

ROAD REPAIR AND ACCOUNTABILITY ACT OF 2017
PROJECT BASELINE AGREEMENT
Gaviota-Nojoqui CAPM (05-1H860)

Resolution **SHOPP-P-1920-09B**

(will be completed by CTC)

1. FUNDING PROGRAM

- ☐ Active Transportation Program
- ☐ Local Partnership Program (Competitive)
- ☐ Solutions for Congested Corridors Program
- ☒ State Highway Operation and Protection Program
- ☐ Trade Corridor Enhancement Program

2. PARTIES AND DATE

- 2.1 This Project Baseline Agreement (Agreement) for the *Gaviota-Nojoqui CAPM (05-1H860)*, effective on June 24, 2020 (will be completed by CTC), is made by and between the California Transportation Commission (Commission), the California Department of Transportation (Caltrans), the Project Applicant, *Caltrans*, and the Implementing Agency, *Caltrans*, sometimes collectively referred to as the "Parties".

3. RECITAL

- 3.2 Whereas at its March 22, 2018 meeting the Commission approved the State Highway Operation and Protection Program, and included in this program of projects the *Gaviota-Nojoqui CAPM (05-1H860)*, the parties are entering into this Project Baseline Agreement to document the project cost, schedule, scope and benefits, as detailed on the Project Programming Request Form attached hereto as Exhibit A and the Project Report attached hereto as Exhibit B, as the baseline for project monitoring by the Commission.
- 3.3 The undersigned Project Applicant certifies that the funding sources cited are committed and expected to be available; the estimated costs represent full project funding; and the scope and description of benefits is the best estimate possible.

4. GENERAL PROVISIONS

The Project Applicant, Implementing Agency, and Caltrans agree to abide by the following provisions:

- 4.1 To meet the requirements of the Road Repair and Accountability Act of 2017 (Senate Bill [SB] 1, Chapter 5, Statutes of 2017) which provides the first significant, stable, and on-going increase in state transportation funding in more than two decades.
- 4.2 To adhere, as applicable, to the provisions of the Commission:
- ☐ Resolution *Insert Number*, "Adoption of Program of Projects for the Active Transportation Program", dated
 - ☐ Resolution *Insert Number*, "Adoption of Program of Projects for the Local Partnership Program", dated
 - ☐ Resolution *Insert Number*, "Adoption of Program of Projects for the Solutions for Congested Corridors Program", dated
 - ☒ Resolution G-18-13, "Adoption of Program of Projects for the State Highway Operation and Protection Program", dated March 22, 2018
 - ☐ Resolution *Insert Number*, "Adoption of Program of Projects for the Trade Corridor Enhancement Program", dated

- 4.3 All signatories agree to adhere to the Commission's State Highway Operation and Protection Program, Guidelines. Any conflict between the programs will be resolved at the discretion of the Commission.
- 4.4 All signatories agree to adhere to the Commission's SB 1 Accountability and Transparency Guidelines and policies, and program and project amendment processes.
- 4.5 Caltrans agrees to secure funds for any additional costs of the project.
- 4.6 Caltrans agrees to report on a quarterly basis; after July 2019, reports will be on a semi-annual basis on the progress made toward the implementation of the project, including scope, cost, schedule, outcomes, and anticipated benefits.
- 4.7 Caltrans agrees to prepare program progress reports on a quarterly basis; after July 2019, reports will be on a semi-annual basis and include information appropriate to assess the current state of the overall program and the current status of each project identified in the program report.
- 4.8 Caltrans agrees to submit a timely Completion Report and Final Delivery Report as specified in the Commission's SB 1 Accountability and Transparency Guidelines.
- 4.9 All signatories agree to maintain and make available to the Commission and/or its designated representative, all work related documents, including without limitation engineering, financial and other data, and methodologies and assumptions used in the determination of project benefits during the course of the project, and retain those records for four years from the date of the final closeout of the project. Financial records will be maintained in accordance with Generally Accepted Accounting Principles.
- 4.10 The Transportation Inspector General of the Independent Office of Audits and Investigations has the right to audit the project records, including technical and financial data, of the Department of Transportation, the Project Applicant, the Implementing Agency, and any consultant or sub-consultants at any time during the course of the project and for four years from the date of the final closeout of the project, therefore all project records shall be maintained and made available at the time of request. Audits will be conducted in accordance with Generally Accepted Government Auditing Standards.

5. SPECIFIC PROVISIONS AND CONDITIONS

5.1 Project Schedule and Cost

See Project Programming Request Form, attached as Exhibit A.

5.2 Project Scope

See Project Report or equivalent, attached as Exhibit B. At a minimum, the attachment shall include the cover page, evidence of approval, executive summary, and a link to or electronic copy of the full document.

5.3 Other Project Specific Provisions and Conditions

Attachments:

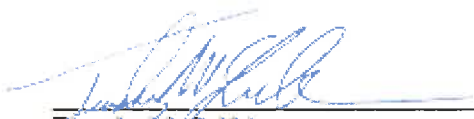
Exhibit A: Project Programming Request Form

Exhibit B: Project Report

SIGNATURE PAGE
TO
PROJECT BASELINE AGREEMENT

Gaviota-Nojoqui CAPM (05-1H860)

Resolution SHOPP-P-1920-09B



Timothy M. Gubbins
District Director, California Department of Transportation, District 5

05/06/2020

Date



Toks Omishakin

6.9.20

Date

Director

California Department of Transportation

Mitchell Weiss

Date

Executive Director

California Transportation Commission

Baseline agreement information was extracted from Caltrans' project data systems. Project description, funding and performance measures are from CTIPS. Project delivery milestones are from PRSM. All information is current and accurate.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

BASELINE AGREEMENT

Date: 05/05/20 08:52:12 AM

District	EA	Project ID		PPNO	Project Manager	
05	1H860	0517000002		2700	BORDERS, JUSTIN W	
County	Route	Begin Postmile	End Postmile	Implementing Agency		
SB	101	46.2	R 52.3	PA&ED	Caltrans	
				PS&E	Caltrans	
				Right of Way	Caltrans	
				Construction	Caltrans	
Project Nickname						
Gaviota-Nojoqui CAPM						
Location/Description						
Near Gaviota, from 0.1 mile south of Gaviota Beach State Park to Old Coast Highway. Rehabilitate pavement. (G13 Contingency)						
Legislative Districts						
Assembly:	37	Senate:	19	Congressional:	24	
PERFORMANCE MEASURES						
	Primary Asset	Good	Fair	Poor	New	Total Units
Existing Condition	Pavement	8.857	18.768			27.625 Lane-miles
Programmed Condition	Pavement	27.625				27.625 Lane-miles
Project Milestone					Actual	Planned
Project Approval and Environmental Document Milestone					04/29/20	
Right of Way Certification Milestone						09/13/21
Ready to List for Advertisement Milestone						11/18/21
Begin Construction Milestone (Approve Contract)						06/28/22
FUNDING (Allocated amounts are shaded)						
Component	Fiscal Year	SHOPP				Total
PA&ED	17/18	2,160				2,160
PS&E	19/20	2,648				2,648
RW Support	19/20	76				76
Const Support	21/22	5,026				5,026
RW Capital	21/22	77				77
Const Capital	21/22	59,218				59,218
Total		69,205				69,205

Project Report

For Project Approval

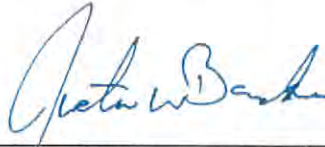
In Santa Barbara County near Gaviota
From 0.1 Mile South of Gaviota Beach State Park
To Old Coast Highway

I have reviewed the right-of-way information contained in this report and the right-of-way data sheet attached hereto, and find the data to be complete, current and accurate:



JAMIE LUPO, Central Region Division Chief, Right-of-Way

APPROVAL RECOMMENDED:



JUSTIN BORDERS, Project Manager

PROJECT APPROVED:



TIMOTHY M. GUBBINS, District Director

4/29/2020

Date

Vicinity Map



This project report 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.



VALERIE BEARD
REGISTERED CIVIL ENGINEER

3/19/2020
DATE



Table of Contents

1. INTRODUCTION	1
2. RECOMMENDATION	1
3. BACKGROUND.....	2
Project History.....	2
Community Interaction.....	2
Existing Facility.....	2
4. PURPOSE AND NEED.....	3
4A. Problem, Deficiencies, Justification.....	3
4B. Regional and System Planning.....	4
Identify Systems.....	4
State Planning	4
Regional Planning.....	5
Local Planning	6
4C. Traffic.....	6
Current and Forecasted Traffic	6
Collision Analysis	6
5. ALTERNATIVES.....	7
5A. Viable Alternatives	7
Proposed Engineering Features.....	7
Nonstandard Design Features	8
Interim Features	9
High-Occupancy Vehicle (Bus and Carpool) Lanes.....	9
Ramp Metering	9
California Highway Patrol Enforcement Areas	9
Park-and-Ride Facilities.....	9
Utility and Other Owner Involvement	9
Railroad Involvement.....	10
Highway Planting.....	10
Erosion Control.....	10
Noise Barriers	10
Nonmotorized and Pedestrian Features	10
Needed Roadway Rehabilitation and Upgrading.....	10
Needed Structure Rehabilitation and Upgrading	11
Cost Estimates.....	11
Right-of-Way Data.....	11
Effect of Projects-Funded-by-Others on State Highway	11
5B. Rejected Alternatives	11
6. CONSIDERATIONS REQUIRING DISCUSSION.....	11
6A. Hazardous Waste.....	11
6B. Value Analysis	11
6C. Resource Conservation.....	12

6D. Right-of-Way Issues	12
Right-of-Way Required	12
Relocation Impact Studies	12
Airspace Lease Areas.....	12
6E. Environmental Compliance	13
Wetlands and Flood Plains.....	13
Other Environmental Issues	13
6F. Air Quality Conformity	14
6G. Title VI Considerations	15
6H. Noise Abatement Decision Report.....	15
6I. Life-Cycle Cost Analysis.....	15
6J. Reversible Lanes	15
7. OTHER CONSIDERATIONS AS APPROPRIATE	15
Public Hearing Process	15
Permits	15
Transportation Management Plan.....	15
Stage Construction.....	16
Accommodation of Oversize Loads	16
Asset Management	16
Complete Streets.....	16
Climate Change Considerations	16
Broadband and Advance Technologies	17
Storm Water.....	17
Coordination with Other Projects	17
8. FUNDING, PROGRAMMING AND ESTIMATE	18
Funding.....	18
Programming	18
Estimate	19
9. DELIVERY SCHEDULE	19
10. RISKS	19
11. EXTERNAL AGENCY COORDINATION	20
Federal Highway Administration (FHWA).....	20
12. PROJECT REVIEWS.....	20
13. PROJECT PERSONNEL	20
14. ATTACHMENTS (42 Pages)	20

1. INTRODUCTION

Project Description:

The project proposes to preserve the pavement on Route 101 in Santa Barbara County near Gaviota with a Capital Preventive Maintenance (CAPM) project (see Attachment A). The existing asphalt concrete pavement will be cold planed and an overlay will be placed on Route 101 and its corresponding ramps within the project limits (see Attachments B and C).

The project details are briefly summarized in the table below. Specific work items for the project can be found in the Cost Estimate (Attachment D).

Project Limits	05-SB-101-46.2/R52.3	
	Current Cost Estimate:	Escalated Cost Estimate:
Capital Outlay Support	\$7,770,000	\$9,985,000
Capital Outlay Construction	\$51,036,200	\$56,655,072
Capital Outlay Right-of-Way	\$69,375	\$76,486
Funding Source	State Highway Operation and Protection Program (SHOPP) 201.121 Pavement Preservation	
Funding Year	2021 / 22	
Type of Facility	4-lane expressway with 1 additional truck climbing lane on each side of the Nojoqui Grade	
Number of Structures	4 existing	
SHOPP Project Output	27.625 lane miles Class 1 Pavement – (8.857 lane miles of Good to Good and 18.768 lane miles of Fair to Good)	
Environmental Determination or Document	California Environmental Quality Act (CEQA) - Categorical Exemption (CE) / National Environmental Policy Act (NEPA) - Categorical Exclusion (CE)	
Legal Description	In Santa Barbara County near Gaviota from 0.1 mile south of Gaviota Beach State Park to Old Coast Highway	
Project Development Category	4B	

2. RECOMMENDATION

This Project Report recommends that the project be approved and should proceed to the Plans, Specifications, and Estimate (PS&E) phase. Affected local agencies were consulted with respect to this project and their views have been considered. They are in general accord with the project as presented.

3. BACKGROUND

Project History

This project was initially considered a pavement resurfacing, restoration, and rehabilitation (3R) project. A safety screening, completed on November 28, 2016, concluded that this project qualified as a pavement resurfacing and restoration (2R) project. It received its 2R Project Certification on December 12, 2016. A Project Initiation Report (PIR) for this project was completed and approved on June 22, 2017. Cost estimates for the 2R were higher than expected; therefore, on September 3, 2019, the Project Development Team (PDT) evaluated data from the latest pavement condition survey, and recommended down-scoping the project to a CAPM strategy as sufficient to address the pavement health.

This section of Route 101 was rehabilitated in 1991. Since then, two overlay projects have occurred: a 20 mm (3/4 inch) open grade overlay in 2004, and a 0.10' cold plane followed by a 0.10' rubberized open graded hot mix asphalt overlay in 2011. In 2014, a high friction surfacing safety project was constructed on two southbound curves at Post Mile (PM) 47.5 and 47.8.

Community Interaction

There has been no community interaction to date. The project does not propose any geometric changes to Route 101 that will impact the community or motoring public. Construction will require lane closures on Route 101 and the Route 1/101 ramps will require night closures, with consideration given for bicycle traffic. These construction activities may cause temporary minor traffic delays.

Existing Facility

Route 101 is the main north-south corridor in the county. It accommodates interregional, truck, and commuter traffic. Within the project limits, Route 101 is a rural 4-lane expressway in mountainous terrain with truck climbing lanes on the Nojoqui Grade. The lanes and shoulders are surfaced in asphalt concrete (AC). It has 12 foot lanes, with inside shoulder widths varying from 2 to 5 feet, and outside shoulder widths varying from 2 to 10 feet. Median widths vary from 22 to 188 feet. The median typically has concrete median barrier, with Gaviota Creek crossing the median between PM 47.2 and 47.9. The right-of-way varies from 150 to 550 feet wide. Two roadside rests, one northbound (NB) and one southbound (SB), as well as ten at grade connections are within the project limits.

The following table shows geometric information for the four existing structures within the project limits.

Existing Route 101 Geometrics at Structures					
Structure	Direction	PM	Outside Shoulder	Travel Way	Inside Shoulder
Gaviota Tunnel No. 51-172 *	NB	47.19/47.27	2'	24'	2'
Gaviota Creek Bridge No. 51-24	SB	47.23	5.58'	24'	5'
Gaviota Creek Bridge No. 51-23	SB	47.93	9.25'	24'	5'
Route 1/101 Separation No. 51-239 **	NB & SB	R48.85	8'	24'	8'

*: Vertical clearance = 14.75 feet

**: Vertical clearance = 15.33 feet

4. PURPOSE AND NEED

Purpose:

The purpose of this project is to extend the service life and improve the ride quality of the existing pavement and reduce future maintenance expenditures by the Department of Transportation.

Need:

The pavement within the project limits is exhibiting minor surface distress and unacceptable ride quality, which if left uncorrected, will deteriorate to a major roadway rehabilitation need. If left untreated, pavement deterioration will increase in this corridor and will result in higher repair costs to the Department.

4A. Problem, Deficiencies, Justification

The following is the pavement condition report summary with the most recent survey and predicted construction year conditions.

Pavement Condition Summary Report (PaveM)
Both Directions; All Lanes
District: 5; County: Santa Barbara (SB); Route: 101
From PM 46.200 to PM R52.340
L-Length: 6.148. R-Length: 6.140
L-Lane Miles: 13.346. R-Lane Miles: 14.439

Year/ Condition Lane Miles	Traditional Condition (lane miles)					MAP-21 Condition (lane miles)			Total Lane Miles	Effectiveness (%)	
	Green	Yellow	Blue	Orange	Red	Good	Fair	Poor		SHOPP Effectiveness ((Red + Orange) /Total Lane Miles) %	Rehab Effectiveness (Red/Total Lane Miles) %
2015 Current	23.854	3.931	0.000	0.000	0.000	16.888	10.897	0.000	27.785	0.00	0.00
2022 Predicted	0.000	18.340	0.000	9.445	0.000	7.098	20.687	0.000	27.785	33.99	0.00

The above report measures cracking. Within this location, Maintenance has performed many dig out repairs. This short-term fix covers up cracking with a smooth riding surface. However, the underlying distress has not been mitigated and will return. A visual inspection of the project limits identified excessive wheel track dig outs as well as flushing of fines and water intrusion up through the pavement.

4B. Regional and System Planning

Identify Systems

Route 101 accommodates interregional, truck, and commuter traffic, as well as functioning as an alternate route for a portion of Interstate 5. It is a Federal Aid Primary Route and designated Freeway and Expressway as part of the Freeway and Expressway System. Route 101 is on the Interregional Road system (IRRS) and is a designated Focus Route / High Emphasis Route in the Interregional Transportation Strategic Plan (2013).

Route 101 is part of the National Highway System as a non-interstate Strategic Highway Corridor Network (STRAHNET) connector. It is also a State Highway Extra Legal Load (SHELL) route. SHELL routes must have geometric standards high enough to accommodate the larger trucks covered under the Federal Surface Transportation Assistance Act (STAA). Route 101 is designated a Terminal Access Route to the National Truck Network, and eligible to be part of the State Scenic Highway System. Within the project limits Route 101 is designated as the Pacific Coast Bike Route.

State Planning

Transportation Concept Reports (TCR) are planning documents developed by a District for any given Route. They evaluate current and future conditions while estimating transportation needs, and recommend short- and long-range improvements that address those needs within the context of the community. The vision for Route 101 as outlined in the Caltrans District 5 2014 Route 101 TCR is to:

- Optimize system efficiency by improvements that encourage mode-shifts and a reduction of single-occupancy vehicles. This includes support for Transportation Demand Management strategies, including ridesharing, park and ride facilities, increased efficiency and transitions between transit systems, online real time traffic information programs, and other commuter programs. It also includes implementation of Transportation System Management strategies including ramp metering, High Occupancy Vehicle lanes, Changeable Message Signs, and other ITS features.
- Increase opportunities for multimodal integration to and along Route 101 through transit, rail, and bike improvements, and support the development of

parallel road networks as alternative travel options.

- Improve safety and operations by managing access and reducing conflict points through continuing cooperative planning with local entities on parallel and local route development.
- Provide for a sustainable transportation system using asset management and life-cycle cost considerations.
- Support reliable travel. Options for expansion should remain viable where demand exceeds capacity.

The proposed project is consistent with the route concept envisioned in the Route 101 TCR. Recommendations from District Asset Manager were incorporated into the project. This project provides a sustainable transportation system using asset management.

Regional Planning

The Santa Barbara County Association of Governments (SBCAG) is the regional planning agency for Santa Barbara County. It develops a Regional Transportation Plan (RTP) that allocates state and federal transportation funds within the county over a long-range timeframe. Although this project does not address the current highway projects identified by SBCAG, this project is consistent with their goal to create better communities through partnership and address regional and multi-jurisdictional issues.

