respond to Caltrans Comments	15 days	Mon 6/6/11	Fri 6/24/11																														
109	Final Traffic Forecasts Report for Caltrans Approval	1 day	Mon 6/27/11	Mon 6/27/11																														
110	Traffic System Analysis Report	111 days	Tue 6/28/11	Tue 11/29/11																														
111	Future Year Traffic Operations Analysis	35 days	Tue 6/28/11	Mon 8/15/11																														
112	Draft Traffic Operations Report to JPA	10 days	Tue 8/16/11	Mon 8/29/11																														
113	JPA Review and Discussions	15 days	Tue 8/30/11	Mon 9/19/11																														
114	Draft Traffic System Analysis Report to Caltrans	10 days	Tue 9/20/11	Mon 10/3/11																														
115	Caltrans Review Period	20 days	Tue 10/4/11	Mon 10/31/11																														
116	Focused Meeting with Caltrans to Discuss Draft Ops Report	3 days	Wed 8/24/11	Fri 8/26/11																														
117	Response to Comments on Draft Traffic System Analysis Report from Caltrans	20 days	Tue 11/1/11	Mon 11/28/11																														
118	Final Traffic System Analysis Report to Caltrans for Approval	1 day	Tue 11/29/11	Tue 11/29/11																														
119	3.2 - Preliminary Engineering & Technical Studies	360 days	Wed 7/21/10	Tue 12/6/11																														
120	Preliminary Geometric Maps for Alternative Alignments (Assume 3 Alt)	60 days	Wed 7/21/10	Tue 10/12/10																														
121	Environmental Study Area Maps	30 days	Wed 10/13/10	Tue 11/23/10																														
122	Conceptual Hydraulics/Hydrology Studies	60 days	Wed 10/13/10	Tue 1/4/11																														
123	Drainage Concept Plans	40 days	Wed 1/5/11	Tue 3/1/11																														
124	Storm Water Data Report	60 days	Wed 1/5/11	Tue 3/29/11																														
125	Right of Way Requirements	60 days	Wed 10/13/10	Tue 1/4/11																														
126	Utility Location Requirements	60 days	Wed 1/5/11	Tue 3/29/11																														
127	Right of Way Data Sheets	90 days	Wed 1/5/11	Tue 5/10/11																														
128	Railroad Study	40 days	Wed 1/5/11	Tue 3/1/11																														
129	Park and Ride Study	40 days	Wed 1/5/11	Tue 3/1/11																														

