05 – Mon/SCr/SBt - Various - Various/Various
05-1G310K – 0514000140 – 2595
20.XX.201.015 – SHOPP
May/2015

Small Capital Value Project
Project Initiation Document
To
Request Programming in the 2016 SHOPP

PROJECT LOCATION: State Highways in Monterey, Santa Cruz, and San Benito Counties

APPROVAL RECOMMENDED:

DEB LARSON, *DISTRICT PROGRAM ADVISOR*

APPROVAL RECOMMENDED:

RICHARD ROSALES, *PROJECT MANAGER*

APPROVED:

TIMOTHY M. GUBBINS, *DISTRICT 5 DIRECTOR* — *DATE* 5/26/15

This project initiation document has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

PURVA N. GOKALL — 5-11-2015

REGISTERED CIVIL ENGINEER — *DATE*

REGISTERED PROFESSIONAL ENGINEER
A.N. Gokal
No. C61979
Exp. 09/30/15
CIVIL
STATE OF CALIFORNIA

1. INITIATING OFFICE/INITIATOR

The Program Manager for the Highway Safety Improvement Program has established that a project is needed that meets the qualification for the Collision Severity Reduction Program (Program Code 201.015).

This Project Initiation Document provides conceptual approval of the proposal and a recommendation to program the project into the current State Highway Operation and Protection Program. A project report will serve as final approval of the proposal.

2. PURPOSE AND NEED

Purpose:

Advance warning signs provide road users of unexpected conditions on or adjacent to the roadway that might not be readily apparent. This project proposes to replace existing, replace/supplement existing, and/or place horizontal alignment signs (curve warning signs) in new locations where necessary on all State Routes in Monterey, Santa Cruz, and San Benito Counties so that they comply with California Manual on Uniform Traffic Control Devices (CA MUTCD) 2012, Table 2C-5.

Need:

A need for this project was identified through the Division of Traffic Operations, Office of Performance, Highway Safety and Operational Improvement Program (HSOIP) process by District Traffic Safety staff and concurrence was received from the Division of Traffic Operations, Office of Traffic Safety Program. It is possible that all existing horizontal alignment signs in Monterey, Santa Cruz, and San Benito Counties may not meet the requirements of the CA MUTCD 2012, Table 2C-5. The CA MUTCD 2012, in compliance with Federal MUTCD, requires that all horizontal alignment signs must meet the necessary requirements by 12/31/2019.

3. DEFICIENCY SUMMARY

Existing horizontal alignment signs (curve warning signs) in Monterey, Santa Cruz, and San Benito Counties may not comply with current standards as required per Table 2C-5 of the CA MUTCD 2012. The CA MUTCD 2012, in compliance with federal MUTCD, requires that all horizontal alignment signs meet current standards by 12/31/2019.

4. PROJECT PROPOSAL

The Department's proposal is to approve this report to proceed to the project report and design phases. During the project report phase, an engineering study will be conducted for each route with the use of a device similar to Reiker's Curve Advisory Reporting Systems (CARS). The study will determine appropriate locations for horizontal alignment warning signs that would comply with CA MUTCD 2012, Table 2C-5.

R/W

No new right of way will be needed. The project will be constructed within the existing right of way. The need for temporary construction easements is not anticipated. Right of way capital estimate is for utility relocation and mitigation.

Disposal Site

A dedicated disposal site will not be needed for this project since only a small volume of excess material will potentially be generated at each location.

Utilities

There is a possibility of a utility conflict due to the depth of excavation for the sign posts. Each location will be researched for utility conflicts and if necessary underground utilities will be positively located. Utility relocations are not anticipated due to the design and construction flexibility in the exact placement of the signs, but a minor amount of right of way capital has been estimated in case sign relocation is not feasible and utility relocation is the only viable option.

Environmental

The anticipated environmental document for the proposed project is a Mitigated Negative Declaration/Categorical Exclusion. This document level has been selected based on potential impacts to biological resources.

5. FUNDING/PROGRAMMING

Funding

It has been determined that this project is eligible for Federal-aid funding.

Programming

Fund Source	Fiscal Year Estimate								
20.XX.201.015	16/17	17/18	18/19	19/20				Future	Total
Component	In thousands of dollars ($1,000)								
PA&ED Support	754								754
PS&E Support			1,044						1,044
Right-of-Way Support			35						35
Construction Support			552						552
Right-of-Way			48						48
Construction			1,852						1,852
Total	754		3,531						4,285

Note: Support categories are the same as those identified by SB 45. Support Costs escalated at 3%. Construction Capital escalated at 5% per year. Support Cost ratio: 126% (All Support Costs divided by the sum of the escalated Construction Capital and escalated R/W Capital.

Support Cost Assumptions: Project Approval and Environmental Document (PA&ED) support costs based on no major issues during the environmental review and approval. Right Way support cost assumes minor utility relocation and/or verification work.

The project support budget (in dollars) was developed from the accepted workplan (in hours by task) based upon the "Rate Matrix" set for the Cost Centers with Source Unit by District as loaded into Project Resource and Schedule Management (PRSM) as of February, 2015.

Workplan Assumptions and Constraints

- The project will be programmed in the 2016 SHOPP cycle.
- The project will be completed within the plan in the programming documents. If there are changes to the scope, schedule, or cost a Project Change Request (PCR) may be needed to document the changes.
- The workplan will be monitored and controlled by the Project Development Team (PDT) through-out the project's lifecycle.
- Project Development Team (PDT) members will identify and communicate changes (assumptions, constraints, risks, scope, schedule and / or budget) to the appropriate Task Manager, Project Manager, and The 201.015 District

Program Advisor immediately so that the Team may assess potential actions, impacts and categorize (avoid, transfer, mitigate, exploit, share, enhance or accept) the proposed change to the project. Accepted changes to the initial scope of work whether they are an increase or a decrease will be assessed by the PDT and the workplan will be re-examined as needed to adjust the budget in hours and/or dollars to address the accepted changes. At every phase, the PDT will assess if an opportunity exists to capture any time savings that will accelerate the advertisement of this project.