Fast Forward 2040, SBCAG Regional Transportation Plan and Sustainable Communities Strategy, accounts for demographic growth on the region's land use and travel patterns. The goals outlined in this document are:

- Foster patterns of growth, development, and transportation that protect natural resources and lead to a healthy environment.
- Optimize the transportation system to improve accessibility jobs, schools, and services, allow the unimpeded movement of people and goods, and ensure the reliability of travel by all modes.
- Ensure that the transportation and housing needs of all socio-economic groups are adequately served.
- Improve public health and ensure the safety of the regional transportation system.
- Achieve economically efficient transportation patterns and promote regional prosperity and economic growth.

The proposed project is consistent with Fast Forward 2040. Resurfacing this section of Route 101 will optimize the transportation system since it will then only require minimal maintenance. Safety of the regional transportation system will be ensured by not only resurfacing the pavement, but also upgrading the barriers and applying high friction surface treatment at target areas.

Local Planning

The Gaviota Coast Plan designates and regulates land uses in the Gaviota Coast Plan area. It provides a framework for the general public, landowners, and decision makers for planning future development. Transportation policies in the Gaviota Coast Plan pertinent to this project are summarized as follows:

- Preserve the rural scenic characteristics of Route 101 when considering future improvements.
- Limit new at-grade crossings of Route 101.
- Enhance the Pacific Coast Bike Route by establishing separated paths and connecting existing bikeways.

The proposed project is consistent with the Gaviota Coast Plan because it will resurface the existing pavement. This will maintain the existing geometry of the roadway, while greatly reducing future maintenance, and thereby preserve the rural scenic characteristics of Route 101.

4C. Traffic

Current and Forecasted Traffic

The following traffic data shows the expected increase in traffic volumes on Route 101 for the proposed project.

Route 101 Traffic Data								
Post Miles	DHV			AADT			2014 NB/SB % Split*	% Daily Trucks
	2014	2022	2032	2014	2022	2032		
33.85/R48.85	3,450	4,080	4,868	29,400	30,995	32,988	22 / 88	9
R48.85/R56.46	2,900	3,136	3,431	23,300	24,375	25,718	59 / 41	12

DHV: Design Hourly Volume

AADT: Annual Average Daily Traffic

* NB/SB % Split: Total traffic indicating the percentage and direction of travel during the peak hour

Collision Analysis

The collision rates for the three-year period from January 1st, 2012 through December 31st, 2014 for Route 101 are compared to the statewide averages and are presented below.

Route 101 Collision Data									
Location	No. of Collisions			Actual Rates (Coll/MVM)			Average Rates (Coll/MVM)		
	Fatal	Inj.	Total	Fatal	F+I	Total	Fatal	F+I	Total
PM 46.2 to R52.3	0	57	211	0	0.32	1.2	0.01	0.22	0.56

Coll/MVM: Collisions per Millions of Vehicle Miles

The actual total collision rate is higher than the statewide average. This CAPM project is not expected to contribute to the frequency or severity of collisions. Recommendations from the Safety Analysis are incorporated into the project (such as installing High Friction Surface Treatment at several locations, and replacing a concrete ditch with a culvert at the southbound 1/101 on-ramp).

5. ALTERNATIVES

5A. Viable Alternatives

Build Alternative

The build alternative for this project is described below under the section Proposed Engineering Features. The build alternative is considered the only comprehensive viable alternative to complete the pavement preservation for this Route 101 corridor.

Proposed Engineering Features

The viable alternative proposes to preserve the pavement on Route 101 in Santa Barbara County near Gaviota from 0.1 mile south of Gaviota Beach State Park to Old Coast Highway with a CAPM project. Pavement conditions have triggered the need for this pavement preservation project. This CAPM project will maintain the facility in a serviceable and safe condition for the traveling public, correct ride and minor structural defects in the pavement, and reduce roadway worker exposure to traffic by minimizing their need to repeatedly visit deteriorating pavement locations.

The proposed work will first cold plane 0.20', then place 0.20' Rubberized Hot Mix Asphalt (RHMA) followed by a 0.10' Hot Mix Asphalt Open Graded Friction Course (HMA-O) (see Attachments B and C). The existing vertical clearances at the Gaviota Tunnel and the Route 1/101 Separation will be maintained. At three locations southbound and one location northbound the HMA-O will be replaced with a High Friction Surface Treatment (HFST). The ramps at the 1/101 Interchange will also be resurfaced. This strategy has the concurrence of the District Pavement Program Manager.

Existing concrete barriers will be upgraded to provide the current standard barrier height. Concrete barrier will be installed in the median from PM R52.1 to R52.3

(replacing existing three beam barrier at the end of the project). Existing metal beam guardrail will be replaced with Midwest Guardrail System (MGS), and existing MGS will be raised to meet minimum height standards. Existing metal beam guardrail over an existing crib wall will be replaced with a concrete barrier on barrier slab (see Attachment E). Short retaining walls and longer guardrail posts will be necessary to provide the standard distance between the face of rail and embankment hinge points.

Drainage inlets will be adjusted to match the new profile grade, and dike will be reconstructed. The SB 1/101 on-ramp has a drainage inlet that will be replaced, and a concrete ditch that will be replaced with a culvert and drainage inlet. An additional drainage inlet will be installed north of the SB 1/101 on-ramp's gore to intercept drainage from the ramp. Inside and outside rumble strips and a tapered edge will be constructed where appropriate. Ramp and rest area lighting will be reconstructed as required, and existing counting loops in the southbound lanes at PM 46.4 will be re-established during construction. Warning and guide signs will be upgraded to Type XI sheeting.

Nonstandard Design Features

This project has been identified and developed as a CAPM candidate per Design Information Bulletin (DIB) 81-02. For the majority of the project no roadway geometric features will be changed and design standard decision documents for deviations from boldface and underlined design standards are not required.

However, proposed nonstandard design features to remain have been documented in a Design Standard Decision Document (DSDD) from Post Mile (PM) 47.0 to 47.8 in the southbound lanes. These nonstandard features relating to superelevation, horizontal stopping sight distance, lateral clearance, shoulder width, and minimum horizontal clearance occur when the inside shoulder's existing concrete barrier is replaced with concrete barrier at the standard height. The environmental and geometric impacts and costs to make a standard solution would be disproportionately excessive and would result in the concrete barrier upgrade work being dropped from the project. It is expected that these nonstandard features will not contribute to an increase in collision rates after construction of the project.

All known nonstandard design features at this location were documented in the DSDD; therefore, a design standards risk assessment is not included in this report. The DSDD was approved by the Central Region Design II Chief of Project Development on March 19, 2020. Nonstandard features on the southbound lanes of Route 101 from PM 47.0/47.8 include:

- Superelevation rate: Highway Design Manual (HDM) Table 202.2D
- Horizontal Stopping Sight Distance: HDM 203.1
- Lateral Clearance: HDM 203.2, Figure 201.6
- Shoulder Width: HDM 302.1
- Minimum Horizontal Clearance: HDM 309.1(3)(a)

The DSDD has been entered into the Project History File and the Document Retrieval System.

Interim Features

No interim features are proposed, therefore this section is not applicable.

High-Occupancy Vehicle (Bus and Carpool) Lanes

No High-Occupancy Vehicle Lanes are proposed, therefore this section is not applicable.

Ramp Metering

Ramp metering is not proposed, therefore this section is not applicable.

California Highway Patrol Enforcement Areas

California Highway Patrol enforcement activities are not affected by this project, therefore this section is not applicable.

Park-and-Ride Facilities

No park-and-ride facilities are proposed, therefore this section is not applicable.

Utility and Other Owner Involvement

Seven utilities are located within the CAPM project limits, including: natural gas, water, and petroleum pipelines, overhead and underground telecommunications, electrical distribution, cable television, and fiber optic lines. It is expected that all utilities may be avoided or protected in place; therefore, no utility relocation is anticipated. The majority of this project includes excavations less than 6" deep, except for guardrail and sign work, and concrete barrier footings. In the case of a utility crossing the roadway at the location of guardrail, modifying the guardrail to avoid the utility will be used, such as skipping a guardrail post. Sign locations may be adjusted to avoid utilities. Utility potholing is anticipated where construction crosses oil, gas, water, and fiber optic lines. During PS&E a Utility Policy Exception shall be requested to waive potholing existing longitudinal utilities every 100 feet, and an Encroachment Policy Exception shall be requested for the existing longitudinal utilities to remain in place. The Right-of-Way (R/W) Utility Division will require a minimum lead time of 3 months after receiving certified appraisal maps and/or utility conflict plans (see Attachment F).

Railroad Involvement

Railroad tracks are located south of the project limits. Construction of this project is within State R/W and will have no impacts on the railroad; therefore, no railroad involvement will be required.

Highway Planting

No highway planting will be removed or replacement planting anticipated, therefore this section is not applicable.

Erosion Control

Temporary and permanent erosion control measures and best management practices (BMPs) will be implemented during construction to provide erosion control and to control storm water discharges in all areas that have been disturbed by the proposed work.

All disturbed areas will be treated with erosion control selected to best address the project site conditions. Invasive species shall not be included in the erosion control seed mix. Permanent erosion control will require the use of regionally appropriate California native flowering plants and grass species that occur in the same general geographic area as the project site. Steep slopes or areas exposed to concentrated flows will receive aggressive erosion control techniques such as application of duff, netting, fiber rolls, compost berms and socks, and either mulch or hydroseed.

Noise Barriers

No noise reduction features are proposed, therefore this section is not applicable.

Nonmotorized and Pedestrian Features

Bicycles are allowed on Route 101 within the project limits, and is designated a Class III Bikeway (Bike Route). It is part of the Pacific Coast Bicycle Route. An existing bicycle detection system just south of the Gaviota Tunnel on Route 101 northbound will be replaced as part of this CAPM project. Bicycle access will be maintained during and after construction. No existing pedestrian features are part of this project, and none are proposed.

Needed Roadway Rehabilitation and Upgrading

This CAPM project will be upgrading the existing Route 101 surfacing. Pavement conditions are discussed under Section 4A "Problem, Deficiencies, Justification" elsewhere in this report.

Needed Structure Rehabilitation and Upgrading

No bridges are being replaced, therefore this section is not applicable.

Cost Estimates

The current estimated cost for the viable build alternative is \$51,036,200 for roadway items and \$69,375 for R/W items for a total cost of \$51,106,000. See Attachment D for the detailed project cost estimate.

Right-of-Way Data

All work will occur within State R/W. Additional right of way is not required, and no permanent or temporary easements are expected. Right of Way will require a minimum lead time of 3 months after receiving certified appraisal maps and/or utility conflict plans if required (see Attachment F).

Effect of Projects-Funded-by-Others on State Highway

A special funded project is one that uses local or private funds. This CAPM project is not funded-by-others, therefore this section is not applicable.

5B. Rejected Alternatives

The no-build alternative would not preserve the roadway. This alternative would not meet the objectives set by Caltrans District 5's Route 101 Transportation Concept Report, SBCAG's Regional Transportation Plan and Sustainable Communities Strategy, nor the Gaviota Coast Plan for this segment of Route 101.

6. CONSIDERATIONS REQUIRING DISCUSSION

6A. Hazardous Waste

There are no hazardous waste sites or business commonly associated with hazardous waste generation that will affect this project. Aerially deposited lead (ADL) will not be an issue due to minimal disturbance of the soil and the disturbed soil remaining onsite. As there is some lead in all soils, a Lead Compliance Plan shall be included with this project. Treated wood waste will be generated from the removal and reconstruction of the existing guardrail. Provisions will be included in the project for handling and disposing of the treated wood waste.

6B. Value Analysis

Federal law requires that all Federal aid projects on the National Highway System

(NHS) with a total project cost of \$50 million or more, or bridge projects over \$40 million, are required to have a Value Analysis (VA) study completed. In addition to Federal requirements, the State requires a VA study for all projects over \$25 million, excluding oversight projects. A VA study for this CAPM project is scheduled for early in the PS&E phase.

6C. Resource Conservation

Several opportunities for resource conservation are in this project. Water conservation will be encouraged during construction. The Contractor will be encouraged to recycle any reusable materials, such as steel from guard rail or aluminum from signs. Asphalt grindings may be used as Reclaimed Asphalt Pavement at a local hot plant.

RHMA uses crumb rubber obtained from scrap tires, thereby reducing the amount of tires placed in landfills. Approximately 49,400 tons of RHMA will be used for this project. The District Maintenance Engineer requested that HMA-O be used instead of Rubberized Hot Mix Asphalt Open Graded Friction Course (RHMA-O) at this location, resulting in approximately 22,900 tons of HMA-O. Approximately 5,710 tons of Hot Mix Asphalt (Type A) will be used to repair failed areas and place dikes, overside drains, and the pad under the concrete barrier. For the total amount of asphalt concrete used in this project, approximately 63% will be RHMA.

The footprint of the project has been minimized to protect the adjacent creek and other natural environments within the project limits. Temporary fencing will be used to prevent impacts to any specific biological or historical assets. The use of in-place facilities will be maximized and existing materials will be preserved when possible. Effective traffic control and construction signing will be used to minimize the amount of lane closures and delays to reduce fuel consumption and emissions.

6D. Right-of-Way Issues

Right-of-Way Required

As shown on the R/W Data Sheet (Attachment F), no additional Right-of-Way is required. R/W will require a minimum lead time of 3 months after receiving certified appraisal maps and/or utility conflict plans if required.

Relocation Impact Studies

No persons or businesses will be displaced with this CAPM project, therefore this section is not applicable.

Airspace Lease Areas

No future airspace leases are anticipated, therefore this section is not applicable.

6E. Environmental Compliance

The project is Categorical Exempt under Class 1 of the California Environmental Quality Act (CEQA) Guidelines (see Attachment G). The project is Categorical Excluded under the National Environmental Policy Act (NEPA).

Wetlands and Flood Plains

It is anticipated that this CAPM project will not impact any wetlands. The Nojoqui Creek Flood Plain crosses Route 101 at PM R52.2. A Location Hydraulic Study performed on October 15, 2019 concluded that the existing 15' x 15' concrete arch culvert conveys the 100-year flood event with no overtopping of the highway. The proposed project will not affect the existing flood plain. At this location existing three beam median barrier will be replaced with concrete barrier. District Hydraulics recommends that wildlife passageways be placed at this location to create openings in the barrier that water may pass through if necessary.

Other Environmental Issues

Beyond the gore paving (earth-tone integral colored concrete with an exposed aggregate finish) will be installed at the 1/101 Interchange's gores to minimize Maintenance worker exposure to traffic. Signs located in beyond the gore paving areas will be installed using post sleeves. Vegetation control shall be placed under all replaced and proposed guardrail and shall consist of mineral mulch or crushed shale rock. The existing vegetation shall be preserved to the maximum extent feasible.

Replaced concrete barriers between the Route 101 outside shoulders and the Gaviota Rest Areas shall match existing aesthetics including form-liner texture with integral color and stain on the highway side of the barrier and *Sydney Flagstone Veneer* on the side facing the rest areas. From the beginning of the project (PM 46.0) to the 1/101 Interchange (PM 48.8) all replaced concrete barrier shall have integral color, all replaced and proposed guardrail shall receive stain, and all retaining walls (hinge point walls) visible from Route 101 shall have integral color. The existing median drainage inlet paving at PM 49.781 and PM 50.781 shall receive oxidizing stain. New or replacement rock drapery is not expected to be part of this project, however if found to be required the rock drapery will be colored to minimize noticeability.

Only clean fill shall be imported, and all vegetation removed from the construction site shall be taken to a landfill to prevent the spread of invasive species. Vegetation removal shall occur prior to other construction activities and shall be scheduled from October 1 to January 31 to avoid the typical nesting bird season if possible. If tree removal or other construction activities are proposed to occur within 100 feet of potential bird habitat during the nesting season (February 1 to September 30), a nesting bird survey shall be conducted by a qualified biologist no more than three

days prior to construction. If active nests are found, buffer zones shall be established until the nesting birds have fledged in order to avoid any disturbances.

In areas with weedy species, any soil from weedy areas that may be removed off-site will have the top six inches containing the seed layer disposed of at a landfill. Wash stations onsite shall be established as necessary for construction equipment to avoid or minimize the spread of invasive plants and/or seed within the construction area. No equipment will be fueled or serviced within 100' of riparian areas.

Prior to construction, Caltrans shall conduct an informal worker environmental training program for special status species including: California red-legged frog, Coast Range newt, western pond turtle, and two striped garter snake. No more than 48 hours before construction activities a qualified biologist shall survey the project area for California red-legged frogs. If any life stage is found, the approved biologist shall be present at the work site until all California red-legged frogs have been removed, workers have been instructed, and disturbance of habitat has been completed.

No less than 14 days and no more than 30 days prior to construction, a qualified biologist will conduct surveys to determine if American badger dens are present. Also prior to construction, a qualified biologist shall survey the project site to see if special status species are present and to determine the presence or absence of woodrat nests. If active woodrat nests are found, an environmentally sensitive area (ESA) shall be established and construction windows will be implemented.

The State plans on installing bat detection equipment in the spring of 2020, with results by the fall of 2020. Work windows for cold plane and paving may be required for roosting bats on the Gaviota Creek Bridges if bat detection equipment results show presence of bats. A roosting bat survey shall be conducted for the Gaviota Creek Bridges by a qualified biologist no more than 14 days prior to construction. If tree removal is required during the bat maternity roosting season (February 15 to September 1), a roosting bat survey shall be conducted by a qualified biologist within three days prior to removal. If an active roost is found, a qualified biologist shall determine an appropriate buffer and monitoring strategy based on the habits and needs of the species.

An ESA action plan has been designed and shall be implemented at culturally sensitive areas within the project. No work shall occur within the designated ESA. If cultural materials are discovered during construction, all earth-moving activity within and around the immediate discovery will be diverted until a qualified archaeologist can assess the nature and significance of the find.

6F. Air Quality Conformity

Air quality conformity is not required.

6G. Title VI Considerations

This project will not make any changes to the existing conditions that affect low mobility or minority groups.

6H. Noise Abatement Decision Report

This project does not change the horizontal alignment or significantly change the vertical alignment of the existing highway or increase the number of traffic lanes, nor does it involve the construction of a highway at a new location. Therefore, a Noise Abatement Decision Report is not required for this project.

6I. Life-Cycle Cost Analysis

Life Cycle Cost Analysis is not required for CAPM projects per Design Information Bulletin (DIB) 81-02 "Minor Pavement Rehabilitation Capital Preventive Maintenance (CAPM) Guidelines".

6J. Reversible Lanes

This project is not a capacity increasing project, therefore this section is not applicable.

7. OTHER CONSIDERATIONS AS APPROPRIATEPublic Hearing Process

The environmental determination for this project is Categorically Exempt / Categorically Excluded, therefore no public hearing was held.

Permits

No permits are required prior to construction.

Transportation Management Plan

A Transportation Management Plan (TMP) addresses potential impacts to traffic flow during construction (see Attachment H). Bicycles are allowed on Route 101 and will require a traffic handling plan guiding them around work areas in lane closures. Night work will be required for installation of temporary concrete barrier and for work on the 1/101 ramps. Temporary concrete barrier (K-rail) will be placed and a lane will be taken on Route 101 when concrete median barrier is constructed adjacent to the inside lane, and when concrete barrier on barrier slab is constructed over the existing crib wall.