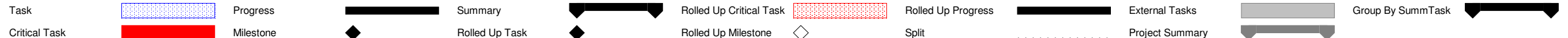


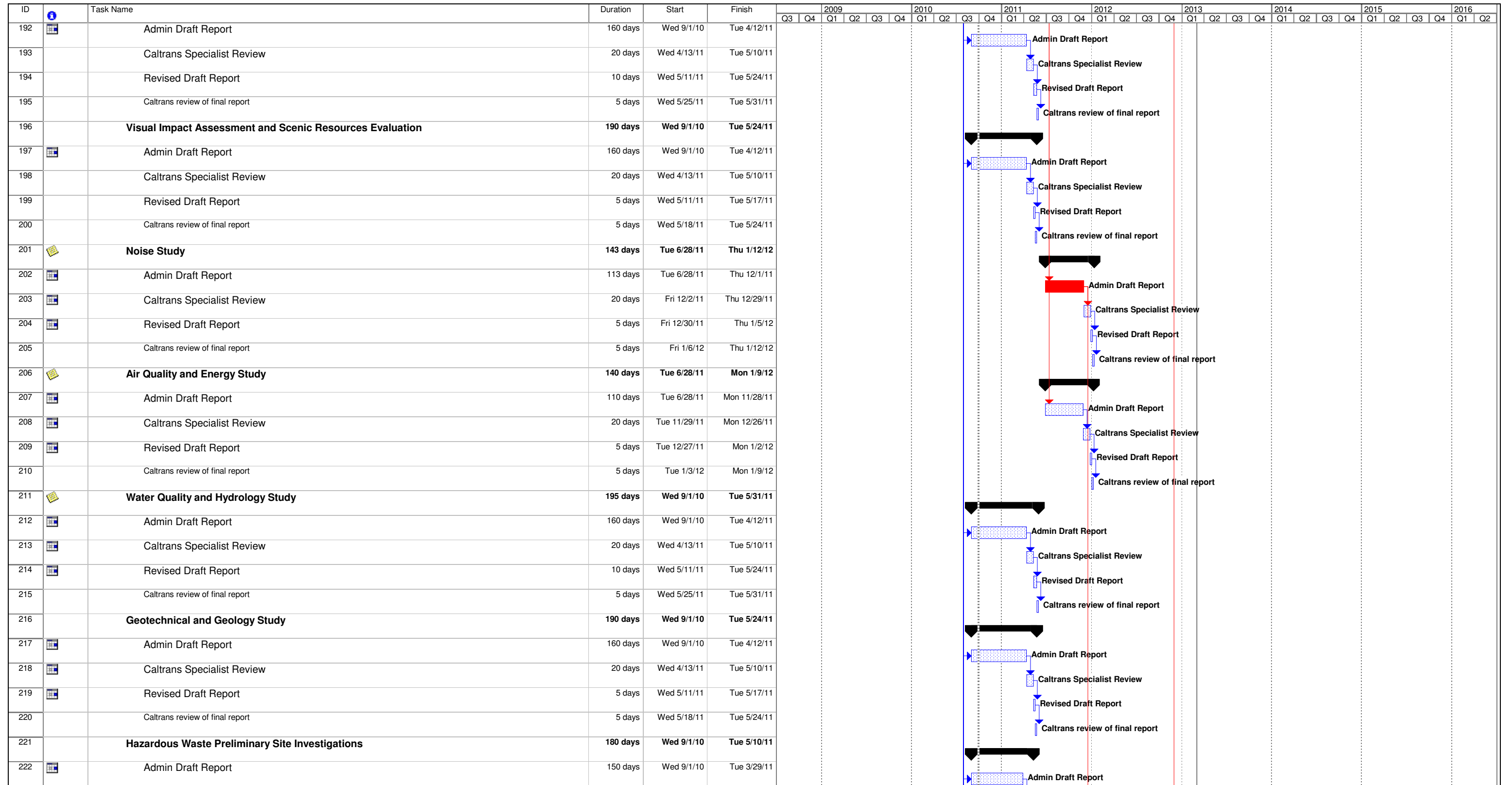
NORTH COUNTY CORRIDOR State Route 99 to SR 108/120 East of Stanislaus County, Modesto, Riverbank, Oakdale, Stanislaus Council of Governments, & Caltrans District 10

Task: [Patterned Box] Progress [Patterned Box] Summary [Patterned Box] Rolled Up Critical Task [Patterned Box] Rolled Up Progress [Patterned Box] External Tasks [Patterned Box] Group By SummTask [Patterned Box]
Critical Task: [Red Box] Milestone [Diamond] Rolled Up Task [Diamond] Rolled Up Milestone [Diamond] Split [Dotted Line] Project Summary [Arrow]



NORTH COUNTY CORRIDOR
State Route 99 to SR 108/120 East of





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 State Route 99 to SR 108/120 East of

Task: [Dotted Pattern] Progress, [Solid Black] Summary, [Thick Black] Rolled Up Critical Task, [Red Dotted Pattern] Rolled Up Progress, [Thin Black] External Tasks, [Grey Dotted Pattern] Group By SummTask
 Critical Task: [Solid Red] Milestone, [Black Diamond] Rolled Up Task, [Black Diamond] Rolled Up Milestone, [White Diamond] Split, [Thin Dotted] Project Summary, [Thick Grey] Group By SummTask

NCC JOINT POWERS AUTHORITY
 Stanislaus County, Modesto, Riverbank, Oakdale, Stanislaus Council of Governments, & Caltrans District 10

- 81 **NCC EIS/EIR**
Scott Smith
Gail Miller
- 83 **3.1 - Traffic Studies**
Assumptions:
99 Connection Points
CT Biggest concerns:
impacts to 00
8 lanes-99
Must document that
- 190 **Task 5 - General Environmental Studies**
Technical Studies done in mid April
- 201 **Noise Study**
Use draft forecast volumes as basis for noise
- 206 **Air Quality and Energy Study**
Do burden analysis based on initial values
- 211 **Water Quality and Hydrology Study**
Mid April