6. PROJECT COST ESTIMATE

ITEM	MONTEREY COUNTY	SANTA CRUZ COUNTY	SAN BENITO COUNTY	SUB-TOTAL
On-Ramps	121	51	6	178
Off-Ramps	119	43	6	168
Along Route	950	300	250	1500
			TOTAL NUMBER OF LOCATION	1846
Assume a lump sum average cost per curve/location of $ 700.				
1864 locations X $700 = $1,292,200, USE Est. Roadway Costs= $1,300,000				
Environmental Construction Capital, Visual Resources Costs=$300,000				
				Estimated Total Cost = $1,600,000

7. SCHEDULE

Project Milestones		Milestone Date (Month/Day/Year)
PROGRAM PROJECT	M015	07/01/2016
BEGIN ENVIRONMENTAL	M020	01/03/2017
CIRCULATE DED EXTERNALLY	M120	03/15/2018
PA & ED	M200	07/03/2018
PS&E TO DOE	M377	01/02/2019
DRAFT STRUCTURES PS&E	M378	12/06/2018
RIGHT OF WAY CERTIFICATION	M410	04/29/2019
READY TO LIST	M460	05/01/2019
FUND ALLOCATION	M470	06/21/2019
HEADQUARTERS ADVERTISE	M480	07/15/2019
AWARD	M495	09/11/2019
APPROVE CONTRACT	M500	09/25/2019
CONTRACT ACCEPTANCE	M600	05/01/2020
END PROJECT	M800	03/01/2021

8. RISKS

The primary risk associated with this project is that the exact number and location of the horizontal alignment signs will not be known until an engineering study is completed during PA&ED. In general the probabilities are low or very low of realizing a potential risk because of the flexibility in the exact placement of the warning signs.

This risk has a number of potential consequences:

1. There is a low probability with moderate impact that after completion of the engineering study more locations and signs than estimated will be needed, increasing the project construction cost and support costs.
2. There is a low probability with moderate risk that when the locations are known, one or more of these locations will unavoidably impact an environmentally sensitive area leading to increased cost and schedule delays.
3. There is a very low probability with moderate risk that when the locations are known, one or more of these locations will unavoidably impact an existing utility line increasing the project cost and causing schedule delays.
4. There is a low probability with moderate risk that right of way lead time will require the full 24 month timeline as opposed to the 10 months lead time provided in the current schedule.
5. There is a low probability with moderate risk that due to the large number of potential signs and resulting current schedule, a possibility exists that there could be a delay in obtaining signs in a timely manner when ordered during construction.

9. FHWA COORDINATION

This project is considered to be an Assigned Project in accordance with the current FHWA and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.

10. ATTACHMENT (15)

A. Vicinity/Location Map (1)
B. Storm Water Data Report-signed cover sheet (1)
C. Preliminary Environmental Analysis Report (12)
D. Document Distribution List (1)