Lane closure charts and traffic handling plans will be provided during the design phase. A Public Awareness Campaign and a Construction Zone Enhanced Enforcement Program (COZEEP) contract will be required. In addition to State Holidays, special days where construction will be paused will occur during the Amgen Tour, the Lifecycle AIDS Ride, and the Tour de Pink Arthritis Foundation Ride. The number of working days is estimated at 260.

Stage Construction

This CAPM project may be constructed using standard lane and shoulder closures. Some staging will be required for removal and replacement of existing barrier and drainage facilities and for construction of the various hinge point walls. Pavement width for bicyclists will be incorporated into the stage construction plans.

Accommodation of Oversize Loads

This project is not expected to place restrictions on permitted oversized loads.

Asset Management

This project includes pavement, barrier, and worker safety assets. This project's performance objectives are consistent with the Transportation Asset Management Plan, Ten-Year SHOPP Plan, and Five-Year Maintenance Plan. The project performance measures are included as Attachment I.

Complete Streets

The goal of complete streets is to help revitalize communities and give families the option to lower transportation costs by using transit, walking, or bicycling rather than driving to reach their destinations. Route 101 is designated as the Pacific Coast Bike Route within the project limits. This CAPM project will improve the pavement surface which shall continue to promote bicycling within this corridor. This project also proposes to increase the minimum shoulder width near the Gaviota Creek Bridge (No. 51-24) from 4.1' to 5.4', which will enhance bicycle safety.

Climate Change Considerations

This project will have a negligible effect on climate change. The project location is not expected to be affected by sea level rise. This project will reduce greenhouse gas (GHG) emissions by reducing the frequency and duration of maintenance vehicle and equipment use to maintain the roadside facilities. Climate change has impacted the State's fire season; this project will be replacing all guardrail within the project limits to current standards and will also replace all wood posts with steel posts.

Broadband and Advance Technologies

Wired broadband facility encroachments are accommodated within State R/W when there is a benefit to the public, and shall not adversely impact highway user or worker safety, transportation facility longevity, and highway aesthetic quality. Broadband stakeholders have not contacted the State regarding wired broadband facility needs within the project limits at this time. Existing wired broadband facilities within the project limits will be either avoided or protected in place.

This CAPM project does not provide any other special accommodation for wired broadband facilities. It also does not provide fueling opportunities for zero-emission vehicles, or provisions of infrastructure-to-vehicle communications for transitional or fully autonomous vehicles.

Storm Water

This project proposes to disturb approximately 7.6 acres of soil, and will therefore require coverage under the Construction General Permit. As this project proposes to create less than 1 acre of New Impervious Surfaces (NIS), it is not required to construct permanent storm water treatment Best Management Practices (BMPs). Storm water management for the site will be coordinated through the contractor with Caltrans construction personnel to effectively manage erosion from the disturbed soil areas by implementing a Storm Water Pollution Prevention Plan (SWPPP) (see Attachment J).

Coordination with Other Projects

According to the Caltrans Central Region Status of Projects (January 2020), five projects are adjacent or within the proposed project's limits. A mitigation planting project (05-0T6314) is in the Construction phase and is scheduled to end construction May 2021. This mitigation planting project slightly overlaps with the proposed CAPM project, however no conflicts between the two projects are anticipated because the CAPM project will not impact the slopes at the overlapping locations.

A wastewater system upgrade project (05-1E0101) is in the PS&E phase and was advertised in September 2019. This project is located at the Gaviota Rest Areas. Because the proposed CAPM project will be conforming at the Gaviota Rest Areas, no conflicts between the two projects are anticipated. The wastewater system upgrade project is scheduled to end construction June 2021.

A roadside safety improvement project (05-1E0001) is in the PS&E phase and encompasses the limits of the proposed CAPM project. Coordination between the two projects to avoid duplication of work has been achieved, and paving beyond the gore at the 1/101 Separation has been removed from the roadside safety improvement project because it is included in the CAPM project. The roadside safety improvement project is currently scheduled for Ready to List (RTL) in March 2020.

A drainage improvement project (05-1J9100) is in the Project Approval and Environmental Document (PA&ED) phase. It will replace several culverts within this CAPM project's limits. No conflicts between the two projects are anticipated, and construction is scheduled to start February 2027.

A pavement rehabilitation and drainage project (05-1K450K) is in the Project Initiation Document (PID) phase and begins at the north end of the CAPM project. It continues pavement rehabilitation along Route 101. Construction is anticipated to start September 2024, and no conflicts are anticipated.

8. FUNDING, PROGRAMMING AND ESTIMATE

Funding

The proposed project is programmed into the 2018 SHOPP and will be funded from the Pavement Preservation Program (201.121) for delivery in the 2021/22 fiscal year. It has been determined that this project is eligible for Federal-aid funding. The escalated Right of Way capital estimate has increased to \$77,000, and the escalated Construction capital estimate has decreased to \$56,655,072. The Right of Way support cost is allocated at \$76,000 based on the estimate in PRSM at the time of the allocation request.

Programming

Fund Source	Fiscal Year Estimate								
20.XX.201.121	Prior	18/19	19/20	20/21	21/22	22/23	23/24	Future	Total
Component	In thousands of dollars (\$1,000)								
PA&ED Support	2,160								2,160
PS&E Support			2,648						2,648
Right-of-Way Support			74						74
Construction Support					5,026				5,026
Right-of-Way					77				77
Construction					59,218				59,218
Total	2,160		2,722		64,321				69,203

Note: Support categories are the same as those identified by SB 45. Support costs escalated at 5% per year. Construction and R/W capital escalated at 5% per year.

The programming table information reflects current scoped programming dollars. The support cost ratio is 16.71% (all support costs divided by the sum of the escalated Construction and R/W capital).

Estimate

Attachment D contains the detailed project cost estimate. The current estimated cost for roadway items is \$51,036,200 and \$69,375 for R/W items for a total cost of \$51,106,000.

9. DELIVERY SCHEDULE

Project Milestones		Milestone Date (Month/Day/Year)	Milestone Designation (Target/Actual)
PROGRAM PROJECT	M015	10/18/2017	Actual
BEGIN ENVIRONMENTAL	M020	2/8/2018	Actual
PA & ED	M200	4/29/2020	Target
BEGIN STRUCTURE	M215	5/12/2020	Target
PS&E TO DOE	M377	5/4/2021	Target
DRAFT STRUCTURES PS&E	M378	3/15/2021	Target
RIGHT OF WAY CERTIFICATION	M410	9/13/2021	Target
READY TO LIST	M460	11/18/2021	Target
HEADQUARTERS ADVERTISE	M480	3/30/2022	Target
AWARD	M495	6/3/2022	Target
APPROVE CONTRACT	M500	6/28/2022	Target
CONTRACT ACCEPTANCE	M600	6/23/2023	Target
END PROJECT EXPENDITURES	M800	8/23/2024	Target
FINAL PROJECT CLOSEOUT	M900	7/1/2026	Target

10. RISKS

The Risk Register is a tool used by the PDT to help take appropriate measures to minimize adverse impacts to the project scope, schedule, or cost. However, it cannot identify all risks in advance of a project, as some risks are unknown. A Risk Register (Attachment K) was prepared by the PDT to assess, respond to, and monitor identified project risks that may occur throughout the life of the project.

Some risks specific to this project include impacts to lane closures due to organized bike rides, increased storm water treatment requirements, discovery of unidentified cultural resources, potential utility conflicts, and geotechnical issues.

11. EXTERNAL AGENCY COORDINATION

Federal Highway Administration (FHWA)

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

12. PROJECT REVIEWS

A formal scoping team field review was not held; however, various departments reviewed the project during the development of this report.

District Program Advisor	<u>Kelly McClain</u>	Date	<u>9/3/2019</u>
Headquarters HA 21 Program Advisor	<u>Diana Campbell</u>	Date	<u>1/22/2020</u>
District Maintenance	<u>Chris Chalk</u>	Date	<u>1/22/2020</u>
Headquarters Project Delivery Coordinator	<u>Paul Gennaro</u>	Date	<u>1/22/2020</u>
Project Manager	<u>Justin Borders</u>	Date	<u>1/22/2020</u>
District Traffic Safety	<u>Anthony Deanda</u>	Date	<u>1/22/2020</u>
Constructability Review	<u>Various</u>	Date	<u>1/22/2020</u>

13. PROJECT PERSONNEL

<u>Name</u>	<u>Title</u>	<u>Phone Number</u>
Justin Borders	Project Manager	805-542-4718
Ron Kraemer	Design Senior	805-549-3040
Valerie Beard	Project Engineer	805-549-3071
Kelly McClain	District Program Advisor	805-549-3278
Hannah Butler	Environmental Planner	805-549-3720
Anthony Deanda	Traffic Safety	805-549-3636
Ben Erchul	Hydraulics	805-549-3391
Christopher Manning	Landscape Architect	805-549-3509
Danny Millsap	Right of Way Estimator	805-549-3822
Patrick Chesbro	Right of Way Utilities	805-549-3757
Kevin Murdock	Construction	805-441-8439

14. ATTACHMENTS (Number of Pages)

- A. Location Map (1)
- B. Typical Cross Sections (2)
- C. Layouts (11)
- D. Project Cost Estimate (9)
- E. Advance Planning Study: Gaviota Barrier Slab (1)
- F. Right of Way Data Sheet (4)

- G. Categorical Exemption/Categorical Exclusion Determination Form (8)
- H. Transportation Management Plan (1)
- I. SHOPP Performance Report (1)
- J. Storm Water Data Report signed cover sheet (1)
- K. Risk Register (2)
- L. Final Document Distribution List (1)

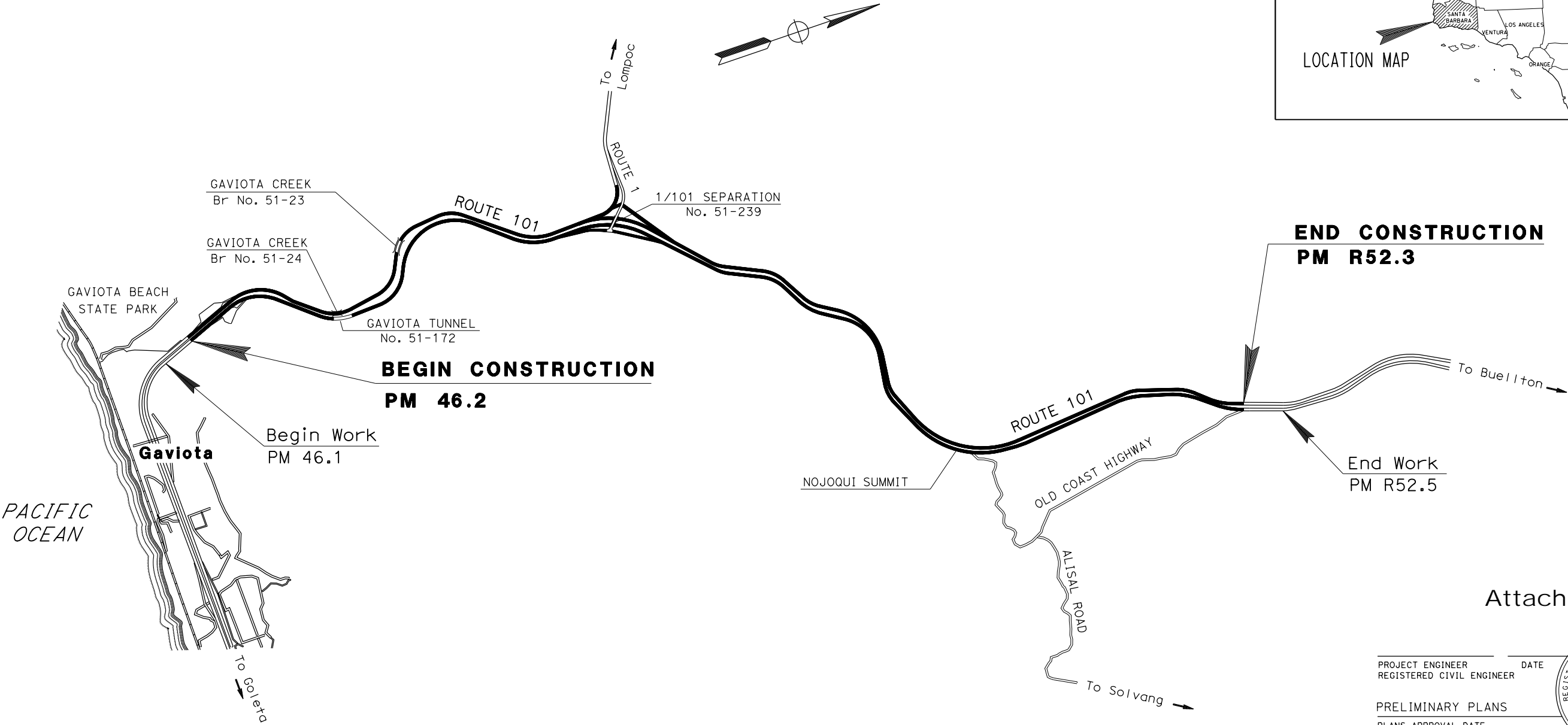
STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION
PROJECT PLANS FOR CONSTRUCTION ON
STATE HIGHWAY
IN SANTA BARBARA COUNTY
NEAR GAVIOTA
FROM 0.1 MILE SOUTH OF GAVIOTA BEACH STATE PARK
TO OLD COAST HIGHWAY

TO BE SUPPLEMENTED BY STANDARD PLANS DATED 2018

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2/R52.3		



LOCATION MAP



PROJECT MANAGER

DESIGN MANAGER

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

Attachment A

PROJECT ENGINEER
REGISTERED CIVIL ENGINEER

DATE

PRELIMINARY PLANS

PLANS APPROVAL DATE

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CONTRACT No.

PROJECT ID

NOTE:

1. DIMENSIONS OF THE PAVEMENT STRUCTURES (STRUCTURAL SECTIONS) ARE SUBJECT TO TOLERANCES SPECIFIED IN THE STANDARD SPECIFICATIONS.
2. ALL DIKE, GUARD RAIL, AND CONCRETE BARRIER WILL BE RECONSTRUCTED.
3. FOR LIMITS OF DIKE, BARRIER, AND HIGH FRICTION SURFACE TREATMENT SEE LAYOUTS.

ABBREVIATIONS:

CPACP = COLD PLANE ASPHALT CONCRETE PAVEMENT
HMA-O = HOT MIX ASPHALT (OPEN GRADED FRICTION COURSE)
RHMA-G = RUBBERIZED HOT MIX ASPHALT (GAP GRADED)

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER

DATE

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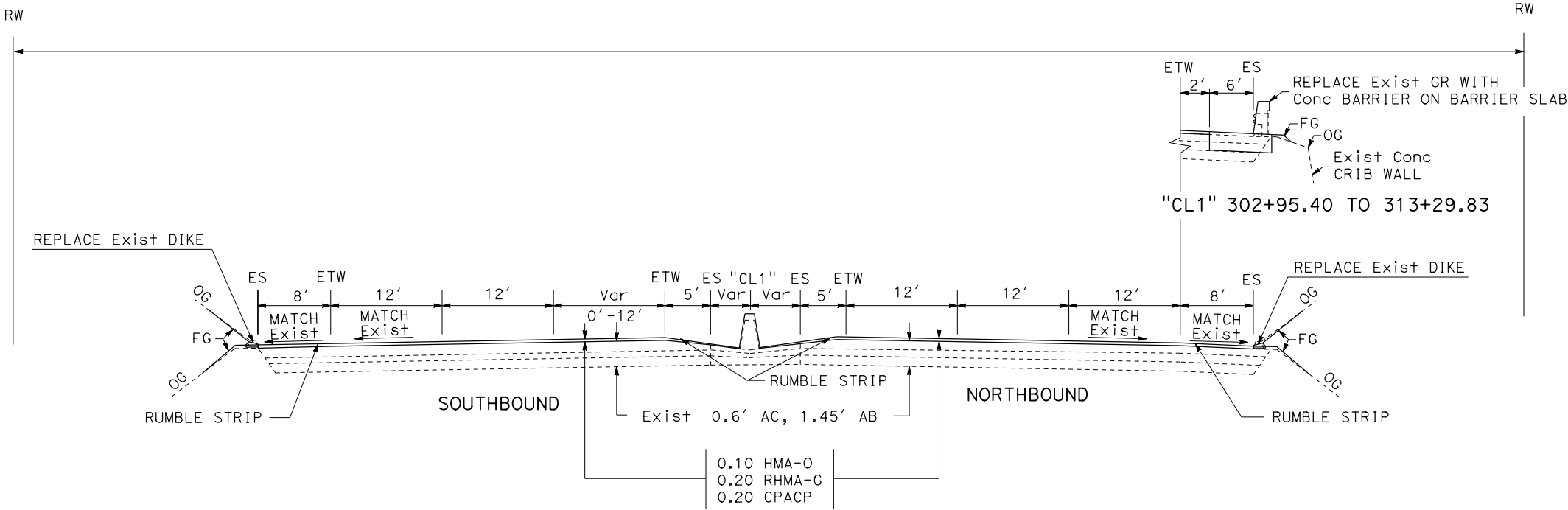
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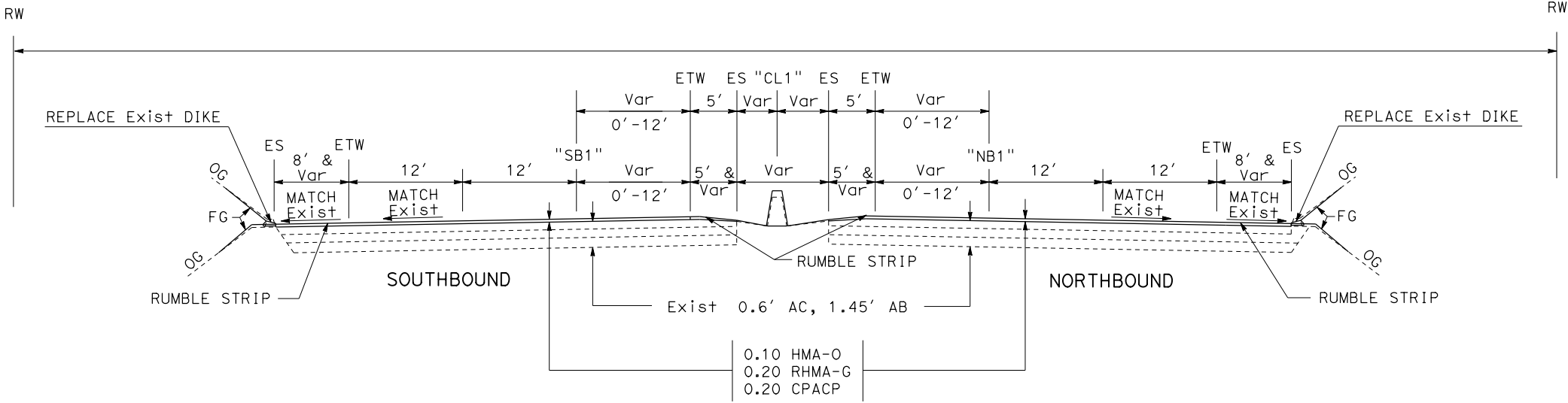
Exp.