Date updated 7/28/2010
 Dist - E.A Sta-108/120 PM
 Co-Rte-PM XX to XX
 Proj Mgr Kris Balaji
 Dy Proj Mgr Roschen

Project Description

North County Corridor Project (PA&ED) - On New Alignment between State Route 99/ Hammett Road IC to 7.7 miles east of State Route 120/108 junction in Stanislaus County

LEGEND

Probability	
Very Low Low	0% to 5% 6% to 35%
Moderate	36% to 65%
High Very High	66% to 95% 96% to 100%

Impact	Schedule	Cost
Low	Activity not in a critical path or currently not a controlling Operation. Impacts will not cause it to become critical path or a controlling operation	Cost of the particular activity will go up to a maximum of \$25k
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Definition of Response Strategy

Mitigation: Reducing the probability and/or the impact of an adverse risk. This is primarily used for those risks that are to be managed by the project team.
Acceptance: To acknowledge the risk's existence, but to take no preemptive action to resolve it, except for the possible development of contingency plans should the risk event come to pass.
Avoidance: To eliminate the conditions that allow the risk to be present at all, most frequently by eliminating the cause of the risk such as revising the scope to exclude that part involving the risk

PROJECT RISK MANAGEMENT PLAN																
Priority	Identification							Qualitative Analysis				Response Strategy		Monitoring and Control		
	Status	ID #	Date Identified	WBS Codes	Functional Assignment	Threat/Opportunity Event	SMART Column	Risk Trigger	Type	Probability	Impact	Risk Matrix	Strategy	Response Actions including advantages and disadvantages	Primary & Secondary Responsibility Task Manager	Date, Status and Review Comments
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(16)	(17)	(19)	(21)	
	Active	1	7/15/2010	100.10.99	Environmental	HQ legal review	Caltrans legal will be involved during the 6002 - Agency Coordination process and the review of the Draft and Final Environmental Document. HQ Legal's work load priorities or risk averseness may cause schedule delays on the project of 6 - 12 months.	HQ Legal asking for more time than allotted in the agreed upon project schedule, or HQ Legal asking for unreasonable amount of information or extra work than usually required for legal review	Schedule	Moderate	High		Acceptance	Continuous communications with Headquarters legal. Include as part of 6002 Coordination Plan. Pro: HQ Legal well informed of the project Con: HQ Legal may micro manage the proj	Kris Balaji	
	Active	2	7/15/2010	100.10.10	Project Team	Change in Caltrans Personnel	During the Route Adoption Phase, Caltrans environmental Manager was reassigned to a different duty, and the DED was prepared under the guidance of the Acting Manager. Just when the DED was about to be released to the public, the original manager returned and the manager did not agree with a lot of decisions made by the previous staff, resulting in excessive rework and schedule delay. It is possible that the change in personnel during this phase of work may result in similar situation	Change in Management level Caltrans staff for Environmental, Design or Project Management discipline	Schedule	Moderate	Low		Mitigation	Written documentation of all key decisions and posting them on the File Collaboration Server. Pro: Proof of all decisions Con: Qualifying what constitute key decision may become subjective. Conservative actions may lead to unmanageable number of documents being saved making it difficult to retrieve	Kris Balaji	