INDEX OF PLANS

SHEET No.	DESCRIPTION
1	TITLE SHEET AND LOCATION TABLE

STATE OF CALIFORNIA

DEPARTMENT OF TRANSPORTATION

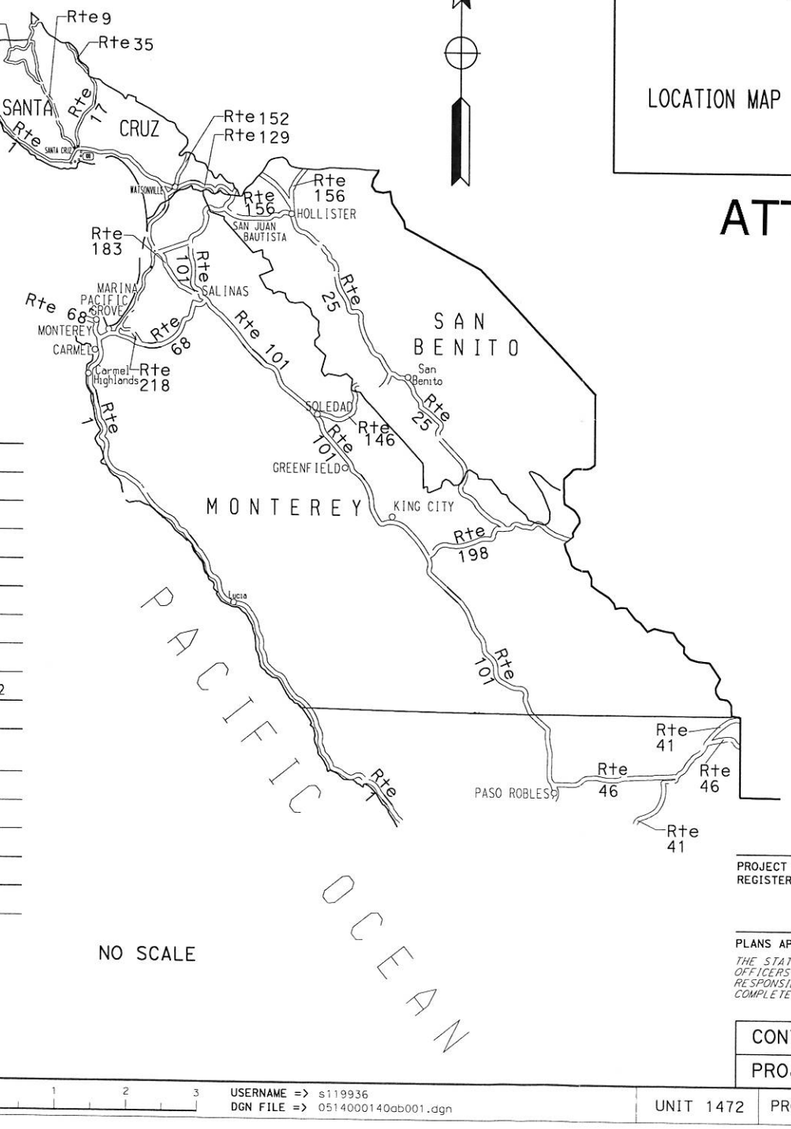
PROJECT PLANS FOR CONSTRUCTION ON

STATE HIGHWAY

IN MONTERY, SAN BENITO, AND SANTA CRUZ COUNTIES

AT VARIOUS LOCATIONS

TO BE SUPPLEMENTED BY STANDARD PLANS DATED 2010



NO SCALE

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	Var	Var	Var	1	

LOCATION MAP

ATTACHMENT A

State Route	Monterey County		Santa Cruz County		San Benito County		LIST
	Begin PM	End PM	Begin PM	End PM	Begin PM	End PM	
1	0	102.031	0	37.451			MON 0.0/102.031; SCR 0.0/37.451
9*			0	27.094			SCR 0.0/27.094
17			0	12.553			SCR 0.0/12.553
25	0	11.750			0	60.084	MON 0.0/11.750; SBT 0.0/60.084
35			0.230	7.680			SCR 0.230/7.680
68	0	22.023					MON 0.0/22.023
100			0	4.500			SCR 0.0/4.500
101	0	101.316			0	7.550	MON 0.0/101.316; SBT 0.0/7.550
129			0	2.644			SCR 0.0/2.644
146	0	10.080			10.080	15.152	MON 0.0/10.080; SBT 10.080/15.152
152			T0.310	8.290			SCR T0.310/8.290
156	R0.167	T5.427			0	R18.431	MON R0.167/T5.427; SBT 0.0/R18.431
180					20.572	54.572	SBT 20.572/54.572
183	0	9.979					MON 0.0/9.979
198	R0.000	25.786					MON R0.0/25.786
218	R0.000	1.956					MON R0.0/1.956
236			0	17.721			SCR 0.0/17.721

Notes: 1) 9* -- Route 9 from PM 21.223 meanders back and forth along the Santa Cruz & San Mateo County lines and the postmile does not reset when crossing county lines.

PROJECT ENGINEER DATE
REGISTERED CIVIL ENGINEER

REGISTERED PROFESSIONAL ENGINEER — No. — Exp. — CIVIL — STATE OF CALIFORNIA

PLANS APPROVAL DATE

THE STATE OF CALIFORNIA OR ITS OFFICERS OR AGENTS SHALL NOT BE RESPONSIBLE FOR THE ACCURACY OR COMPLETENESS OF SCANNED COPIES OF THIS PLAN SHEET.

PROJECT MANAGER: RICHARD ROSALES

DESIGN ENGINEER: FOAD AL-HAMDANI

THE CONTRACTOR SHALL POSSESS THE CLASS (OR CLASSES) OF LICENSE AS SPECIFIED IN THE "NOTICE TO BIDDERS."

CONTRACT No.	05-1G3104
PROJECT ID	0514000140

DATE PLOTTED => 20-FEB-2015
TIME PLOTTED => 16:28
LAST REVISION 02-06-15

BORDER LAST REVISED 9/30/2012 | CALTRANS WEB SITE IS: HTTP//WWW.DOT.CA.GOV/ | RELATIVE BORDER SCALE IS IN INCHES 0 1 2 3 | USERNAME => s119936 | DGN FILE => 0514000140ab001.dgn | UNIT 1472 | PROJECT NUMBER & PHASE 0514000140K

ATTACHMENT B

APPENDIX E

Short Form - Storm Water Data Report

Dist-County-Route: 05-MON/SCR/SBt-Various
Post Mile Limits: Various/Various
Project Type: Small Capital Value Project
Project ID (or EA): 05-1400-0140-K (05-1G310K)
Program Identification: 20.XX.201.015 (SHOPP)
Phase: ☒ PID ☐ PA/ED ☐ PS&E

Regional Water Quality Control Board(s): Central Coast, Region 3

1.	Does the project propose to create 1 ac or more of new/redeveloped new impervious surfaces (TBMP consideration required)?	Yes ☐	No ☒
2.	Does the project disturb 5 or more acres of soil?	Yes ☐	No ☒
3.	Does the project disturb more than 1 acre of soil and not qualify for the Rainfall Erosivity Waiver?	Yes ☐	No ☒
4.	Does the project potentially create permanent water quality impacts?	Yes ☐	No ☒
5.	Does the project require a notification of ADL reuse	Yes ☐	No ☒

If the answer to any of the preceding questions is "Yes", prepare a Long Form – Storm Water Data Report.

Estimate Construction Start Date: 09/02/2019 Construction Completion Date: 03/01/2020
Separate Dewatering Permit (if yes, permit number) Yes ☐ Permit #_____ No ☒
Erosivity Waiver Yes ☐ Date: _____ No ☒

This Short Form – Storm Water Data Report has been prepared under the direction of the following Licensed Person. The Licensed Person attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Professional Engineer or Landscape Architect stamp required at PS&E.