CIVIL

STATE OF CALIFORNIA



"CL1" 244+58 TO 334+48



ROUTE 101
"CL1" 391+39 TO 414+75
"SB1" 92+10 TO "CL1" 244+58

Attachment B

TYPICAL CROSS SECTIONS

NO SCALE

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS

REGISTERED CIVIL ENGINEER

DATE

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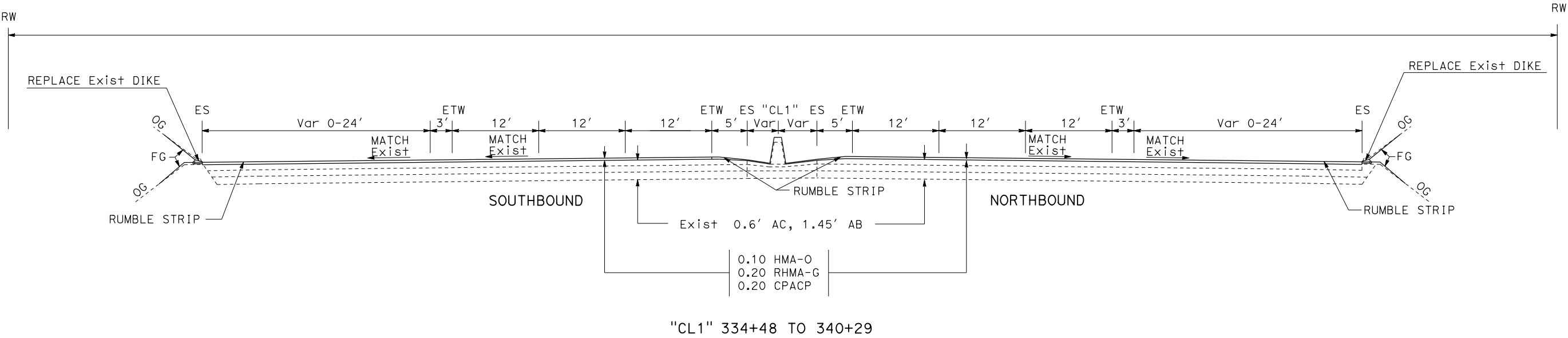
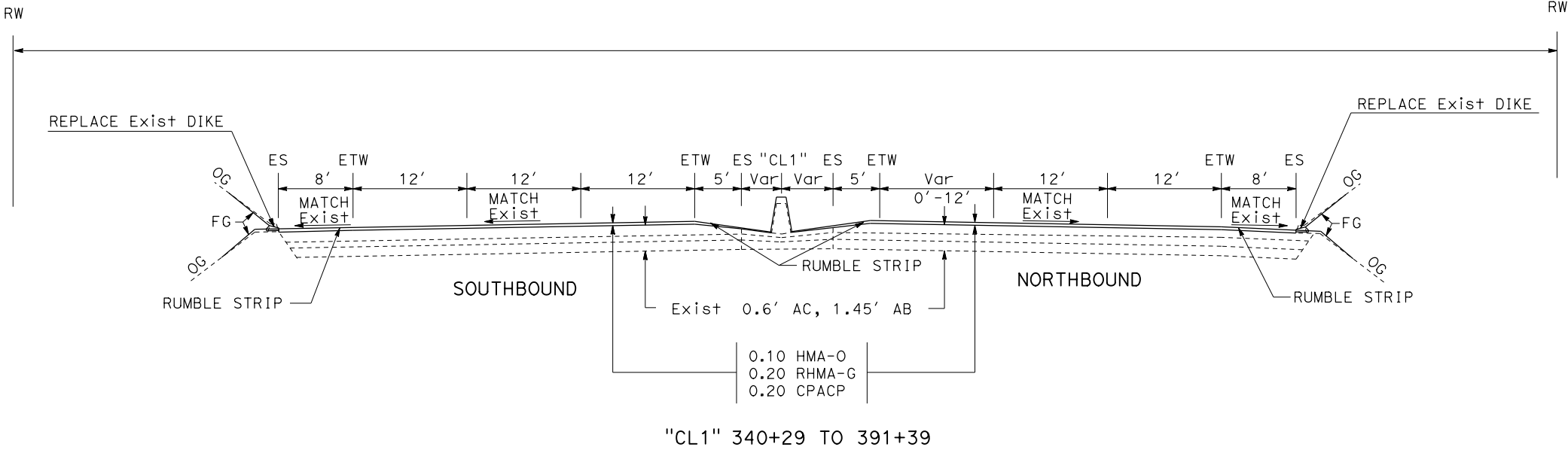
REGISTERED PROFESSIONAL ENGINEER

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Exp.

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STATE OF CALIFORNIA



Attachment B

TYPICAL CROSS SECTIONS

NO SCALE

NOTES:

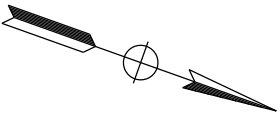
1. FOR ACCURATE RIGHT OF WAY DATA, CONTACT RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.
2. FOR NARROW EMBANKMENT REFER TO STANDARD PLAN A77N3. FOR VERY NARROW EMBANKMENT REFER TO CONSTRUCTION DETAILS.
3. LIMITS OF PROPOSED WALLS, GUARDRAIL, AND HIGH FRICTION SURFACE TREATMENT ARE APPROXIMATE.
4. ALL DRAINAGE INLETS TO BE ADJUSTED TO GRADE.

LEGEND:

- PM 48

POST MILE
-
- TOE OF SLOPE

HFST



DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS

REGISTERED CIVIL ENGINEER

DATE

PLANS APPROVAL DATE

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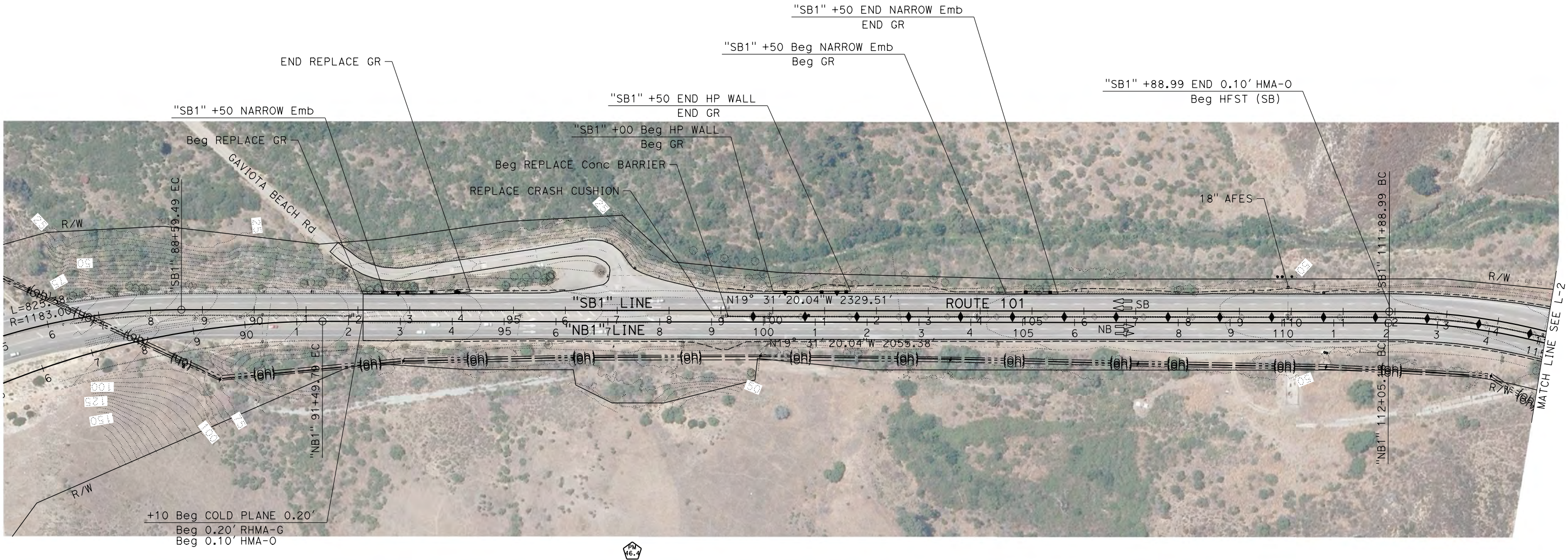
REGISTERED PROFESSIONAL ENGINEER

No.

Exp.

CIVIL

STATE OF CALIFORNIA



LAYOUT

SCALE 1"=100'

Attachment C


L-1

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS

REGISTERED CIVIL ENGINEER _____ DATE _____

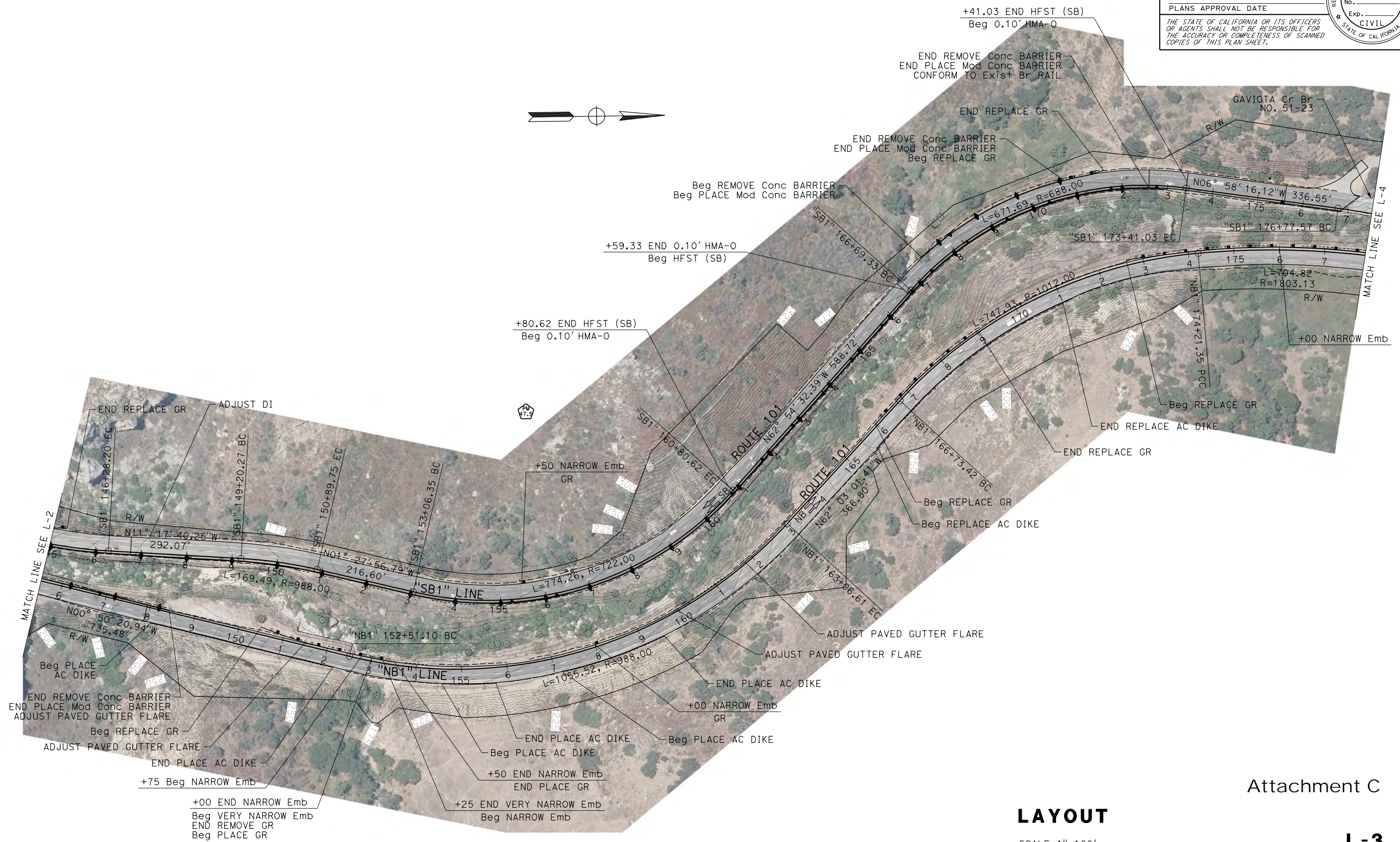
PLANS APPROVAL DATE _____



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NOTE:

FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.



Attachment C

LAYOUT

SCALE 1"=100'

L-3

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR		CALCULATED- DESIGNED BY	REVISED BY		
Caltrans®			CHECKED BY	DATE REVISED		

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.

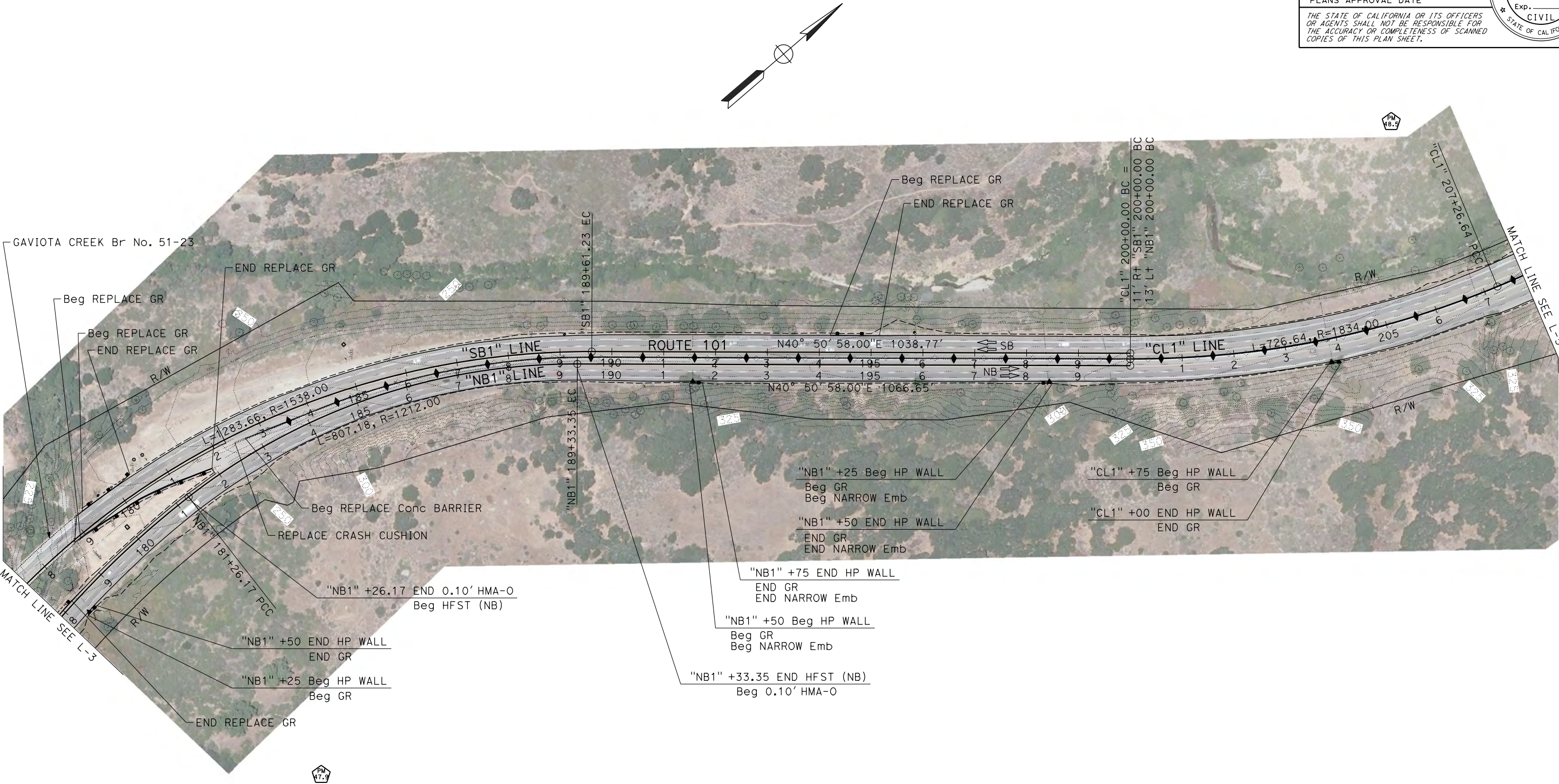
Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

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COPIES OF THIS PLAN SHEET.

REGISTERED PROFESSIONAL ENGINEER
No.
Exp.
CIVIL
STATE OF CALIFORNIA



Attachment C

LAYOUT

SCALE 1"=100'

L-4

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.

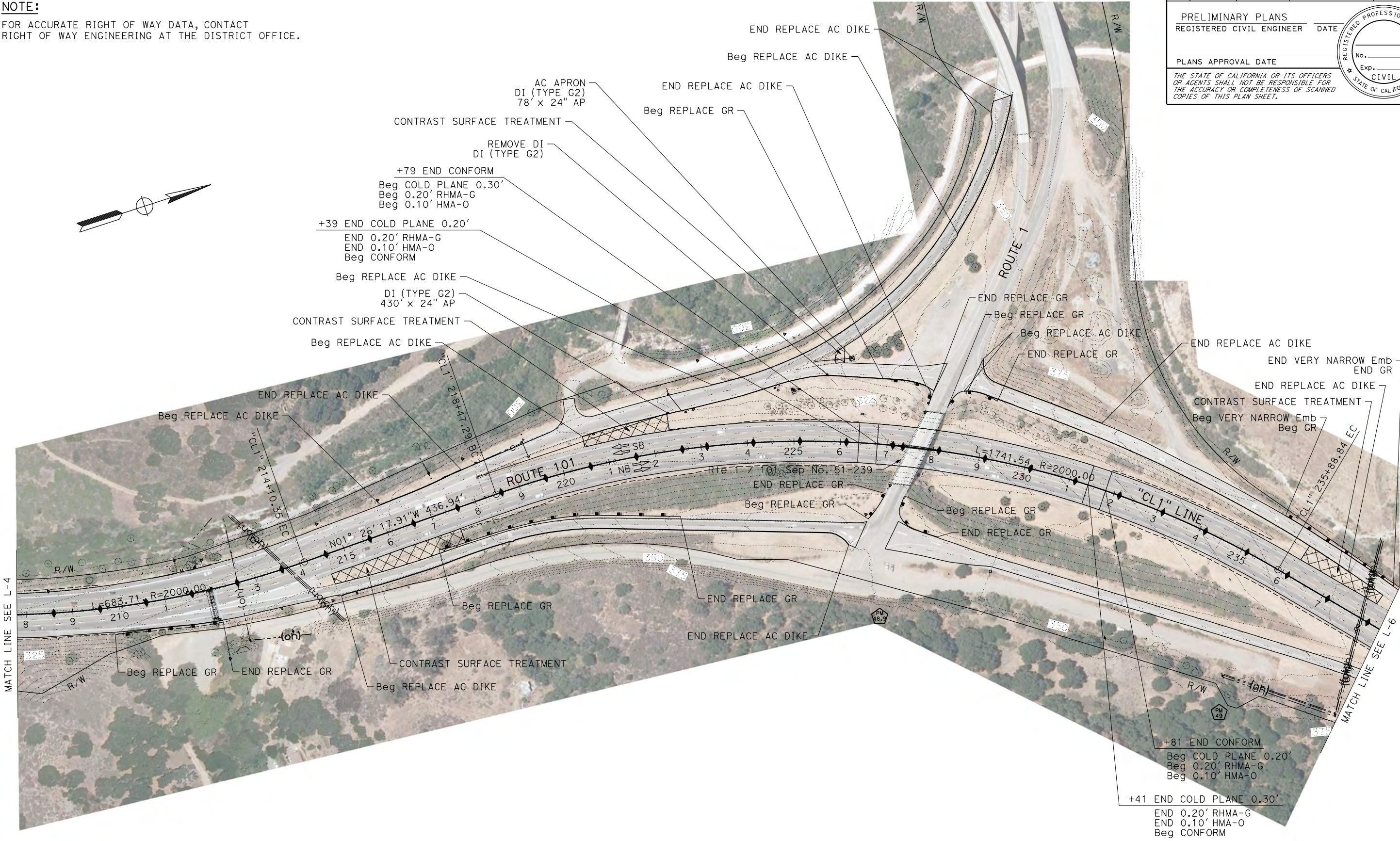
DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

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REGISTERED PROFESSIONAL ENGINEER
No. Exp. CIVIL
STATE OF CALIFORNIA



Attachment C

LAYOUT

SCALE 1"=100'

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION 	FUNCTIONAL SUPERVISOR	CALCULATED- DESIGNED BY	CHECKED BY	REVISED BY	DATE	REVISOR	DATE
		DESIGNED BY	CHECKED BY	REVISED BY	DATE	REVISOR	DATE

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.