	Active	3	7/15/2010	100.10.99	Environmental	Potential for increase in alternatives resulting from 6002 Coordination	The NEPA 6002 Agency Coordination regulations require the lead agencies to involve and consult with regulatory agencies early in the environmental process. While this is a potentially positive action, there is a risk that the regulatory agencies may start "running the project", for example, asking for more detailed studies, more minor analyses, more alternatives than what we think is reasonable and feasible, etc	Substantial scope variation(s) or more and more requests starting to accumulate as a result of consultations with the regulatory agencies.	Schedule	Moderate	High		Acceptance	Regular coordination with regulatory agency staff. Pros: Positive relationship with agency staff resulting in favorable understanding Con: None	Jack Allen	
	Active	4	7/15/2010	100.10.15	Design	Schedule delays due to untimely Coordination requirement with Hammett and Kiernan Projects	Currently, the Stanislaus County has embarked on the environmental study for interchange improvements at Kiernan Ave/SR99 and Hammet Avenue/SR99. The design alternatives for NCC may connect to either or both interchanges. As such, each NCC alternative needs to be coordinated with the Kiernan and Hammet alternatives, even after the PA&ED is completed for those projects and alternatives are chosen. This may result in some rework on the NCC Project.	Rework of alternatives that are already designed and approved on NCC	Schedule	Moderate	Moderate		Mitigation	Send Design Manager to critical PDT meetings of these other projects Pro: More knowledge of other projects' design strategies Con: Additional cost for NCC	Trin Campos	
	Active	5	7/15/2010	100.10.15	Design	Conflicts with other local jurisdictions should there be potential conflicts of NCC alignment with their existing local road circulation.	Should one or more of the proposed NCC alignment alternatives conflict with the local circulation of the JPA jurisdictions, there exists potential for negotiation or strained relationship.	Request from JPA jurisdictions to completely avoid conflicts to existing circulation	Cost	Moderate	Moderate		Mitigation	Close coordination with TAC members during alternative alignment development	Trin Campos	
	Active	6	7/15/2010	165.50.20 165.50.40	Environmental	Coordination with National Marine Fisheries Service (NOAA Fisheries) is not needed (no anadromous fish present)	Consultation with NMFS may be required if perennial drainages, which support anadromous fish will be impacted. Scope presumes that perennial drainages supporting anadromous fish will be avoided/no consultation with NMFS anticipated. If consultation is required schedule for completing Natural Env. Study Report and obtaining Biological Opinion could be delayed by 2 - 4 months.	NMFS requests inclusion through scoping process or bio field surveys determine that the alternatives will impact fish habitat.	Schedule	Low	Low		Avoidance	Confirm and verify early on that no T & E anadromous fish species are present; monitoring listings during project life	Jack Allen	
	Active	7	7/15/2010	165.00.00	Environmental	A delay in obtaining Notice to Enter (NTEs) leads to delay in schedule.	The efficiency and timeliness of environmental surveys are dependent upon the availability of access to the study area; Lead agency or the project proponent would be responsible for obtaining access to meet the proposed schedule.	Delay in obtaining NTEs due to project changes in description and/or schedule	Schedule	Low	High		Acceptance	Jacobs to ensure access is obtained early on in advance of survey windows; immediately following scoping; schedule adherence	Jack Allen	