Apurva Gokal, *Registered Project Engineer* 2-19-2015 *Date*

I have reviewed the storm water quality design issues and find this report to be complete, current and accurate:

[Stamp Required for PS&E only) FOR James Espinosa, *Regional SW Coordinator or Designee* 2/25/2015 *Date*

Preliminary Environmental Analysis Report

Project Information

District: 05	County: MON/SCR/SBT	Route: Various	Post Mile: Various	EA: 05-1G310K Project ID# 0514000140
Project Title:	Warning Sign Upgrades			
Project Manager:	Richard Rosales		Phone #:	(805) 549-3792
Design Manager:	Foad Al-Hamdani		Phone #:	(559) 243-3546
Design Engineer:	Apurva Gokal		Phone #:	(559) 243-3547
Environmental Manager:	Kirsten Helton		Phone #:	(559) 445-6461
Environmental Planner:	Judith Lopez		Phone #:	(559) 445-6663

PSR Summary Statement

The anticipated environmental document for the proposed project is a Mitigated Negative Declaration/Categorical Exclusion. This document level has been selected based on potential impacts to biological resources. The California Department of Transportation would act as the lead agency in the preparation of a joint NEPA/CEQA (National Environmental Policy Act/California Environmental Quality Act) environmental document. Caltrans will serve as the NEPA lead agency under its assumption of responsibility pursuant to 23 U.S. Code 327.

The estimated time to obtain environmental approval is 18 months from the start of environmental studies. Assuming a start date of July 1, 2016, environmental studies would begin January 2, 2017 after project preliminary maps and permits to enter are completed. Final environmental document would be anticipated by July 2, 2018.

It is anticipated that biological environmental studies and reports may will required for this project including (but not limited to): Natural Environmental Study, Biological Assessment, Section 7 consultation and a Biological Opinion issued by the U.S. Fish and Wildlife Service (USFWS). It is currently estimated that biology will be the critical path for the delivery of the environmental document. A 2081 Incidental Take Permit and 1600 Streambed Alteration Permit from Department of Fish and Wildlife, a Section 401 Water Quality Certification Permit, an Army Corps of Engineers 404 Permit, and a Coastal Permit may be needed. Other technical reports would be needed are: Initial Site Assessment/Preliminary Site Investigation (Hazardous Waste), a Screening Undertaking Memo (Cultural Resources), and a Visual Impact Assessment.

Project Description

The California Department of Transportation (Caltrans), proposes to investigate all state route on-ramps, off-ramps, and curves along the routes in Monterey, Santa Cruz, and San Benito counties and construct horizontal alignment signs (curve warning signs) at locations where there is a need to replace existing, replace/supplement existing, and/or place signs in new locations as necessary per current California

Manual on Uniform Traffic Control Devices (CA MUTCD) standards, in compliance with federal MUTCD. There is one Build Alternative and a No-Build Alternative.

Purpose and Need

Purpose

Bring all areas where advance curve warning signs are warranted up to California and Federal MUTCD standards.

Need

This project was identified through the Highway Safety Improvement Program process by District Traffic Safety with concurrence from Division of Traffic Operations, Office of Traffic Safety Program. All existing horizontal alignment signs (curve warning signs) in Monterey, Santa Cruz, and San Benito counties may not comply with current standards. The California MUTCD 2012, in compliance with federal MUTCD, requires the horizontal alignment signs must be in compliance with CA MUTCD 2012, Table 2C-5 by December 31, 2019. Advance warning signs provide road users of unexpected conditions on or adjacent to the roadway that may not readily apparent. Caltrans would investigate all state route on-ramps, off-ramps, and curves along the routes in Monterey, Santa Cruz, and San Benito counties.

Description of Work

The California Department of Transportation (Caltrans) proposes to comply with current standards with the California Manual on Uniform Traffic Control Devices 2012, Table 2C-5 by December 31, 2019. Caltrans would investigate all state route on-ramps, off-ramps, and curves along the routes in Monterey, Santa Cruz, and San Benito counties for compliance. There are approximately seventeen highways within Monterey, Santa Cruz, and San Benito Counties, approximately 1846 on-ramps, off-ramps and curves along the routes in all three counties. This project proposes to replace existing, replace/supplement existing, and/or place horizontal alignment signs (curve warning signs) in new locations, where necessary.

Alternatives

The Build Alternative and the No-Build Alternative are the only alternatives for this project. The Build Alternative would satisfy the purpose and need of compliance with the Federal Manual on Uniform Traffic Control Devices, which mandates that all horizontal alignment signs must comply by December 31, 2019. The No-Build does not satisfy the purpose and need of the project as the improvements are mandated by the Federal MUTCD.

Funding

☒State ☒Federal

This project is proposed for programming in the 2016 SHOPP with funding from the 20.xx201.015 Collision Severity Reduction Program in the 2018/19 fiscal year.

Anticipated Environmental Approval

CEQA	NEPA
☐Categorical Exemption/Statutory Exemption	☒Categorical Exclusion (☒326/☐327)
☒Negative Declaration/Mitigated ND(☐Appendix G)	☐Finding of No Significant Impact
☐Environmental Impact Report	☐Environmental Impact Statement

Anticipated Environmental Schedule

Total Time for Environmental Approval	18 months
Start Date	7/1/2016
Begin Environmental	1/2/2017
Draft Environmental Document	3/1/2018
Final Environmental Document	6/1/2018
PA&ED*	7/2/2018

**PA&ED is generally 1 month following the FED date*

Assumptions and Risks

Risks to the project have been defined in accordance with the Project Risk Management Handbook, May 2, 2007, Second Edition, Rev 0:

Assumptions:

It is assumed that wetland delineations and general plant and animal surveys will be required as part of the Natural Environment Study. If sensitive plants are found within the project area, it is assumed that it would be possible to adjust features of the project to avoid impacts and thus not require securing an Incidental Take Permit or Section 7 Consultation.