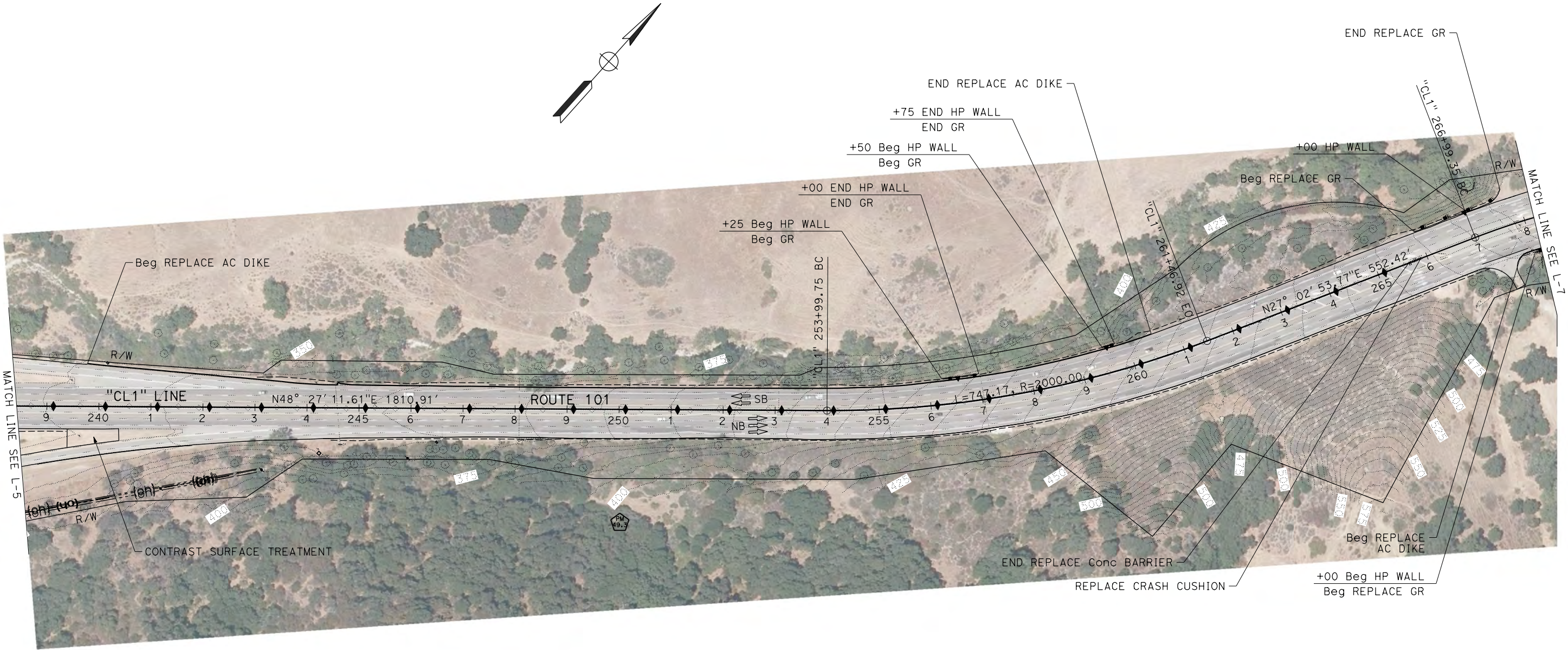
DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

THE STATE OF CALIFORNIA OR ITS OFFICERS
OR AGENTS SHALL NOT BE RESPONSIBLE FOR
THE ACCURACY OR COMPLETENESS OF SCANNED
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REGISTERED PROFESSIONAL ENGINEER
No. _____
Exp. _____
CIVIL
STATE OF CALIFORNIA



LAYOUT

SCALE 1"=100'

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR	CALCULATED- DESIGNED BY	REVISOR BY		
Caltrans		CHECKED BY	DATE	REVISED	

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.

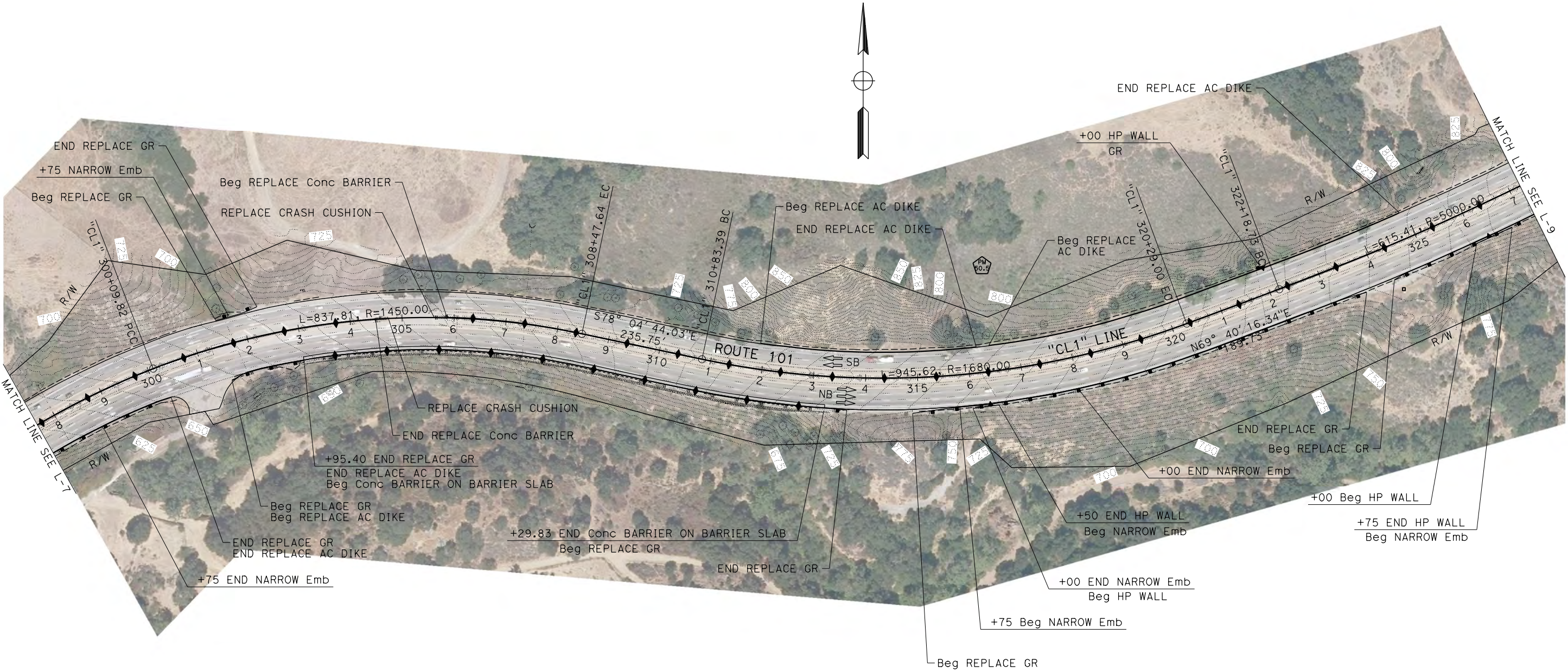
DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET NO.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER DATE _____

PLANS APPROVAL DATE _____

THE STATE OF CALIFORNIA OR ITS OFFICERS
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No. _____
Exp. _____
CIVIL
STATE OF CALIFORNIA




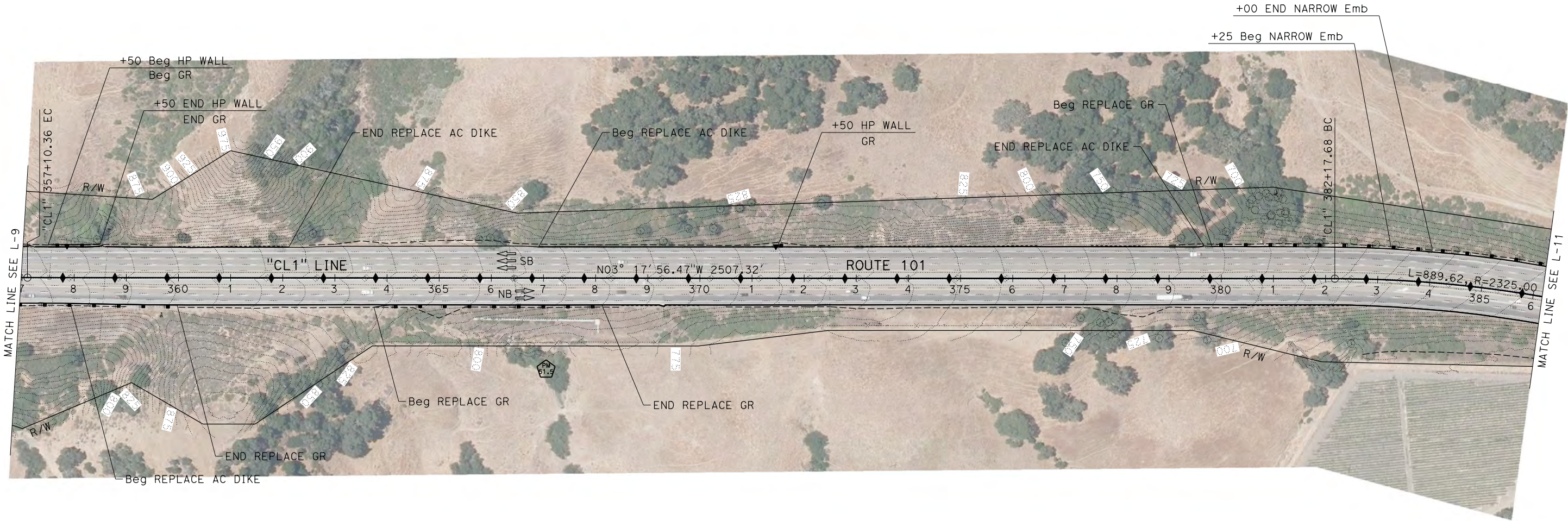
LAYOUT

SCALE 1"=100'

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR	CALCULATED-DESIGNED BY	REVISOR	DATE
Caltrans				

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
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DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		
PRELIMINARY PLANS					
REGISTERED CIVIL ENGINEER			DATE		
PLANS APPROVAL DATE					
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Attachment C

LAYOUT

SCALE 1"=100'

L-10

LAST REVISION DATE PLOTTED 12/10/2024

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION	FUNCTIONAL SUPERVISOR	CALCULATED-DESIGNED BY	CHECKED BY	REVISOR	DATE

NOTE:
FOR ACCURATE RIGHT OF WAY DATA, CONTACT
RIGHT OF WAY ENGINEERING AT THE DISTRICT OFFICE.

DIST	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
05	SB	101	46.2 / R52.3		

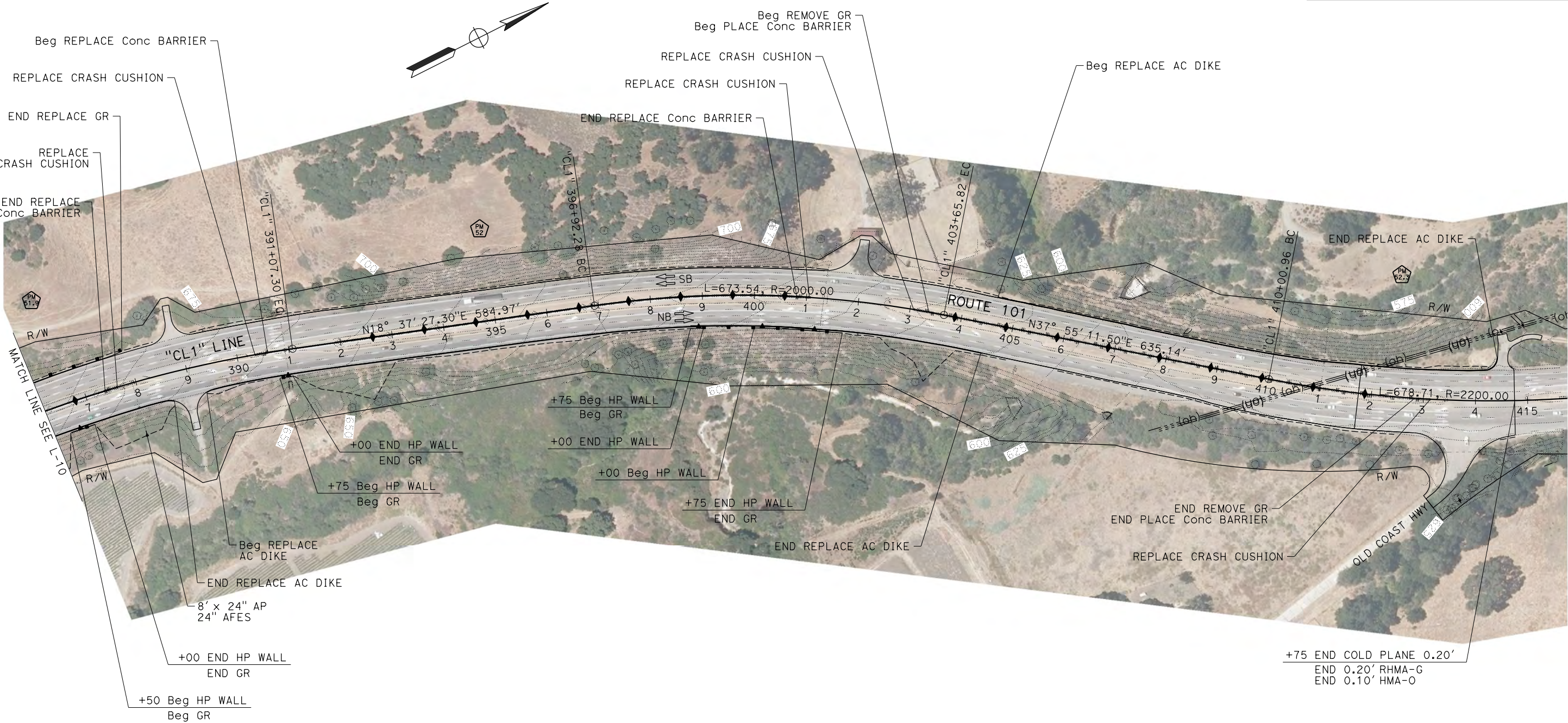
PRELIMINARY PLANS
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

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REGISTERED PROFESSIONAL ENGINEER
CIVIL
STATE OF CALIFORNIA

No. _____
Exp. _____



Attachment C

LAYOUT

SCALE 1"=100'

PROJECT COST ESTIMATE PLANNING COST ESTIMATE

EA: 05-1H8600

EA: 05-1H8600 PID: 517000002

PID: 517000002

District-County-Route: 05-SB-101

PM: 46.2 / R52.3

Type of Estimate : Project Report

Program Code : SHOPP 201.121 Pavement Preservation

Project Limits : 05-SB-101-46.2/R52.3

Project Description: In Santa Barbara County near Gaviota from 0.1 mile south of Gaviota Beach State Park to Old Coast Highway

Scope : Preserve the pavement on Route 101 in Santa Barbara County near Gaviota with a capital maintenance project that removes 0.20' of existing asphalt concrete and then places an 0.30' overlay. Short walls at the hinge points will be required to meet the existing slopes at some locations. All existing dike, guard rail, and concrete barrier will be reconstructed to current standards and drainage inlets will be modified to match the final pavement's finished grade.

Alternative : CAPM

SUMMARY OF PROJECT COST ESTIMATE

	Current Year Cost	Escalated Cost
TOTAL ROADWAY COST	\$ 50,304,200	\$ 55,842,482
TOTAL STRUCTURES COST	\$ 732,000	\$ 812,590
SUBTOTAL CONSTRUCTION COST	\$ 51,036,200	\$ 56,655,072
TOTAL RIGHT OF WAY COST	\$ 69,375	\$ 76,486
TOTAL CAPITAL OUTLAY COSTS	\$ 51,106,000	\$ 56,732,000
PR/ED SUPPORT	\$ -	\$ -
PS&E SUPPORT	\$ -	\$ -
RIGHT OF WAY SUPPORT	\$ -	\$ -
CONSTRUCTION SUPPORT	\$ -	\$ -
TOTAL SUPPORT COST	\$ -	\$ -
TOTAL PROJECT COST	\$ 51,200,000	\$ 56,800,000

If Project has been programmed enter Programmed Amount

Date of Estimate (Month/Year) 2 / 2020

Estimated Construction Start (Month/Year) 5 / 2022

Number of Working Days = 260

Estimated Mid-Point of Construction (Month/Year) 11 / 2022

Estimated Construction End (Month/Year) 5 / 2023

Number of Plant Establishment Days 0

Estimated Project Schedule

PID Approval 6/23/2017

PA/ED Approval 3/16/2020

PS&E 5/4/2021

RTL 9/23/2021

Begin Construction 5/3/2022

Approved by Project Manager

Justin W. Borders
Justin Borders, Project Manager

Date

2/11/2020

(805) 542-4718

Phone


PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

I. ROADWAY ITEMS SUMMARY

	Section	Cost
1	Earthwork	\$ 633,200
2	Pavement Structural Section	\$ 14,087,800
3	Drainage	\$ 652,300
4	Specialty Items	\$ 11,389,600
5	Environmental	\$ 1,471,300
6	Traffic Items	\$ 1,981,700
7	Detours	\$ 1,324,900
8	Minor Items	\$ 1,577,100
9	Roadway Mobilization	\$ 3,311,800
10	Supplemental Work	\$ 2,151,600
11	State Furnished	\$ 1,776,400.00
12	Time-Related Overhead	\$ 3,385,000.00
13	Roadway Contingency	\$ 6,561,500.00
TOTAL ROADWAY ITEMS		\$ 50,304,200

Estimate Prepared By :


Valerie Beard, Project Engineer


Date

2/11/2020

805-549-3071

Phone

Estimate Reviewed By :


Ron Kraemer, Design Manager

Date

2/11/2020

805-549-3040

Phone

By signing this estimate you are attesting that you have discussed your project with all functional units and have incorporated all their comments or have discussed with them why they will not be incorporated.

PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 1: EARTHWORK

Item code		Unit	Quantity		Unit Price (\$)		Cost
190101	Roadway Excavation	CY	4,960	x	26.00	= \$	128,960
19010X	Roadway Excavation (Type X) ADL	CY		x		= \$	-
194001	Ditch Excavation	CY		x		= \$	-
198010	Imported Borrow	CY	6,500	x	50.00	= \$	325,000
192037	Structure Excavation (Retaining Wall)	CY		x		= \$	-
193013	Structure Backfill (Retaining Wall)	CY		x		= \$	-
193031	Pervious Backfill Material (Retaining Wall)	CY		x		= \$	-
170103	Clearing & Grubbing	LS	1	x	15,000.00	= \$	15,000
170101	Develop Water Supply	LS		x		= \$	-
19801X	Imported Borrow	CY/TON		x		= \$	-
210130	Duff	ACRE		x		= \$	-
190185	Shoulder Backing	Ton	2,880	x	57.00	= \$	164,160

TOTAL EARTHWORK SECTION ITEMS	\$ 633,200
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SECTION 2: PAVEMENT STRUCTURAL SECTION

Item code		Unit	Quantity		Unit Price (\$)		Cost
40105X	Jointed Plain Concrete Pavement	CY		x		= \$	-
400050	Continuously Reinforced Concrete Pavement	CY		x		= \$	-
404092	Seal Pavement Joint	LF		x		= \$	-
404093	Seal Isolation Joint	LF		x		= \$	-
413117	Seal Concrete Pavement Joint (Silicone)	LF		x		= \$	-
413118	Seal Pavement Joint (Asphalt Rubber)	LF		x		= \$	-
280010	Rapid Strength Concrete Base	CY		x		= \$	-
410095	Dowel Bar (Drill and Bond)	EA		x		= \$	-
390132	Hot Mix Asphalt (Type A)	TON	5,710	x	176.00	= \$	1,004,960
390137	Rubberized Hot Mix Asphalt (Gap Graded)	TON	49,400	x	150.00	= \$	7,410,000
390401	HMA-O (Open Graded Friction Course)	TON	22,900	x	145.00	= \$	3,320,500
390XXX	High Friction Surface Treatment	SQYD	21,400	x	27.00	= \$	577,800
39300X	Geosynthetic Pavement Interlayer (Type X)	SQYD		x		= \$	-
260203	Class 2 Aggregate Base	CY		x		= \$	-
290201	Asphalt Treated Permeable Base	CY		x		= \$	-
250101	Class 1 Aggregate Subbase	CY		x		= \$	-
198207	Subgrade Enhancement Geotextile, Class A2	SQYD		x		= \$	-
374002	Asphaltic Emulsion (Fog Seal Coat)	TON		x		= \$	-
397005	Tack Coat	TON	340	x	900.00	= \$	306,000
377501	Slurry Seal	TON		x		= \$	-
370120	Asphalt-Rubber Binder	TON		x		= \$	-
375036	Precoated Aggregate (Seal Coat)	TON		x		= \$	-
374492	Asphaltic Emulsion (Polymer Modified)	TON		x		= \$	-
370001	Sand Cover (Seal)	TON		x		= \$	-
731530	Minor Concrete (Textured Paving)	CY		x		= \$	-
731502	Minor Concrete (Miscellaneous Construction)	CY		x		= \$	-
394076	Place Hot Mix Asphalt Dike (Type E)	LF	20,200	x	1.50	= \$	30,300
394077	Place Hot Mix Asphalt Dike (Type F)	LF	4,520	x	2.00	= \$	9,040
398100	Remove Asphalt Concrete Dike	LF	24,400	x	2.00	= \$	48,800
420201	Grind Existing Concrete Pavement	SQYD		x		= \$	-
150860	Remove Base and Surfacing	CY		x		= \$	-
390095	Replace Asphalt Concrete Surfacing	CY		x		= \$	-
153123	Remove Concrete	SQYD	56	x	90.00	= \$	5,040
394090	Place Hot Mix Asphalt (Miscellaneous Area)	SQYD	9	x	200.00	= \$	1,800
398200	Cold Plane Asphalt Concrete Pavement	SQYD	372,000	x	3.50	= \$	1,302,000
846051	12" Rumble Strip (AC Pavement)	STA	1,290	x	50.00	= \$	64,500
413113	Repair Spalled Joints, Polyester Grout	SQYD		x		= \$	-
420102	Groove Existing Concrete Pavement	SQYD		x		= \$	-
390136	Minor Hot Mix Asphalt	TON		x		= \$	-
394095	Roadside Paving (Miscellaneous Areas)	SQYD		x		= \$	-
394060	Data Core	LS	1	x	7,000.00	= \$	7,000

TOTAL PAVEMENT STRUCTURAL SECTION ITEMS	\$ 14,087,800
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PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 3: DRAINAGE

Item code		Unit	Quantity		Unit Price (\$)		Cost
710166	Remove Asphalt Concrete Overside Drain	EA	12	x	750.00	= \$	9,000
710236	Modify Headwall	EA	7	x	15,000.00	= \$	105,000
710240	Modify Inlet	EA	1	x	4,500.00	= \$	4,500
155232	Sand Backfill	CY		x		= \$	-
15020X	Abandon Culvert	EA/LF		x		= \$	-
710196	Adjust Inlet	EA	140	x	3,000.00	= \$	420,000
710150	Remove Inlet	EA	1	x	1,350.00	= \$	1,350
155003	Cap Inlet	EA		x		= \$	-
510501	Minor Concrete	CY		x		= \$	-
510502	Minor Concrete (Minor Structure)	CY		x		= \$	-
5105XX	Minor Concrete (Type XX)	CY		x		= \$	-
510094	Structural Concrete, Drainage Inlet	CY	4	x	3,500.00	= \$	14,000
610112	24" Alternative Pipe Culvert	LF	520	x	400.00	= \$	208,000
6411XX	XX" Plastic Pipe	LF		x		= \$	-
65XXXX	XX" Reinforced Concrete Pipe (Type X)	LF		x		= \$	-
6650XX	XX" Corrugated Steel Pipe (0.XXX" Thick)	LF		x		= \$	-
68XXXX	XX" Plastic Pipe (Edge Drain)	LF		x		= \$	-
69011X	XX" Corrugated Steel Pipe Downdrain (0.XXX" Thick)	LF		x		= \$	-
70321X	XX" Corrugated Steel Pipe Inlet (0.XXX" Thick)	LF		x		= \$	-
70XXXX	XX" Corrugated Steel Pipe Riser (0.XXX" Thick)	LF		x		= \$	-
705315	24" Alternative Flared End Section	EA	1	x	850.00	= \$	850
703233	Grated Line Drain	LF		x		= \$	-
72XXXX	Rock Slope Protection (Type and Method)	CY/TON		x		= \$	-
72901X	Rock Slope Protection Fabric (Class X)	SQYD		x		= \$	-
721420	Concrete (Ditch Lining)	CY		x		= \$	-
721430	Concrete (Channel Lining)	CY		x		= \$	-
750001	Miscellaneous Iron and Steel	LB	790	x	4.50	= \$	3,555
XXXXXX	Additional Drainage	LS		x		= \$	-

TOTAL DRAINAGE ITEMS \$ 652,300

SECTION 4: SPECIALTY ITEMS

Item code		Unit	Quantity		Unit Price (\$)		Cost
080050	Progress Schedule (Critical Path Method)	LS		x		= \$	-
582001	Sound Wall (Masonry Block)	SQFT		x		= \$	-
731518	Minor Concrete (Brushed Concrete)	SQFT	24,100	x	25.00	= \$	602,500
510530	Minor Concrete (Wall)	CY		x		= \$	-
15325X	Remove Sound Wall	LF/LS		x		= \$	-
070030	Lead Compliance Plan	LS	1	x	10,000.00	= \$	10,000
141120	Treated Wood Waste	LB	163,000	x	0.15	= \$	24,450
839774	Remove Concrete Barrier	LF	30,600	x	25.00	= \$	765,000
839752	Remove Guardrail	LF	13,700	x	5.50	= \$	75,350
839750	Remove Barrier	LF	1,010	x	10.00	= \$	10,100
710167	Remove Flared End Section	EA		x		= \$	-
8000XX	Chain Link Fence (Type XX)	LF		x		= \$	-
80XXXX	XX" Chain Link Gate (Type CL-6)	EA		x		= \$	-
832006	Midwest Guardrail System (Steel Post)	LF	9,820	x	32.00	= \$	314,240
832017	Midwest Guardrail System (8' Post)	LF	5,800	x	40.00	= \$	232,000
83201X	Midwest Guardrail System (9' Post)	LF	380	x	55.00	= \$	20,900
839301	Single Thrie Beam Barrier	LF		x		= \$	-
839310	Double Thrie Beam Barrier	LF		x		= \$	-
839521	Cable Railing	LF		x		= \$	-
8395XX	Terminal System (Type CAT)	EA		x		= \$	-
839585	Alternative Flared Terminal System	EA		x		= \$	-
839584	Alternative In-line Terminal System	EA	47	x	4,000.00	= \$	188,000
4906XX	CIDH Concrete Piling (Insert Diameter)	LF		x		= \$	-
839XXX	Alternative Crash Cushion System	EA	17	x	31,000.00	= \$	527,000
839642	Concrete Barrier (Type 60MC)	LF	25,600	x	188.00	= \$	4,812,800
839644	Concrete Barrier (Type 60MF)	LF	160	x	650.00	= \$	104,000
839651	Concrete Barrier (Type 60MSC)	LF	660	x	400.00	= \$	264,000
8396XX	Concrete Barrier (Type 60MC, Modified)	LF	3,170	x	250.00	= \$	792,500
8396XX	Concrete Barrier (Type 60MSC, Modified)	LF	1,040	x	450.00	= \$	468,000
83307X	Wildlife Passage Way (Type MS)	EA	1,320	x	120.00	= \$	158,400
83307X	Wildlife Passage Way (Type MM)	EA	590	x	2,200.00	= \$	1,298,000
520103	Bar Reinforced Steel (Retaining Wall)	LB		x		= \$	-
510060	Structural Concrete, Retaining Wall	CY		x		= \$	-
513553	Retaining Wall (Masonry Wall)	SQFT		x		= \$	-
511035	Architectural Treatment	SQFT	1,970	x	40.00	= \$	78,800
598001	Anti-Graffiti Coating	SQFT		x		= \$	-
203070	Rock Stain	SQFT		x		= \$	-
5136XX	Reinforced Concrete Crib Wall (Type X)	SQFT		x		= \$	-
839543	Transition Railing (Type WB-31)	EA	10	x	4,400.00	= \$	44,000
780440	Prepare and Stain Concrete	SQFT	3,540	x	6.00	= \$	21,240
780447	Stain Galvanized Surfaces	LF	5,810	x	15.00	= \$	87,150
839561	Rail Tensioning Assembly	EA		x		= \$	-
839581	End Anchor Assembly (Type SFT)	EA	45	x	1,100.00	= \$	49,500
4750XX	Rail Element Wall	LF	1,580	x	220.00	= \$	347,600
722020	Gabion	CY	210	x	400.00	= \$	84,000
780230	Survey Monument (Type D)	EA	4	x	2,500.00	= \$	10,000

TOTAL SPECIALTY ITEMS \$ 11,389,600

PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 5: ENVIRONMENTAL

5A - ENVIRONMENTAL MITIGATION

Item code	Unit	Quantity	Unit Price (\$)	Cost
	LS	x	= \$	-
130670 Biological Mitigation	LF	x	= \$	-
1601XX Temporary Reinforced Silt Fence	LS	1 x	5,000.00 = \$	5,000
Subtotal Environmental Mitigation				\$ 5,000

5B - LANDSCAPE AND IRRIGATION

Item code	Unit	Quantity	Unit Price (\$)	Cost
20XXXX Highway Planting	LS	x	= \$	-
20XXXX Temporary Irrigation System	LS	x	= \$	-
204099 Plant Establishment Work	LS	x	= \$	-
204101 Extend Plant Establishment Work	LS	x	= \$	-
20XXXX Follow-up Landscape Project	LS	x	= \$	-
150685 Remove Irrigation Facility	LS	x	= \$	-
20XXXX Maintain Existing (Irrigation or Planted Areas)	LS	x	= \$	-
206400 Check and Test Existing Irrigation Facilities	LS	x	= \$	-
21011X Imported Topsoil (X)	CY/TON	x	= \$	-
20XXXX Rock Blanket, Rock Mulch, DG, Gravel Mulch	SQFT/SQYD	x	= \$	-
83207X Vegetation Control (Crushed Shale)	SQYD	6,980 x	30.00 = \$	209,400
200122 Weed Germination	SQYD	x	= \$	-
208304 Water Meter	EA	x	= \$	-
2087XX XX" Conduit (Use for Irrigation x-overs)	LF	x	= \$	-
20890X Extend X" Conduit (Use for Extension of Irrigation x-overs)	LF	x	= \$	-
Subtotal Landscape and Irrigation				\$ 209,400

5C - EROSION CONTROL

Item code	Unit	Quantity	Unit Price (\$)	Cost
210010 Move In/Move Out (Erosion Control)	EA	x	= \$	-
210350 Fiber Rolls	LF	x	= \$	-
210360 Compost Sock	LF	x	= \$	-
2102XX Rolled Erosion Control Product (X)	SQFT	x	= \$	-
210XXX Erosion Control	ACRE	8 x	8,000 = \$	64,000
210300 Hydromulch	SQFT	x	= \$	-
210420 Straw	SQFT	x	= \$	-
210430 Hydroseed	SQFT	x	= \$	-
210600 Compost	SQFT	x	= \$	-
210630 Incorporate Materials	SQFT	x	= \$	-
Subtotal Erosion Control				\$ 64,000

5D - NPDES

Item code	Unit	Quantity	Unit Price (\$)	Cost
130300 Prepare SWPPP	LS	1 x	3,000.00 = \$	3,000
130200 Prepare WPCP	LS	x	= \$	-
130100 Job Site Management	LS	1 x	20,000.00 = \$	20,000
130330 Storm Water Annual Report	EA	1 x	2,000.00 = \$	2,000
130310 Rain Event Action Plan (REAP)	EA	30 x	500.00 = \$	15,000
130320 Storm Water Sampling and Analysis Day	EA	6 x	1,091.00 = \$	6,546
130530 Temporary Hydraulic Mulch	SQYD	36,900 x	10.00 = \$	369,000
130550 Temporary Hydroseed	SQYD	x	= \$	-
130505 Move-In/Move-Out (Temporary Erosion Control)	EA	1 x	5,000.00 = \$	5,000
130640 Temporary Fiber Roll	LF	64,500 x	5.50 = \$	354,750
130650 Temporary Gravel Bag Berm	LF	18,300 x	12.00 = \$	219,600
130660 Temporary Large Sediment Barrier	LF	6,450 x	14.50 = \$	93,525
130900 Temporary Concrete Washout	LS	1 x	4,000.00 = \$	4,000
130710 Temporary Construction Entrance	EA	8 x	5,000.00 = \$	40,000
130610 Temporary Check Dam	LF	160 x	10.00 = \$	1,600
130620 Temporary Drainage Inlet Protection	EA	140 x	270.00 = \$	37,800
130730 Street Sweeping	LS	1 x	21,000.00 = \$	21,000
Subtotal NPDES				\$ 1,192,821

Supplemental Work for NPDES

066595 Water Pollution Control Maintenance Sharing*	LS	1 x	5,000.00 = \$	5,000
066596 Additional Water Pollution Control**	LS	1 x	37,000.00 = \$	37,000
066597 Storm Water Sampling and Analysis***	LS	x	= \$	-
Subtotal Supplemental Work for NDPS				\$ 42,000

*Applies to all SWPPPs and those WPCPs with sediment control or soil stabilization BMPs.

**Applies to both SWPPPs and WPCP projects.

*** Applies only to project with SWPPPs.

PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 6: TRAFFIC ITEMS

6A - Traffic Electrical

Item code		Unit	Quantity	Unit Price (\$)		Cost
860460	Lighting and Sign Illumination	LS	x	= \$		-
860201	Signal and Lighting	LS	x	= \$		-
860990	Closed Circuit Television System	LS	x	= \$		-
86110X	Ramp Metering System (Location X)	LS	x	= \$		-
86070X	Interconnection Conduit and Cable	LF/LS	x	= \$		-
5602XX	Furnish Sign Structure (Type X)	LB	x	= \$		-
5602XX	Install Sign Structure (Type X)	LB	x	= \$		-
498040	XX" CIDHC Pile (Sign Foundation)	LF	x	= \$		-
86080X	Inductive Loop Detectors	EA/LS	x	= \$		-
8609XX	Traffic Monitoring Station (Type X)	LS	x	= \$		-
15075X	Remove Sign Structure	EA/LS	x	= \$		-
151581	Reconstruct Sign Structure	EA	x	= \$		-
152641	Modify Sign Structure	EA	x	= \$		-
860090	Maintain Existing Traffic Management System Elements During Construction	LS	x	= \$		-
86XXXX	Fiber Optic Conduit System	LS	x	= \$		-
872130	Modify Existing Electrical System	LS	1 x	341,300.00 = \$		341,300
Subtotal Traffic Electrical						\$ 341,300

6B - Traffic Signing and Striping

Item code		Unit	Quantity	Unit Price (\$)		Cost
820840	Roadside Sign - One Post	EA	95 x	300.00 = \$		28,500
820850	Roadside Sign - Two Post	EA	30 x	500.00 = \$		15,000
820XXX	Breakaway Sign Post Footing	EA	5 x	2,500.00 = \$		12,500
8207XX	Furnish Single Sheet Aluminum Sign (0.063"-unframed) for Retroreflective Sheeting (Type XI)	SQFT	3,130 x	6.00 = \$		18,780
8208XX	Retroreflective Sheeting (Type XI)	SQFT	3,130 x	4.00 = \$		12,520
5602XX	Furnish Sign	SQFT	x	= \$		-
568016	Install Sign Panel on Existing Frame	SQFT	x	= \$		-
150711	Remove Painted Traffic Stripe	LF	x	= \$		-
141101	Remove Yellow Painted Traffic Stripe (Hazardous Waste)	LF	x	= \$		-
150712	Remove Painted Pavement Marking	SQFT	x	= \$		-
820250	Remove Roadside Sign	EA	130 x	125.00 = \$		16,250
152320	Reset Roadside Sign	EA	x	= \$		-
152390	Relocate Roadside Sign	EA	x	= \$		-
82010X	Delineator (Class X)	EA	x	= \$		-
810230	Pavement Marker (Retroreflective)	EA	4,800 x	6.50 = \$		31,200
846007	6" Thermoplastic Traffic Stripe (Enhanced Wet Night Visibility)	LF	220,000 x	1.00 = \$		220,000
846009	8" Thermoplastic Traffic Stripe (Enhanced Wet Night Visibility)	LF	6,550 x	2.00 = \$		13,100
840516	Thermoplastic Pavement Marking (Enhanced Wet Night Visibility)	SQFT	5,380 x	8.00 = \$		43,040
120090	Construction Area Signs	LS	1 x	4,600.00 = \$		4,600
820151	Object Marker	EA	190 x	110.00 = \$		20,900
Subtotal Traffic Signing and Striping						\$ 436,390

6C - Traffic Management Plan

Item code		Unit	Quantity	Unit Price (\$)		Cost
128652	Portable Changeable Message Signs	LS	1 x	\$ 133,800 = \$		133,800
Subtotal Traffic Management Plan						\$ 133,800