Date updated 7/28/2010
 Dist - E.A Sta-108/120 PM
 Co-Rte-PM XX to XX
 Proj Mgr Kris Balaji
 Dy Proj Mgr Roschen

Project Description

North County Corridor Project (PA&ED) - On New Alignment between State Route 99/ Hammett Road IC to 7.7 miles east of State Route 120/108 junction in Stanislaus County

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	Active	8	7/15/2010	165.50.40	Environmental	Additional USFWS-required field studies increase magnitude of effort and expand scope of work	Additional USFWS-required field studies to support analysis of potential growth-inducing effects on listed species; additional surveys are season sensitive. If triggered, this could lead to additional field surveys in an area larger than the project footprint study area (habitat level, not protocol), the timing of which could cause at least 12 month delay (as well as an increase in cost).	USFWS does not concur with Jacobs team survey plan and/or does not concur with findings of BA.	Schedule	Moderate	Very High		Acceptance	Through 6002 strategies and agency scoping, verify with USFWS that additional surveys not needed; monitor strategy during project life.	Jack Allen	
	Active	9	7/15/2010	165.50.40	Environmental	Limited protocol-level surveys in scope of work not adequate to address USFWS desired survey level will expand scope and delay schedule	Limited protocol-level surveys are included in this scope of work. If USFWS does not concur with Jacobs protocol survey plan, additional surveys may lead to additional seasonal surveys and delay the schedule by 16 - 24 months	USFWS does not concur with Jacobs team survey plan and/or does not concur with findings of BA.	Cost	High	Very High		Acceptance	After initial surveys are conducted and consultation with USFWS has occurred, USFWS will determine if protocol-level surveys are required. If protocol-level surveys for plants or wildlife are determined to be necessary, they may be conducted during the appropriate time of year under an amended scope of work	Jack Allen	
	Active	10	7/15/2010	165.00.00	Environmental	More than four versions of the APE map lead to rework	The APE map must stay set during technical studies; changes in the project during that time may change the APE and require additional lead agency approvals and in turn, lead to schedule delays of likely 3 months	Project description changes	Cost	Low	Moderate		Acceptance	Avoid preparing APE until PD is complete. If changes in the PD require additional versions of the APE, notify JACOBS of costs.	Eng	
	Active	11	7/15/2010	165.00.00	Environmental	More than three alternative alignments, each 26 miles long and 400-feet wide, are required as part of pedestrian surveys leading to a magnitude in work effort	Cultural resources pedestrian field survey effort assumes that no more than three alternative alignments, each 26 miles long and 400-feet wide. Added alternatives would increase magnitude of work effort and impact the schedule by up to 3 months	Project description changes or an alternative is added	Schedule	Moderate	Moderate		Acceptance	Do not survey corridors until alignments are verified and PD is complete. Monitor corridor width of each alignment to ensure that 400-foot-wide surveys still valid.	Jack Allen	
	Active	12	7/15/2010	165.00.00	Environmental	More than 10 acres of survey for ancillary project features such as staging areas, utility relocations, and access/haul roads change the project description and lead to rework	No more than 10 acres of survey for ancillary project features such as staging areas, utility relocations, and access/haul roads is anticipated in the scope. If the project description changes and leads to an increase in acreage will cause technical study rework if impact analyses are underway. Impact to schedule could be up to 6 months.	Field investigation encounters additional sites, project description changes or an alternative is added	Cost	Moderate	High		Avoidance	Establish potential locations for staging areas to designate and include in APE. Avoid surveying until PD complete.	Jack Allen	
	Active	13	7/15/2010	165.20.20 165.20.25.15	Environmental	Of the 10 pre-historic sites, more than five sites will consist of compact lithic scatters leading to additional work and schedule delay	Of the 10 pre-historic sites assumed, it is scoped that five sites will consist of compact lithic scatters and not require subsurface investigations to determine their extent in order to avoid them. If additional sites require subsurface investigations, increase in scope and schedule delay will occur	Field investigation encounters additional sites, project description changes or an alternative is added	Schedule	Moderate	High		Acceptance	Monitor number of sites identified.	Mgmt	
	Active	14	7/15/2010	165.20.20 165.20.25.15	Environmental	More than 5 sites require XPI subsurface investigations and lead to increases scope and delay schedule	No more than 5 sites requiring XPI subsurface investigations are scoped. Added sites requiring these investigations will lead to added scope and schedule delay of up to 3 months	Field investigation encounters additional sites, project description changes or an alternative is added	Cost	Moderate	Low		Acceptance	Verify sites requiring XPI with Caltrans PQS and notify JACOBS if number exceeds 5.	Jack Alleny	
	Active	15	7/15/2010	165.20.10	Environmental	A backhoe/auger and operator will be needed for more than 10 days for Extended Phase I excavation and would cause schedule delay	A backhoe/auger and operator, needed for more than 10 days for Extended Phase I excavation, would result in schedule delays of up to 1 month	More than the scoped number of extended phase I excavations are required; inclement weather leads to work stoppage	Cost	Low	Low		Avoidance	Avoid efforts during rainy season to avoid rain delays; coordinate effort in advance to ensure access/permits are in place.	Jack Allen	