A jurisdictional determination may be necessary to determine whether or not Waters of the U.S. or Waters of the State will be impacted. If impacts would occur, an Army Corps of Engineers 404 Nationwide or Individual Permit, a Regional Water Quality Control Board 401 Water Quality Certification, and a 1602 Streambed Alteration Agreement from California Department Fish and Wildlife may be needed, but it is assumed that project features may be modified to avoid the need for such permits. It is assumed that riparian, channel, and banks of Waters of the State and Waters of the US will not be impacted, thus not requiring these permits or consultation with NMFS for steelhead. It is likely and therefore assumed with

this scoping effort, however, that wetlands as defined under the California Coastal Act will be present within the right-of-way at certain locations and will be avoided by adjusting the project, if necessary.

If wetlands are identified and cannot be avoided, formal studies such as a wetland delineation and jurisdictional determination may be required for Coastal and Army Corps of Engineers wetlands, adding two months to the schedule. If any wetlands identified are impacted, mitigation will likely be required by the regulatory agencies at a minimum ratio of 1:1 for temporary impacts and 2:1 for permanent impacts. Further coordination with those agencies will be required to determine final mitigation ratios.

Risks:

- If California Tiger Salamander or suitable habitat for this species is detected within the right-of-way and the project cannot be modified to avoid impacts to habitat, thus requiring additional permits, mitigation, and monitoring, this would result in a negative impact to the cost and/or schedule for the project. Probability of occurrence is a 3, the impact to Cost would be Moderate and impact to Schedule would be Moderate.

- The Santa Cruz Long-toed salamander (SCLTS) is designated as Fully Protected through California Fish and Game Code Section 5050 and take of this species cannot be authorized through the Section 2081 Incidental Take permitting process. If the SCLTS or suitable habitat for this species is detected within the right-of-way, staff must avoid impacts by adjusting project design to protect this species and its habitat. Not avoiding this species would result in a negative impact to the cost and/or schedule for the project. Probability of occurrence is a 1, the impact to Cost would be High and impact to Schedule would be High.

- If wetlands are identified and cannot be avoided, formal studies such as a wetland delineation and jurisdictional determination may be required for Coastal and Army Corps of Engineers wetlands, adding two months to the schedule. If any wetlands identified are impacted, mitigation will likely be required by the regulatory agencies at a minimum ratio of 1:1 for temporary impacts and 2:1 for permanent impacts. Further coordination with those agencies will be required to determine final mitigation ratios. Probability of occurrence is a 2, the impact to Cost would be 2 and impact to Schedule would be Moderate.

- If special status plants are found during surveys and they cannot be avoided, additional consultation with resource agencies would be required and would require additional mitigation, monitoring, and a 2081 Incidental Take Permit, negatively affecting cost and schedule. Probability of occurrence is a 3, the impact to Cost would be Moderate and impact to Schedule would be Low.

- For nesting birds, one to two site visits may be required to establish whether or not any project areas are likely to routinely support some species. Additional survey time would be needed if other special status species studies are required. If pre-construction surveys detect nesting birds that would be affected by project activities, continuous monitoring and a delay in construction until the birds have fledged (left the nest) would be necessary, negatively impacting the schedule

and cost for the project. Probability of occurrence is a 3, the impact to Cost would be Low and impact to Schedule would be Low.

- If adequate mapping is not provided by Design, additional mapping will need to be developed for the entire project to adequately assess species impact, negatively impacting the schedule and cost for the project. Probability of occurrence is a 4, the impact to Cost would be High and impact to Schedule would be Moderate.

- If project scope includes altering habitat within Waters of the State or Waters of the U.S., including Federally-jurisdictional wetlands, it will be necessary to obtain additional permits, including 404/401 and 1602. Additional mitigation will be required. Probability of occurrence is a 3, the impact to Cost would be High and impact to Schedule would be Moderate.

- If Coastal wetlands are impacted by the project, mitigation will be required, negatively impacting the scope and cost of the project. Probability of occurrence is a 3, the impact to Cost would be Moderate and impact to Schedule would be Low.

Risk Probability Ranking	
Ranking	Probability of Risk Event
5	60-99%
4	40-59%
3	20-39%
2	10-19%
1	1-9%

Evaluating Impact of a Threat on Project Objectives						
Impact		Very Low	Low	Moderate	High	Very High
Objectives	Time	Insignificant Schedule Slippage	Delivery Plan Milestone Delay within quarter	Delivery Plan milestone delay of one quarter	Delivery Plan milestone delay of more than 1 quarter	Delivery Plan milestone delay outside fiscal year
	Cost	Insignificant Cost Increase	<5% Cost Increase	5-10% Cost Increase	10-20% Cost Increase	>20% Cost Increase
	Scope	Scope decrease is barely noticeable	Changes in project limits or features with <5% Cost Increase	Changes in project limits or features with 5-10% Cost Increase	Sponsor does not agree that Scope meets the purpose and need	Scope does not meet purpose and need

Opportunities for Cost or Time Savings

An opportunity for cost or time savings would be early adequate mapping from design or other desktop tool for specialists to review multiple locations at one time instead of visiting each location.

Mitigation

Right of Way Capital (050)

- California Department of Fish and Wildlife Document Filing Fee: $2,210.
- Regional Water Quality Control Board Section 401 Water Quality Certification Permit: approximately $10,000 to $12,000.
- Section 404 permit issued by Army Corps of Engineers: $0.
- California Department of Fish and Wildlife 1600 Streambed Alteration Agreement: up to $4,912.
- Coastal Development Permit issued by the California Coastal Commission. Permit cost unknown. Caltrans Biology will require additional analysis on wetlands and sensitive habitat areas.
- Wetland mitigation: 1:1 for temporary impacts; 2:1 for permanent impacts. Unknown cost. Future coordination with U.S. Army Corps of Engineers and Regional Water Quality Control Board will be required to determine final mitigation ratios and cost.