6C - Stage Construction and Traffic Handling

Item code		Unit	Quantity	Unit Price (\$)		Cost
120199	Traffic Plastic Drum	EA	x	= \$		-
12016X	Channelizer (Type X)	EA	x	= \$		-
120120	Type III Barricade	EA	x	= \$		-
129100	Temporary Crash Cushion Module	EA	x	= \$		-
120100	Traffic Control System	LS	1 x	1,040,200.00 = \$		1,040,200
129110	Temporary Crash Cushion	EA	x	= \$		-
129000	Temporary Railing (Type K)	LF	x	= \$		-
120159	Temporary Traffic Stripe (Paint)	LF	x	= \$		-
82010X	Delineator (Class X)	EA	x	= \$		-
120201	Portable Radar Speed Feedback Sign System	LS	1 x	30,000.00 = \$		30,000
Subtotal Stage Construction and Traffic Handling						\$ 1,070,200

TOTAL TRAFFIC ITEMS	\$ 1,981,700
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PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 7: DETOURS

Includes constructing, maintaining, and removal

Item code	Unit	Quantity	Unit Price (\$)	Cost
190101 Roadway Excavation	CY	x	= \$	-
19801X Imported Borrow	CY/TON	x	= \$	-
390132 Hot Mix Asphalt (Type A)	TON	x	= \$	-
26020X Class 2 Aggregate Base	CY/TON	x	= \$	-
250401 Class 4 Aggregate Subbase	CY	x	= \$	-
130620 Temporary Drainage Inlet Protection	EA	x	= \$	-
129000 Temporary Railing (Type K)	LF	31,700	x 20.00 = \$	634,000
128601 Temporary Signal System	LS	x	= \$	-
120159 Temporary Traffic Stripe (Paint)	LF	223,000	x 2.80 = \$	624,400
80010X Temporary Fence (Type X)	LF	x	= \$	-
129100 Temporary Crash Cushion Module	EA	266	x 250.00 = \$	66,500

TOTAL DETOURS	\$ 1,324,900
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SUBTOTAL SECTIONS 1 through 7	\$ 31,540,800
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SECTION 8: MINOR ITEMS

8A - Americans with Disabilities Act Items

ADA Items	0.0%	\$	-
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8B - Bike Path Items

Bike Path Items	0.0%	\$	-
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8C - Other Minor Items

Other Minor Items	5.0%	\$	1,577,040
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Total of Section 1-7	\$ 31,540,800	x 5.0%	= \$ 1,577,040
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TOTAL MINOR ITEMS	\$ 1,577,100
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SECTIONS 9: MOBILIZATION

Item code				
999990	Total Section 1-8	\$ 33,117,900	x 10%	= \$ 3,311,790

TOTAL MOBILIZATION	\$ 3,311,800
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SECTION 10: SUPPLEMENTAL WORK

Item code	Unit	Quantity	Unit Price (\$)	Cost
066670 Payment Adjustments For Price Index Fluctuations	LS	1	x 435,000.00 = \$	435,000
066395 Smoothness Incentive	LS	1	x 128,000.00 = \$	128,000
066094 Value Analysis	LS	x	= \$	-
066070 Maintain Traffic	LS	1	x 156,000.00 = \$	156,000
066919 Dispute Resolution Board	LS	1	x 15,000.00 = \$	15,000
066921 Dispute Resolution Advisor	LS	x	= \$	-
066015 Federal Trainee Program	LS	1	x 800.00 = \$	800
066610 Partnering	LS	1	x 50,000.00 = \$	50,000
066204 Remove Rock and Debris	LS	x	= \$	-
066222 Locate Existing Crossover	LS	x	= \$	-
066016 Just-in-Time Training (JITT)	LS	x	= \$	-

Cost of NPDES Supplemental Work specified in Section 5D	= \$	42,000
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Total Section 1-8	\$ 33,117,900	4%	= \$ 1,324,716
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TOTAL SUPPLEMENTAL WORK	\$ 2,151,600
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PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

SECTION 11: STATE FURNISHED MATERIALS AND EXPENSES

Item code		Unit	Quantity		Unit Price (\$)		Cost
066105	Resident Engineers Office	LS	1	x	390,600.00	=	\$390,600
066063	Traffic Management Plan - Public Information	LS	1	x	20,000.00	=	\$20,000
066901	Water Expenses	LS		x		=	\$0
8609XX	Traffic Monitoring Station (X)	LS		x		=	\$0
066841	Traffic Controller Assembly	LS		x		=	\$0
066840	Traffic Signal Controller Assembly	LS		x		=	\$0
066062	COZEEP Contract	LS	1	x	650,000.00	=	\$650,000
066838	Reflective Numbers and Edge Sealer	LS		x		=	\$0
066065	Tow Truck Service Patrol	LS		x		=	\$0
066916	Annual Construction General Permit Fee	LS	1	x	2,944.00	=	\$2,944
066911	Utility Connection Fee (Electrical)	LS	1	x	50,000.00	=	\$50,000
066810	Survey Marker Disks	LS	1	x	400.00	=	\$400
Total Section 1-8		\$	33,117,900		2%	=	\$ 662,358

TOTAL STATE FURNISHED	\$1,776,400
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SECTION 12: TIME-RELATED OVERHEAD

Total of Roadway and Structures Contract Items excluding Mobilization	\$33,849,900 (used to calculate TRO)
Total Construction Cost (excluding TRO and Contingency)	\$41,089,700 (used to check if project is greater than \$5 million excluding contingency)

Estiamted Time-Releated Overhead (TRO) Percentage (0% to 10%) = **10%**

Item code		Unit	Quantity		Unit Price (\$)		Cost
070018	Time-Related Overhead	WD	260	X	\$13,019	=	\$3,385,000

TOTAL TIME-RELATED OVERHEAD	\$3,385,000
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Note: If the building portion of the project is greater than 50% of the total project cost, then TRO is not included.

SECTION 13: ROADWAY CONTINGENCY

Recommended Contingency: (Pre-PSR 30%-50%, PSR 25%, Draft PR 20%, PR 15%, after PR approval 10%, Final PS&E 5%)

Total Section 1-12	\$	43,742,700	x	15%	=	\$6,561,405
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TOTAL CONTINGENCY	\$6,561,500
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PROJECT COST ESTIMATE

EA: 05-1H8600 PID: 517000002

II. STRUCTURE ITEMS

Bridge 1					
DATE OF ESTIMATE	11/25/19				
Bridge Name	Gaviota Barrier Slab				
Bridge Number	N/A				
Structure Type	concrete barrier slab				
Width (Feet) [out to out]	8 LF		LF		LF
Total Bridge Length (Feet)	1020 LF		LF		LF
Total Area (Square Feet)	8160 SQFT		SQFT		SQFT
Structure Depth (Feet)	varies LF		LF		LF
Footing Type (pile or spread)	spread		N/A		N/A
Cost Per Square Foot	\$90				
(incls mob, TRO, cont)					
COST OF EACH	\$732,000		\$0		

DATE OF ESTIMATE	00/00/00		00/00/00		00/00/00
Name	XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX
Bridge Number	57-XXX		57-XXX		57-XXX
Structure Type	XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX
Width (Feet) [out to out]	0 LF		0 LF		0 LF
Total Length (Feet)	0 LF		0 LF		0 LF
Total Area (Square Feet)	0 SQFT		0 SQFT		0 SQFT
Structure Depth (Feet)	0 LF		0 LF		0 LF
Footing Type (pile or spread)	XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX		XXXXXXXXXXXXXXXXXXXX
Cost Per Square Foot	\$0		\$0		\$0
COST OF EACH	\$0		\$0		\$0

Note: Mobilization, TRO, and Contingency already included.

TOTAL COST OF BRIDGES **\$732,000**

TOTAL COST OF BUILDINGS **\$0**

Structures Mobilization Percentage 0% **\$0**

Recommended Contingency: (Pre-PSR 30%-50%, PSR 25%, Draft PR 20%, PR 15%, after PR approval 10%, Final PS&E 5%)

Structures Contingency Percentage 0% **\$0**

TOTAL COST OF STRUCTURES **\$732,000**

Estimate Prepared By: Mark Okimura - Division of Structures

Date

Dist	COUNTY	ROUTE	POST MILE
05	SB	101	46.2/R52.3

Notes and Assumptions:

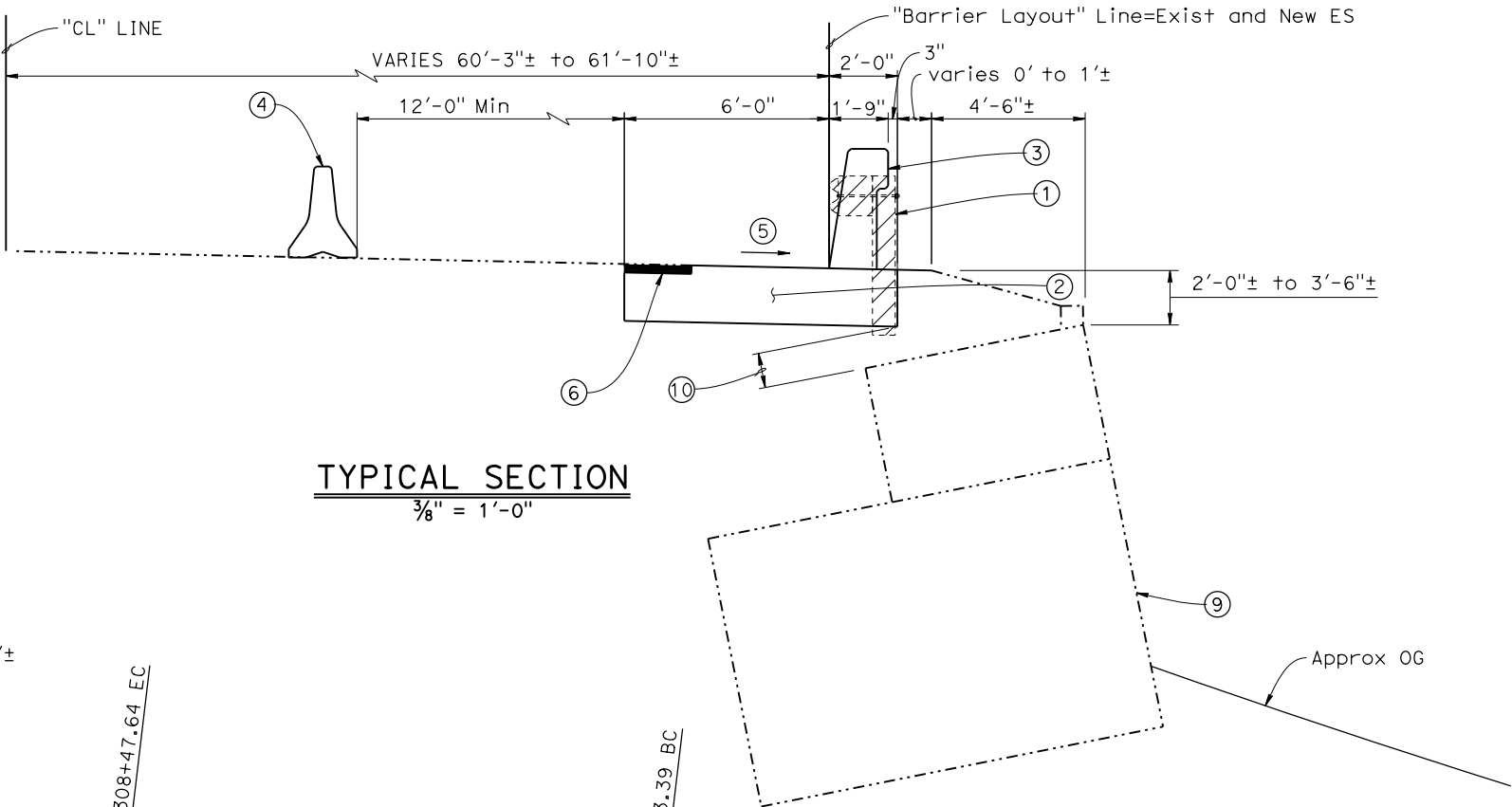
A. "Barrier Layout" Line is assumed to match Exist ES.
Profile is assumed to be 0.1' higher than Exist.
For final design, barrier alignment and profile should be provided.

B. It is anticipated that 2 new DI's will be required in the barrier slab. When details of the Drainage Systems are known, Structure Design should review to ensure feasibility.

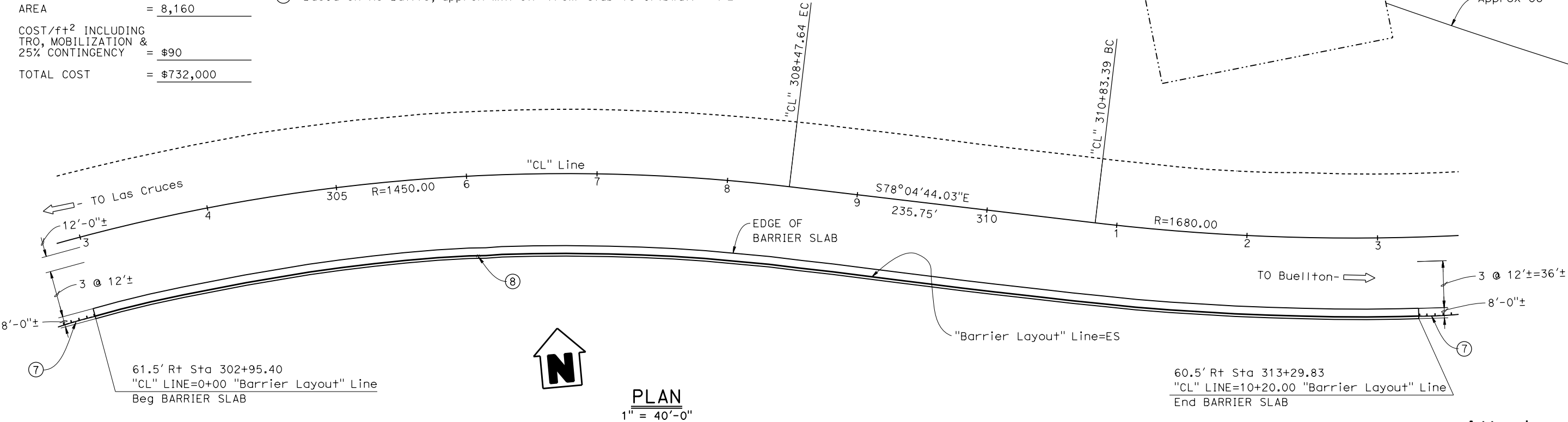
LEGEND

- ① Remove Exist Guardrail, See "ROADWAY" Plans
- ② Concrete Barrier Slab, 1'-8" thick
- ③ Concrete Barrier Type 842
- ④ Concrete Barrier Type K, See "ROADWAY" Plans
- ⑤ Match Exist shoulder cross slope. Varies -8% Min to 7% Max
- ⑥ Paving Notch for 2' wide x 3" thick AC
- ⑦ Guardrail, See "ROADWAY" Plans
- ⑧ Remove Exist DI.
- ⑨ Exist Concrete Cribwall
- ⑩ Based on As-Builts, approx Min Clr from Slab to cribwall = 1'±

DATE OF ESTIMATE	11-25-2019
BRIDGE REMOVAL	= -
STRUCTURE DEPTH	= Varies
LENGTH	= 1,020
WIDTH	= 8
AREA	= 8,160
COST/f+t ² INCLUDING TRO, MOBILIZATION & 25% CONTINGENCY	= \$90
TOTAL COST	= \$732,000



TYPICAL SECTION
3/8" = 1'-0"



PLAN
1" = 40'-0"

Attachment E

DESIGNED BY Mark Okimura	DATE 10/2019
DRAWN BY L. Goldthwait	DATE 10/2019
CHECKED BY U. Inyang	DATE 10/2019
APPROVED Madhwesh Raghavendrachar	DATE 11/2019

STRUCTURE DESIGN
DESIGN BRANCH
11

PLANNING STUDY	
GAVIOTA BARRIER SLAB	
UNIT: 3587	BRIDGE No.: NA
PROJECT EA: 05-1h860	PROJECT No. & PHASE: 05170000020

Memorandum

To: Justin Borders
San Luis Obispo

Date: 10/17/2019

File: CD 05 EA 1H860 **Alt** 1 REV 1

Attn: Valerie Beard
San Luis Obispo
Ron Kraemer
San Luis Obispo

Co SB **RTE** 101

DESCRIPTION:

Remove .20' of existing asphalt concrete & place a .30' overlay. All existing dike, guardrail, & concrete barrier will be reconstructed to current standards.

From: Department of Transportation
Division of Right of Way Central Region

Subject: RIGHT OF WAY DATA SHEET

We have completed an estimate of the right of way costs for the above-referenced project based on the Right of Way Data Sheet Request Form dated 9/25/2019

The following assumptions and limiting conditions were identified:**Parcels**

The Data Sheet request indicates that all work on this project will occur within the State's right of way, with no additional right of way needed for this project.

Utility

The Project Engineer states on the R/W Data Sheet Request Form that a permit search has been completed, utility involvement/relocation is not required, potholing is required with 74 potholes currently requested. A Utility Verification Request was sent on 4/25/18; verification mapping has been received from Southern California Gas, Chevron, Plains All American Pipeline, Southern California Edison, AT&T, State Parks (waterline), and Sprint (no conflict). The water line on either side of the Gaviota Tunnel, and the water line and fiber optic line on either side of both Gaviota Creek Bridges will be either avoided or protected in place during construction. Avoid and protect in place all existing, unaffected, buried, and aerial utility facilities in the project area. Comply with USA alert requirements, including at construction sign locations. The required lead time is currently 3 months. Given the number and complexity of the utilities in the area, the lead time will increase to 16+ months if any utility relocation is identified.

Right of Way Lead Time will require a minimum of 3 months after we receive Certified Appraisal Maps and/or Utility Conflict Plans, obtained necessary environmental clearance and applicable freeway agreements have been approved.

Recommended for approval by:



MARTIN MILLER

Associate Right of Way Agent

Page 1 of 4

Attachment F

EA: 05-1H860 ALT: 1 REV 1

General Description of R/W and Excess Lands Required (zoning, use, major improvements, critical or sensitive parcels, etc.):

The Data Sheet request indicates that all work on this project will occur within the State's right of way, with no additional right of way needed.

General Description of Utility Involvement:

This project has been changed from a Rehab to a CAPM resulting in this Datasheet Revision 1 REV 1. U.S. 101 is designated Expressway throughout the project limits. The project proposes to remove 0.20' of existing asphalt concrete and place an 0.30' overlay. All existing dike, guardrail, and concrete barriers will be reconstructed to current standards. Drainage inlets will be modified to match the final pavement's finished grade.

General Description of Railroad Involvement:

No railroad facilities will be affected.