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PROJECT RISK MANAGEMENT PLAN																				
Priority	Identification								Qualitative Analysis				Response Strategy		Monitoring and Control					
	Status	ID #	Date Identified	WBS Codes	Functional Assignment	Threat/Opportunity Event	SMART Column	Risk Trigger	Type	Probability	Impact	Risk Matrix	Strategy	Response Actions including advantages and disadvantages	Primary & Secondary Responsibility (Task Manager)	Date, Status and Review Comments				
	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(16)	(17)	(19)	(21)					
	Active	16	7/15/2010	165.20.25 165.25.10	Environmental	More than 130 potentially historical architectural/built environment resources (i.e. buildings or structures) are 45 years or older and potentially eligible for the Register which will result in an increase in level of effort for Cultural Resources and Section 4(f) Evaluation	More than 130 architectural/built environment resources (i.e. buildings or structures) are 45 years or older and potentially eligible for the Register which will result in an increase in level of effort for Cultural Resources and Section 4(f) Evaluation	Field survey results	Cost	Low	Moderate		Acceptance	Monitor number of resources and notify lead agency and project proponent in the event the scoped number of sites is exceeded.	Jack Allen					
	Active	17	7/15/2010	165.20.25 165.25.10	Environmental	More than 2 buildings and/or structures and more than 0 subsurface archaeological features located in the APE meet the criteria for listing in the National Register of Historic Places and need to be included in a Finding of Effect document, increasing the magnitude of effort	More than 2 buildings and/or structures and more than 0 subsurface archaeological features will meet the criteria for listing in the National Register of Historic Places (NRHP) and will need to be included in a Finding of Effect (FOE). This will result in an increase in level of effort for Cultural Resources and Section 4(f) Evaluation	During data collection surveys and evaluation, more than 2 buildings and/or structures or any subsurface archaeological features discovered potentially eligible for NRHP	Scope	Moderate	Moderate		Acceptance	Monitor number and location of resources, attempt to fully avoid buildings/structures/sites by project design and notify lead agency and project proponent in the event the scoped number of resources needing to be included in a FOE document is exceeded.	Jack Allen					
	Active	18	7/15/2010	165.20.25.25	Environmental	Subsurface archaeological sites will be impacted by the project and a data recovery plan or archaeological discovery plan is required	It is assumed that the subsurface sites identified during the Extended Phase I effort can be completely avoided by the project and that a data recovery plan or archaeological discovery plan is not needed. If the sites cannot be avoided, a data recovery plan or archaeological discovery plan will be required	Subsurface archaeological sites cannot be fully avoided by project design	Schedule	Low	Moderate		Acceptance	Design project so that subsurface archaeological sites can be fully avoided. Notify client immediately if it is determined by Caltrans or appears that a data recovery plan or discovery plan is required.	Jack Allen					
	Active	19a	7/15/2010	165.20.25.25	Environmental	Caltrans requires additional air quality studies.	Changing requirements for air quality studies resulting from recent court cases and legislative actions (e.g., HRA and AB 32) are not completely defined but will likely require additional analyses by CT staff.	Change in legislation, court case reviews, or change in project description could lead to additional work	Scope	Low	Moderate		Acceptance	Meet with CT staff in advance to determine new requirements and methods of study; coordinate with CT staff during tech study prep to ensure expectations are met prior to review of report.	Jack Allen					
	Active	19b	7/27/2010	165.10.40	Environmental	CEQA Guidelines changed to require quantitative energy analysis	Caltrans doesn't currently have guidance (SER) re:analyzing energy impacts. Energy analysis included as an optional task in scope.	CEQA guidelines amended to require quantitative analysis of energy impacts	Scope	Moderate	Low		Acceptance	Meet with CT AQ and energy staff regularly to ensure expectations are met prior to review of DED	Jack Allen					
	Active	20	7/15/2010	160.100.00	Design	Increase in the number of formal alternatives or significant changes in alternative alignments late in PA&ED.	Would require re-work of preliminary engineering and may require additional surveys if outside current mapping.		Cost	Moderate	High									

Date updated 7/28/2010
 Dist - E.A Sta-108/120 PM
 Co-Rte-PM XX to XX
 Proj Mgr Kris Balaji
 Dy Proj Mgr Roschen

Project Description

North County Corridor Project (PA&ED) - On New Alignment between State Route 99/ Hammett Road IC to 7.7 miles east of State Route 120/108 junction in Stanislaus County

LEGEND

Probability	
Very Low Low	0% to 5% 6% to 35%
Moderate	36% to 65%
High Very High	66% to 95% 96% to 100%