Construction Capital (042)

- Visual Resources – viewshed enhancement, clutter reduction, planting and other off-setting aesthetic features: $300,000.

Disclaimer

This report is not an environmental document. Preliminary analysis, determinations, and estimates of mitigation costs are based on the project description provided in this report. The estimates and conclusions provided are approximate and are based on cursory analysis of probable effects. This report is to provide a preliminary level of environmental analysis to supplement the Project Initiation Document. Changes in project scope, alternatives, or environmental laws will require a reevaluation of this report.

Review and Approval

I confirm that environmental cost, scope, and schedule have been satisfactorily completed and that the PEAR meets all Caltrans requirements. Also, if the project is scoped as a routine EA, complex EA, or EIS, I verify that the HQ DEA Coordinator has concurred in the Class of Action.

Approved by:

Kristin Holten
Environmental Manager — Date: 2/19/2015

Environmental Office Chief — Date: 2-20-2015

Richard Rosales
Project Manager — Date: 2-23-15

Environmental Technical Reports or Studies Required

Required–requires analysis including field surveys, database searches, report, or memo to file and brief explanation in the environmental document.
Not Required–Issue is not applicable to the proposed project.
Possible Critical Path–Major issue that has the potential to drive the schedule and determine the length of time to reach PA&ED (can be more than one major issue).

	Required	Clearance Memo Received	Not Required	Possible Critical Path
Biology		☐		☒
Endangered Species (Federal)	☒		☐	
Endangered Species (State)	☒		☐	
Species of Concern (CNPS, USFS, BLM, S, F)	☒		☐	
Wetland Delineation	☒		☐	
Natural Environment Study	☒		☐	
Biological Assessment (USFWS, NMFS, State)	☒		☐	
Cultural Resources				☐
ASR	☐		☒	
HRER	☐		☒	
HPSR/HRCR	☐		☒	
Screening Memo	☒	☐	☐	
SHPO Concurrence	☐		☒	
Native American Coordination	☐		☒	
Finding of Effect Document	☐		☒	
Treatment Plan & MOA	☐		☒	
Hazardous Waste		☐		☐
ISA	☒		☐	
PSI	☒		☐	
ADL	☒		☐	
Air Quality Analysis		☒		☐
Hot Spot Analysis	☐		☒	
MSAT	☐		☒	
Noise Study	☐	☒	☒	☐
Water Quality	☐	☒	☒	☐
Community Impact Assessment				☐
Environmental Justice	☐		☒	
Growth Related Impacts	☐		☒	
Cumulative Impacts	☐		☒	☐
Farmland	☐		☒	☐
Visual Resources		☐		☐
Scenic Resource Evaluation	☐		☒	
Visual Impact Assessment	☒		☐	
Floodplain Evaluation	☐		☐	☐
Paleontology	☐		☒	☐
Section 4(f) Evaluation	☐		☒	☐
Wild and Scenic River Consistency	☐		☒	☐
Geology	☐		☒	☐
Topology	☐		☒	☐
Soils	☐		☒	☐
Greenhouse Emissions	☐		☒	☐

Permits Anticipated for Construction

	Required	Not Required
401 Permit Coordination (discharge into navigable waters)	☒	☐
404 Permit Coordination (discharge into waters of the US including wetlands)	☒	☐
☐ - Nationwide		
☐ - Individual		
1600 Permit (Streambed Alteration)	☒	☐
City/County Coastal Permit Coordination	☒	☐
State Coastal Permit Coordination	☒	☐
NPDES Coordination	☒	☐
US Coast Guard (Section 10)	☐	☒
State 2081 Permit (State only incidental take of threatened or endangered species)	☒	☐

Discussion of Technical Review

Biology – California Natural Diversity Database (CNDDB), California Native Plant Society, Fish and Wildlife Service websites were not queried as project information is unknown and the project area is large and undefined to utilize those resources. Both CNDDB Special Animals List (CDFW 2014) and the CNDDB State and Federal Listed Endangered, Threatened and Rate Plants of California (CDT FW 2015) were reviewed in making decisions as to which sensitive species appear most likely to be impacted by the project. It is critical to obtain adequate mapping and project description information for project areas in order to adequately assess the biological impacts. Several technical reports could be prepared as well as several permits during biological review. It is currently estimated that biology will be the critical path for this project. Review Assumptions and Risk section of this document on biological studies, mitigation and permitting.

Cultural Resources- Due to the nature of the project, cultural staff anticipate that only minimal studies would be required. A Screened Undertaking memo would be prepared. It will take approximately 12 months, possibly longer, to complete studies, depending on how many of the project locations need field review.

Hazardous Waste – Central Region hazardous waste staff has concerns with lead impacted soil and treated wood waste. Caltrans has not performed any Aerially Deposited Lead studies within our near the proposed project limits. A Preliminary Site Investigation may be required to characterize the soil and to determine the levels of contamination of soil to be removed from any project locations. Disturbance and removal of soil would require special provisions. Removal of any of the existing sign posts may require handling and possible disposal of treated wood waste. Standard Special Provision 14-11.09 will address special handling, storage, treatment and/or disposal, depending on quantities generated from the project.

Air Quality Analysis – Air Quality Scoping Memo dated December 26, 2014. According to 40 CFR Section 93.126 Table 2, the improvements proposed for this project are exempt from the requirement that a conformity determination be made (*traffic control devices and operating assistance other than signalization projects*). Such projects may proceed toward implementation even in the absence of a conforming transportation plan and Transportation Improvement Program. This project does not interfere with the implementation of the Traffic Control Measures. The largest percentage of air pollutants would be windblown dust generated during excavation, grading, hauling and other activities and would vary each day as construction progresses. This project involves minimal construction emissions or air contaminants and therefore, is exempt from CEQA requirements.

Noise Study - Noise Scoping Memo dated December 26, 2014. Transportation projects subject to Caltrans' Traffic Noise Analysis Protocol are projects defined as Type I projects in Section 23 Code of Federal Regulations §772. Federal regulations describes a Type I project as: "*A proposed federal or federal-aid highway project for the construction of a highway on a new location, or the physical alteration of an existing highway which significantly changes either the horizontal or vertical alignment, or increase the number of through-traffic lanes.*" According to said criteria of a Type I project, the proposed project will neither increase the existing traffic capacity nor alter the location of the highway and not a Type I project. No further investigation concerning noise is needed.

Water Quality – Water Quality Scoping Memo dated December 26, 2014. The proposed project includes minor ground disturbance activities and has the potential of impacting short-term water quality in the area. No long-term water quality impacts are anticipated.

All short-term water quality impacts need to be addressed in the Design and Construction phase of the project. In order to address any potential impacts, Best Management Practices (BMPs) need to be selected and implemented in accordance with the Project Planning and Design Guide. The contractor, as required in Caltrans Standard Specification Section 13-1, must address all potential water quality impacts that may occur during construction.

Any potential impact (erosion, accidental spills of hazardous material and disruption of natural drainage patterns) must be addressed, eliminated or minimized to the maximum extent practicable during the design and construction phases by incorporating the appropriate permanent and temporary BMPs into the project.

The Caltrans Stormwater Unit was consulted to identify the appropriate management practices for all storm water concerns. Because this project is in located throughout the Monterey, Santa Cruz, and San Benito counties, the project is in Rainfall Region 2 and 3 of the Storm Water Pollution Prevention Plan/Water Pollution Control Plan Preparation Manual. During construction, effective combinations of temporary and permanent erosion and sediment controls will be used. Storm water management for the site will be coordinated through the contractor with Caltrans construction personnel to effectively manage erosion from the disturbed soil area by implementing a Water Pollution Control Plan for the project.

If potential water quality impacts are correctly identified and mitigated by BMPs, it is unlikely that the proposed project will have any adverse effect on surface or groundwater quality.

Community Impact Assessment – Project areas are within Caltrans right-of way, no community impacts are anticipated.

Cumulative Impacts - Project areas are within Caltrans right-of way, no cumulative impacts are anticipated.

Farmland - Project areas are within Caltrans right-of way, no farmland impacts are anticipated.

Visual Resources – The proposed project would potentially involve every on- and off-ramp on every route in three counties, the potential of having some effect on a CEQA scenic resources is high. Due to the project's breadth and scale, including potential alterations to several officially Designated State Scenic Highways, A National Scenic Byway, and many locations in the Coastal Zone, a Visual Impact Assessment will be prepared. It is anticipated that mitigation could include viewshed enhancement, clutter reduction, planting, and other off-setting aesthetic features could cost $300,000.

Floodplain Evaluation – A Floodplain Evaluation would be prepared

Paleontology – Paleontology Scoping Review dated January 30, 2015. Since all work will be on the roadway shoulders and possibly median where previous disturbance has taken place, there should be no probability of encountering paleontological resources associated with the project. If there is a change in the nature or scope of the project, a supplemental request would be required.

Section 4(f) Evaluation - Project areas are within Caltrans right-of way, no Section 4(f) impacts are anticipated.

Possible Permits

- 2081 Incidental Take Permit for California Department of Fish & Wildlife for if state-listed species potentially impacted, or if wetlands are impacted.
- Army Corps of Engineers 404 and 401 Permit possible if work occurs within jurisdictional streams, their riparian habitat, confirmation that permits are needed is required.
- 1600 Streambed Alteration Permit for California Department of Fish & Wildlife if work occurs in jurisdictional streams, their associated riparian habitat.
- Coastal Permit because portions of the proposed project lie within the Coastal Zone.

List of Preparers

Biology by Robb Tibstra	January 27, 2015
Air Quality, Noise, Water Quality by Allam Alhabaly	January 22, 2015
Visual Resources by Robert Carr	February 9, 2015
Hazardous Waste by Isaac Leyva	December 19, 2014
Paleontology by Isaac Leyva	January 30, 2015
Cultural Resources by Christina MacDonald	January 15, 2015
Preliminary Environmental Analysis Report by Judith Lopez	February 18, 2015

Revised: 2/19/2015

Central Region Environmental Division
Mitigation Compliance Cost Estimate (MCCE)

This MCCE is for: **PEAR**

Dist - Co - Rte - PM: 05-VAR-101-0/0
EA: 05-1G310
Project Name: Warning Sign Upgrades
Alternative #: (If applicable)
Project Description: Sign Upgrades
Environmental Senior: Kirsten Helton — Phone Number: 559-445-6461
Design Manager: Foad Al-Hamdani — Phone Number: 559-243-3546
Design Engineer: Apurva Gokal — Phone Number: 559-243-3547
Project Manager: ROSALES, RICHARD A — Phone Number: 805-549-3792
Date: 2/19/2015
MCCE Prepared By: Judith Lopez — Phone Number: 559-445-6663