Impact	Schedule	Cost
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	Status	ID #	Date Identified	WBS Codes	Functional Assignment	Threat/Opportunity Event	SMART Column	Risk Trigger	Type	Probability	Impact	Risk Matrix	Strategy	Response Actions including advantages and disadvantages	Primary & Secondary Responsibility Task Manager)	Date, Status and Review Comments
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(16)	(17)	(19)	(21)	
	Active	21	7/15/2010	160.10.85	Design	Need for additional structures APS and geotechnical work.	Scope includes up to 7 APS and limited Geotechnical work. Will need concurrence from CT Stuc		Cost	Moderate	Moderate					
	Active	22	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Increase in the number of study intersections	Number of existing study Intersections is 17 and number of new intersections created by project is less than 20. Increasing the number of study intersections would increase cost and schedule due to the need to collect new data and perform additional analyses.	Caltrans and/or JPA modifies the study intersections	Cost	Very Low	Moderate		Avoidance	Have traffic work scope approved by Caltrans	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	23	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Increase to the number of existing roadway segments to be studied	Number of existing study roadway segments is 33. Increasing the number of study roadway segments would increase cost and schedule due to the need to collect new data and perform additional analyses	Caltrans and/or JPA modifies the study roadway segments	Cost	Very Low	Moderate		Avoidance	Have traffic work scope approved by Caltrans	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	24	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Increase in the number of alternatives to be studied.	For estimating purposes, we assumed the number of alternatives studied equals 3. Increasing number of alternatives would impact cost and schedule	Caltrans and/or JPA modifies the number of alternatives	Cost	Low	Moderate		Avoidance	Have traffic work scope approved by Caltrans and number of alternatives properly identified at project initiation	Kris Balaji	
	Active	25	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Changing the traffic model used for the current phase from the one used for the Route Adoption phase	It is assumed that the Traffic Model to be used is same model as NCC SR 108 East Route Adoption. Changing traffic models would result in redoing a lot of modeling effort spent on the Route Adoption	Caltrans and/or JPA indicates to use a different model	Cost	Moderate	Moderate		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Need to coordinate with StanCOG to receive the okay to use same model
	Active	26	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Request to evaluate additional peak hours other than the weekday AM and PM peak hour	Analysis hours are weekday AM and PM peak hour. Evaluating additional peak hours such as weekend peak hour would require additional data collection and analysis	Caltrans and/or JPA indicates to evaluate additional peak hours	Cost	Very Low	Moderate		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	27	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Proj Specific Analysis)	Requiring more than three analysis year scenarios	Three analysis year scenarios: existing, opening year, and design year. Evaluating additional scenarios would require additional analysis	Caltrans and/or JPA indicates to evaluate additional scenarios	Cost	Very Low	Moderate		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	28	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Increase to the number of new roadway segments	It is assumed that the number of new study roadway segments is 107 and are the same as the NCC East Route Adoption. Increasing the number of study segments would increase cost and schedule due to the need to collect new data and perform additional analyses	Caltrans and/or JPA modifies the study segments	Cost	Very Low	Low		Avoidance	Have traffic work scope approved by Caltrans	Eddie Barrios	Traffic work scope under current Caltrans review

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 Dist - E.A Sta-108/120 PM
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	Active	29	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Increase in number of alternatives	Number of alternatives studied equals 3. Increasing number of alternatives would impact cost and schedule	Caltrans and/or JPA modifies the number of alternatives	Cost	Low	Low		Avoidance	Have traffic work scope approved by Caltrans and number of alternatives properly identified at project initiation	Kris Balaji	
	Active	30	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Changing the traffic model used for the current phase from the one used for the Route Adoption phase	It is assumed that the Traffic Model to be used is same model as NCC SR 108 East Route Adoption. Changing traffic models would result in redoing a lot of modeling effort spent on the Route Adoption	Caltrans and/or JPA indicates to use a different model	Cost	Moderate	Moderate		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Need to coordinate with StanCOG to receive the okay to use same model
	Active	31	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Changing the analysis period from "weekday, daily"	It is assumed that we will analyze for weekday daily conditions. Evaluating additional analysis periods such as weekend daily would require additional data collection and analysis	Caltrans and/or JPA indicates to evaluate additional periods	Cost	Very Low	Low		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	32	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Requiring more than three analysis year scenarios	Three analysis year scenarios: existing, opening year, and design year. Evaluating additional scenarios would require additional analysis	Caltrans and/or JPA indicates to evaluate additional scenarios	Cost	Very Low	Low		Avoidance	Have traffic work scope approved by Caltrans and JPA	Eddie Barrios	Traffic work scope under current Caltrans review
	Active	33	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Requiring that traffic report be submitted separately for the CEQA/NEPA and Project Specific analysis	The assumption is that a single traffic report can be submitted that covers the CEQA/NEPA and Project Specific analysis. If Caltrans requests that two separate traffic reports be prepared then this will have an impact on schedule.	Caltrans requests two separate reports.	Schedule	Moderate	Moderate		Acceptance	Work with Caltrans to see if a single report can be provided.	Eddie Barrios	
	Active	34	7/15/2010	160.05.20 160.10.10 160.10.35 160.10.70	Traffic (Program-level Analysis)	Requiring more than one round of review period for traffic items	For each deliverable there is a single JPA and Caltrans review period. If the JPA or Caltrans requests more than one review period for each deliverable then this will have an impact on schedule.	JPA and/or Caltrans requests more than one review period for each deliverable.	Schedule	Low	Moderate		Acceptance	Work with team to ensure that a single review period is all that is necessary. Incorporate this decision in the Project Charter	Eddie Barrios	