	Right of Way Capital (Prior to Construction 050-$'s)			Construction Capital (During & Post Construction 042-$'s)	FY $$ Needed
Archaeological					
Architectural History					
Paleontology					
Hazardous Waste					
Air Emissions					
Biological	Acres	Dollars	FY $$ Needed		
Mitigation parcels (acre/dollars)	/				
Mitigation/Bank Credits (acre/dollars)	/				
Monitoring					
Permit Fees					
CDFW Document Filing Fee		$2,210	16/17		
401		$12,000			
1600		$4,912			
Visual Resources				$300,000	
Other					
Other					
Other					
Other					
TOTAL		**$19,122**		**$300,000**	

Approved By:

Kirsten Helton
Environmental Branch Chief — Date: 2/19/2015

If mitigation totals more than $1,000,000:

Environmental Office Chief — Date:

If Right of Way Capital (050) is needed:

Right-of-Way Office Chief, Mitigation — Date:

Point here for instructions

CENTRAL REGION PID DISTRIBUTION LIST

Division / Program / Office	Project Type	D5		D6		D9	
FHWA	Designated high profile projects only. Refer to Stewardship Agreement	Dominic Hoang	1	Dominic Hoang	1	Dominic Hoang	1
HQ Division of Design	All Projects	Design Report Routing	1	Design Report Routing	1	Design Report Routing	1
HQ Program Advisor	SHOPP	HQ Program Advisor gets one copy but do not duplicate other Advisors listed below. For Program Advisors not listed, refer to http://crweb/pjd/docs/CR_SHOPP_Program_Advisors.xlsx	1	HQ Program Advisor gets one copy but do not duplicate other Advisors listed below. For Program Advisors not listed, refer to http://crweb/pjd/docs/CR_SHOPP_Program_Advisors.xlsx	1	HQ Program Advisor gets one copy but do not duplicate other Advisors listed below. For Program Advisors not listed, refer to http://crweb/pjd/docs/CR_SHOPP_Program_Advisors.xlsx	1
HQ Division of Engineering Serv	All Projects	Division of Engineering Services	5	Division of Engineering Services	5	Division of Engineering Services	5
HQ Transportation Programming	STIP	Kurt Scherzinger	1	Kurt Scherzinger	1	Kurt Scherzinger	1
	SHOPP	Rick Guevel		Rick Guevel		Rick Guevel	
HQ Environmental	All Projects	Bob Pavlik	1	Bob Pavlik	1	Bob Pavlik	1
HQ Maintenance	HA22	Leo Mahserelli	1	Ron Jones	1	Ron Jones	1
	HA21	Roger Hunter		Roger Hunter		Roger Hunter	
	HA42, HA23	Gerald Kracher		Daniel Irvine		Gerald Kracher	
	STIP	Patti-jo Dickinson		Patti-jo Dickinson		Patti-jo Dickinson	
HQ Traffic Operations	HB4N, HB4C	Matthew Friedman		Matthew Friedman		Matthew Friedman	
HQ Traffic Ops/Traffic Safety Pgm	HB1	John Holzhauser		John Holzhauser		John Holzhauser	
HQ Traffic Ops/Traffic Safety Pgm	HB711	Darold Heikens		Darold Heikens		Darold Heikens	
HQ SHOPP Program Advisor	For other prog	HQ Advisors List		HQ Advisors List		HQ Advisors List	
Project Manager	All Projects	Project Manager	1	Project Manager	1	Project Manager	1
Design Manager	All Projects	Design Manager	2	Design Manager	2	Design Manager	2
Resident Engineer	All Projects	Resident Engineer	1	Resident Engineer	1	Resident Engineer	1
District Maintenance	All Projects	Lance Gorman	1	John Liu	1	Craig Holste	1
	D6 Eastern Kern		0	Craig Holste	1		
	SHOPP	Kelly Mcclain	1		0		
District Traffic Management	All Projects	Jacques Van Zeventer	1	Joel Aguilar	1	Terry Erlwein	1
District Traffic Safety	201.010 & 201.015	Deb Larson	1	No Copy	0	No Copy	0
District Traffic Safety	Mon	Mark Ballentine	1		0		0
District Traffic Safety	SLO/SBT	Steve Talbert					
District Traffic Safety	SB/SCR	Scott Morris					
Region Traffic Design	All Projects	Mohammed Qatami	1	Mohammed Qatami	1	Mohammed Qatami	1
District Traffic Operations	All Projects	Paul McClintic	1	Albert Lee	1		1
Region Materials	All Projects	Doug Lambert	1	Ted Mooradian	1	Dave Dhillon-retired	1
Region Environmental	All Projects	Susan Schilder	1	Susan Schilder	1	Susan Schilder	1
Region Landscape	All Projects	Dennis Reeves	1	No Copy	0	No Copy	0
Region Right of Way	All Projects	Connie Shellooe	1	Nick Dumas	1	Nancy Escallier	1
Distict Planning	All Projects	Claudia Espino	1	Steve Curti	1	Brad Mettam	1
PPM	All Projects	Linda Araujo	1	Andrea Schmuki	1	Linda Araujo	1
District Single Focal Point	All Projects	No Copy	0	No Copy	0	Bryan Winzenread	1
Surveys	All Projects		0	Hanna Kassis (electronic copy only)	0	Hanna Kassis (electronic copy only)	0
	All Projects	Jeremy Villegas	1				
	Mon/SC/SBt	Bob Fredricks	1				
	SB/SLO	Nick Tatarian					
HQ DES/OPPM	Proj w/Structures	Andrew T S Tan	1	Peggy Lim	1	Andrew T S Tan	1
District Records	All Projects	Pat Duty (electronic copy only)	0	Victoria Pozuelo (electronic copy only)	0	PM gets District's copy per Craig Holste	1
	TOTAL COPIES	District 5 = 31		District 6 = 26		District 9 = 27	

ATTACHMENT D