Right Of Way Cost Estimate	Current Year 2019	Contingency Rate 25%	Escalation Rate 5%	Escalated Year 2021
Acquisition:	\$0			\$0
Mitigation:	\$0	25%	5%	\$0
State Share of Utilities:	\$69,375	25%	5%	\$76,486
Expert Witness:	\$0	25%	5%	\$0
Relocation Assistance:	\$0	25%	5%	\$0
Demolition and Clearance:	\$0	25%	5%	\$0
Title and Escrow:	\$0	25%	5%	\$0
Ad Signs:	\$0	25%	5%	\$0
Total Current Value:	\$69,375			\$76,486

If RW Cost Est fields are blank, Costs = \$0

NOTE: above estimate includes railroad engineering in the amount of: \$0.00

Estimated Construction Contract Work (CCW): 0 R/W LEAD TIME/Mo. 3

Cost Break Down		Parcel Data		
Pot Hole	55,500	# of Parcel Type X:	0	
Mitigation		# of Parcel Type A: less than \$10,000 non-complex	0	
		# of Parcel Type B: more than \$10,000 non-complex	0	
		# of Parcel Type C: complex, special valuation	0	
		# of Parcel Type D: most complex/time consuming	0	# of Duals Needed: 0
Parcel Area		Totals:	0	Totals: 0
Total R/W Required:	0			
Total Excess Area:	0			
		# of Excess Parcels:	0	

Misc R/W Work

# of RAP Displacements:	0
# of Clearance/Demos:	0
# of Const Permits:	0
# of Condemnations:	0

Utilities

<u>12</u> Companies to be potholed
<u>12</u> Companies for Verification
<u>0</u> Companies for Utility Relocations
JUA/CCUAs are not needed

RR Involvement

Railroad Facilities or Right of Way Affected?	NA
Const/Maint Agreement:	NA
Service Contract Count:	0
Right of Entry:	NA
Clauses:	NA
Estimated Lead-time:	NA

Is there a significant effect on assessed valuation: Were any previously unidentified sites with hazardous waste or material found: Are RAP displacements required: # of single family: # of muliti-family: # of business/nonprofit: # of farms: Sufficient replacement housing will be available without last resort housing: Are material borrow or disposal sites required: Are there potential relinquishments or abandonments: Are there any existing or potential airspace sites: Are environmental mitigation parcels required: **Data for evaluation provided by:**

Estimator:	Kirsten Payton	9/25/2019
Railroad Liaison Agent:	Kirsten Payton	9/25/2019
Utility Relocation Coordinator:	Patrick Chesbro	10/7/2019

I have personally reviewed this Right of Way Sheet and all supporting information. I find this Data Sheet complete and current, subject to the limiting conditions set forth.



MARSHALL GARCIA
Office Chief, Central Region Right of Way

Date
ENTERED PMCS
BY:

CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM

05-SB-101	46.200-52.340	05-1H860	0517000002
Dist.-Co.-Rte. (or Local Agency)	P.M./P.M.	E.A/Project No.	Federal-Aid Project No. (Local Project)/Project No.

PROJECT DESCRIPTION: (Briefly describe project including need, purpose, location, limits, right-of-way requirements, and activities involved in this box. Use Continuation Sheet, if necessary.)

The California Department of Transportation will rehabilitate the pavement in Santa Barbara County on State Route 101 from postmile (PM) 46.2 to PM R52.3. The pavement in this area is deteriorating and in need of repair. The purpose of this project is to extend the service life and improve the ride quality of the pavement. The proposed work will first cold plane 0.20 feet of existing asphalt concrete (AC) and then place 0.20 feet rubberized hot mix asphalt followed by a 0.10 foot hot mix asphalt open graded friction course (HMA-O). High-friction surface treatment would be placed through the curves at four locations: three southbound (PM 46.6 to PM 46.7; PM 47.1 to PM 47.6; PM 47.7 to PM 47.8) and one northbound (PM 48.0 to PM 48.1). *continued on next page*

CALTRANS CEQA DETERMINATION (Check one)

☐ Not Applicable – Caltrans is not the CEQA Lead Agency ☐ Not Applicable – Caltrans has prepared an Initial Study or Environmental Impact Report under CEQA

Based on an examination of this proposal, supporting information, and the above statements, the project is:

☐ Exempt by Statute. (PRC 21080[b]; 14 CCR 15260 et seq.)

☒ **Categorically Exempt. Class 1.** (PRC 21084; 14 CCR 15300 et seq.)

Based on an examination of this proposal and supporting information, the following statements are true and exceptions do not apply:

- If this project falls within exempt class 3, 4, 5, 6 or 11, it does not impact an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law.
- There will not be a significant cumulative effect by this project and successive projects of the same type in the same place, over time.
- There is not a reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances.
- This project does not damage a scenic resource within an officially designated state scenic highway.
- This project is not located on a site included on any list compiled pursuant to Govt. Code § 65962.5 ("Cortese List").
- This project does not cause a substantial adverse change in the significance of a historical resource.

☐ **Common Sense Exemption.** [This project does not fall within an exempt class, but it can be seen with certainty that there is no possibility that the activity may have a significant effect on the environment (14 CCR 15061[b][3].)]

<p>Matthew Fowler</p> <p>Print Name: Senior Environmental Planner or Environmental Branch Chief</p> <p> <u>2/27/20</u></p> <p>Signature Date</p>	<p>Justin Borders</p> <p>Print Name: Project Manager</p> <p> <u>2/27/2020</u></p> <p>Signature Date</p>
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NEPA COMPLIANCE

In accordance with 23 CFR 771.117, and based on an examination of this proposal and supporting information, the State has determined that this project:

- does not individually or cumulatively have a significant impact on the environment as defined by NEPA, and is excluded from the requirements to prepare an Environmental Assessment (EA) or Environmental Impact Statement (EIS), and
- has considered unusual circumstances pursuant to 23 CFR 771.117(b).

CALTRANS NEPA DETERMINATION (Check one)

☒ **23 USC 326:** The State has determined that this project has no significant impacts on the environment as defined by NEPA, and that there are no unusual circumstances as described in 23 CFR 771.117(b). As such, the project is categorically excluded from the requirements to prepare an EA or EIS under the National Environmental Policy Act. The State has been assigned, and hereby certifies that it has carried out the responsibility to make this determination pursuant to Chapter 3 of Title 23, United States Code, Section 326 and a Memorandum of Understanding dated May 31, 2016, executed between the FHWA and the State. The State has determined that the project is a Categorical Exclusion under:

☐ 23 CFR 771.117(c): activity (c)()

☒ 23 CFR 771.117(d): activity (d)(13)

☐ Activity ___ listed in Appendix A of the MOU between FHWA and the State

☐ **23 USC 327:** Based on an examination of this proposal and supporting information, the State has determined that the project is a Categorical Exclusion under 23 USC 327. The environmental review, consultation, and any other actions required by applicable Federal environmental laws for this project are being, or have been, carried out by Caltrans pursuant to 23 USC 327 and the Memorandum of Understanding dated December 23, 2016 and executed by FHWA and Caltrans.

<p>Matthew Fowler</p> <p>Print Name: Senior Environmental Planner or Environmental Branch Chief</p> <p> <u>2/27/20</u></p> <p>Signature Date</p>	<p>Justin Borders</p> <p>Print Name: Project Manager/DLA Engineer</p> <p> <u>2/27/2020</u></p> <p>Signature Date</p>
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Date of Categorical Exclusion Checklist completion: _____ Date of ECR or equivalent: _____

Briefly list environmental commitments on continuation sheet. Reference additional information, as appropriate (e.g., CE checklist, additional studies and design conditions).

CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM

Continuation Sheet

05-SB-101	46.200-52.340	05-1H860	0517000002
Dist.-Co.-Rte. (or Local Agency)	P.M./P.M.	E.A/Project No.	Federal-Aid Project No. (Local Project)/Project No.

Continued from page 1:

All existing dikes, guard rails, and concrete barriers would be reconstructed to meet current standards. Drainage inlets would also be modified to match the finished grade of the pavement. A concrete ditch at the SB 1/101 on-ramp will be replaced with a culvert, and a drainage inlet on the southbound right shoulder just south of the 1/101 Separation will be replaced. Rumble strips will be constructed at the inside shoulders and at outside shoulders 6.5' wide or greater. Tapered edge will be placed on all pavement edges except next to: dikes, guardrails, adjacent concrete barriers, right turn and acceleration lanes, landscape paving, within 3' of driveways and where the edge of shoulder is less than 1'. Ramp and rest area lighting will be reconstructed as required, and existing counting loops in the southbound lanes at PM 46.4 will be re-established during construction. All activities will take place within existing Caltrans right-of-way.

Biology Avoidance and Minimization Measures:

1. A Programmatic Biological Opinion for California red-legged frog has been approved by USFWS. A USFWS-approved biologist shall survey the project area no more than 48 hours before construction activities. If any life stage is found, the approved biologist shall be present at the work site until all California red-legged frogs have been removed, workers have been instructed, and disturbance of habitat has been completed. Caltrans shall designate a person to monitor on-site compliance with all minimization and avoidance measures established in the NES (November 2019).
2. Only clean fill shall be imported. All vegetation removed from the construction site shall be taken to a landfill to prevent the spread of invasive species. If soil from weedy areas must be removed off-site, the top six inches containing the seed layer in areas with weedy species shall be disposed of at a landfill.
3. If necessary, wash stations onsite shall be established for construction equipment under the guidance of Caltrans in order to avoid/minimize the spread of invasive plants and/or seed within the construction area.
4. Invasive species listed in the Cal-IPC Invasive Plant Inventory shall not be included in the Caltrans erosion control seed mix or landscaping planting plans. The contract specifications for permanent erosion control and plantings will require the use of regionally appropriate California native forb and grass species that occur in the same general geographic area as the project site.
5. No equipment will be fueled or serviced within 100 feet of the riparian areas.
6. Prior to initiation of construction, Caltrans shall conduct a worker environmental training program for special status species including: California red-legged frog, Coast Range newt, western pond turtle and two striped garter snake.
7. Prior to construction, a biologist determined qualified by Caltrans shall survey the API and, if special status species are present, observations shall be documented and species will be relocated to suitable habitat as defined in the NES.
8. No less than 14 days and no more than 30 days prior to beginning of ground disturbance and/or construction activities, a qualified biologist will conduct a survey to determine if any American badger dens are present at the project site. If dens are found, they will be monitored as established in the NES in order to avoid any disturbances.
9. Prior to construction, vegetation removal shall be scheduled to occur from October 1 to January 31, outside of the typical nesting bird season if possible, to avoid potential impacts to nesting birds. If tree removal or other construction activities are proposed to occur within 100 ft of potential habitat during the nesting season (February 1 to September 30), a nesting bird survey shall be conducted by a biologist determined qualified by Caltrans no more than three (3) days prior to construction. If active nests are found, buffer zones shall be established dependent on the measures established in the NES until the nesting birds have fledged in order to avoid any disturbances.
10. Prior to implementation of proposed project activities, a pre-construction visual survey will be conducted within suitable woodrat habitat (coastal scrub) in the BSA to determine the presence or absence of woodrat nests. If active nests are found, an ESA shall be established and construction windows will be implemented as outlined in the NES.
11. A roosting bat survey shall be conducted for the Gaviota Creek bridges by a biologist determined qualified by Caltrans no more than 14 days prior to construction. If tree removal is required during the bat maternity roosting season (February 15 to September 1), a bat roost survey shall be conducted by a qualified biologist within three (3) days prior to removal. If an active roost is found, a qualified biologist shall determine an appropriate buffer and monitoring strategy based on the habits and needs of the species.

Cultural Minimization Measure:

1. An ESA action plan has been designed and shall be implemented. No work shall occur within the designated ESA.
2. If cultural materials are discovered during construction, all earth-moving activity within and around the immediate discovery area will be diverted until a qualified archaeologist can assess the nature and significance of the find.

Hazardous Waste Minimization Measure:

1. A lead compliance plan in accordance with Caltrans standards will be implemented.

Visual Minimization Measures:

1. Color all new and replaced concrete barrier from the beginning of the project to the Route 1/101 interchange. Color shall match the existing colored concrete barrier south of the Gaviota tunnel.
2. Darken all new and replaced guardrail and guardrail posts from the beginning of the project to the Route 1/101 interchange.
3. Apply aesthetic treatment to all contrast surface treatment locations. Treatments shall compliment the natural scenic context.
4. If Vegetation Control elements are used under guardrail, use shale or other natural material if possible. If concrete Vegetation Control is required, roughen the surface and use color to match the surrounding natural dirt.
5. If new or replacement rock drapery is required, color the drapery to minimize noticeability.
6. Hinge Point walls shall be designed to minimize visibility and noticeability in terms of scale, materials, and color and other factors. Color shall be applied to the walls as appropriate to blend with the natural surroundings.

Categorical Exclusion Checklist

Dist/Co/Rte/PM: 05/SB/101/46.20 -52.34	Fed. Aid No. (Local Project): 0517000002	EA/Project No.: 05-1H860
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SECTION A: TYPE OF CE: Use the information in this section to determine the applicable CE and corresponding activity for this project.

1. Project is a CE under CE Assignment 23 USC 326. ☒ Yes ☐ No
If "yes", check applicable activity in one of the three tables below (activity must be listed in 23 CFR 771.117 (c) or (d) list or included in activities listed in Appendix A of the CE Assignment MOU to be eligible for 23 USC 326).

Activity Listed in 23 CFR 771.117(c)	
1	<input type="checkbox"/> Activities that do not involve or lead directly to construction, such as planning and research activities; grants for training; engineering to define the elements of a proposed action or alternatives so that social, economic, and environmental effects can be assessed; and Federal-aid system revisions that establish classes of highways on the Federal-aid highway system.
2	<input type="checkbox"/> Approval of utility installations along or across a transportation facility.
3	<input type="checkbox"/> Construction of bicycle and pedestrian lanes, paths, and facilities.
4	<input type="checkbox"/> Activities included in the State's <i>highway safety plan</i> under 23 U.S.C 402 .
5	<input type="checkbox"/> Transfer of Federal lands pursuant to 23 U.S.C. 107(d) and/or 23 U.S.C. 317 when the land transfer is in support of an action that is not otherwise subject to FHWA review under NEPA.
6	<input type="checkbox"/> The installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction.
7	<input type="checkbox"/> Landscaping.
8	<input type="checkbox"/> Installation of fencing, signs, pavement markings, small passenger shelters, traffic signals, and railroad warning devices where no substantial land acquisition or traffic disruption will occur.
9 ¹	<p>The following actions for transportation facilities damaged by an incident resulting in an emergency declared by the Governor of the State and concurred in by the Secretary, or a disaster or emergency declared by the President pursuant to the Robert T. Stafford Act (42 U.S.C 5121):²</p> <p><input type="checkbox"/> (i) Emergency repairs under 23 U.S.C 125;</p> <p><input type="checkbox"/> (ii) The repair, reconstruction, restoration, retrofitting, or replacement of any road, highway, bridge, tunnel, or transit facility (such as a ferry dock or bus transfer station), including ancillary transportation facilities (such as pedestrian/bicycle paths and bike lanes), that is in operation or under construction when damaged and the action:</p> <p style="padding-left: 20px;">(A) Occurs within the existing right-of-way and in a manner that substantially conforms to the preexisting design, function, and location as the original (which may include upgrades to meet existing codes and standards as well as upgrades warranted to address conditions that have changed since the original construction); and</p> <p style="padding-left: 20px;">(B) Is commenced within a 2-year period beginning on the date of the declaration.</p>
10	<input type="checkbox"/> Acquisition of scenic easements.
11	<input type="checkbox"/> Determination of payback under 23 U.S.C 156 for property previously acquired with Federal-aid participation.
12	<input type="checkbox"/> Improvements to existing rest areas and truck weigh stations.
13	<input type="checkbox"/> Ridesharing activities.
14	<input type="checkbox"/> Bus and rail car rehabilitation.
15	<input type="checkbox"/> Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons.
16	<input type="checkbox"/> Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet routine changes in demand.
17	<input type="checkbox"/> The purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities that themselves are within a CE.
18	<input type="checkbox"/> Track and railbed maintenance and improvements when carried out within the existing right-of-way.
19	<input type="checkbox"/> Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site.

¹ On the CE form, distinguish between c9i or c9ii

² Include copy of the emergency declaration in the file

Categorical Exclusion Checklist

Dist/Co/Rte/PM: 05/SB/101/46.20 Fed. Aid No. (Local Project): 0517000002 EA/Project No.: 05-1H860 -52.34	
20	<input type="checkbox"/> Promulgation of rules, regulations, and directives.
21	<input type="checkbox"/> Deployment of electronics, photonics, communications, or information processing used singly or in combination, or as components of a fully integrated system, to improve the efficiency or safety of a surface transportation system or to enhance security or passenger convenience. Examples include, but are not limited to, traffic control and detector devices, lane management systems, electronic payment equipment, automatic vehicle locaters, automated passenger counters, computer-aided dispatching systems, radio communications systems, dynamic message signs, and security equipment including surveillance and detection cameras on roadways and in transit facilities and on buses.
22 ³	<input type="checkbox"/> Projects, as defined in 23 U.S.C. 101, that would take place entirely within the existing operational right-of-way. Existing operational right-of-way means all real property interests acquired for the construction, operation, or mitigation of a project. This area includes the features associated with the physical footprint of the project including but not limited to the roadway, bridges, interchanges, culverts, drainage, clear zone, traffic control signage, landscaping, and any rest areas with direct access to a controlled access highway. This also includes fixed guideways, mitigation areas, areas maintained or used for safety and security of a transportation facility, parking facilities with direct access to an existing transportation facility, transportation power substations, transportation venting structures, and transportation maintenance facilities. Note: As a clarifying example, if title 23 (or certain title 49) funds were authorized for the acquisition of the real property, then that property was acquired for an eligible purpose, which was construction, operation, or mitigation, and thus is part of the operational right-of-way. Real property interests acquired with title 23 funds, or otherwise conveyed for title 23 purposes, are eligible for this categorical exclusion as long as the interests are devoted exclusively to the purposes of that facility and the facility is preserved free of all other public or private alternative uses, unless such non-highway alternative uses are permitted by Federal law (including regulations) or the FHWA (23 CFR 710.403(b)).
23 ⁴	Federally-funded projects: Enter project cost \$ _____ and Federal funds \$ _____ <input type="checkbox"/> (i) That receive less than \$5,500,515.05 of Federal funds; or <input type="checkbox"/> (ii) With a total estimated cost of not more than \$33,003,090.30 and Federal funds comprising less than 15 percent of the total estimated project cost.
24	<input type="checkbox"/> Localized geotechnical and other investigation to provide information for preliminary design and for environmental analysis and permitting purposes, such as drilling test bores for soil sampling; archeological investigations for archeology resources assessment or similar survey; and wetland surveys.
25	<input type="checkbox"/> Environmental restoration and pollution abatement actions to minimize or mitigate the impacts of any existing transportation facility (including retrofitting and construction of stormwater treatment systems to meet Federal and State requirements under sections 401 and 402 of the Federal Water Pollution Control Act (33 U.S.C. 1341; 1342) carried out to address water pollution or environmental degradation.
26	<input type="checkbox"/> Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (including parking, weaving, turning, and climbing lanes), if the action meets the constraints in paragraph (e) of this section [771.117(e)]. Note: In order to use this CE, certain constraints must be met. Complete Section A, Item 2 below.
27	<input type="checkbox"/> Highway safety or traffic operations improvement projects, including the installation of ramp metering control devices and lighting, if the project meets the constraints in paragraph (e) of this section [771.117(e)]. Note: In order to use this CE, certain constraints must be met. Complete Section A, Item 2 below.
28	<input type="checkbox"/> Bridge rehabilitation, reconstruction, or replacement or the construction of grade separation to replace existing at-grade railroad crossings, if the actions meet the constraints in paragraph (e) of this section [771.117(e)]. Note: In order to use this CE, certain constraints must be met. Complete Section A, Item 2 below.
29	<input type="checkbox"/> Purchase, construction, replacement, or rehabilitation of ferry vessels (including improvements to ferry vessel safety, navigation, and security systems) that would not require a change in the function of the ferry terminals and can be accommodated by existing facilities or by new facilities that themselves are within a CE.
30	<input type="checkbox"/> Rehabilitation or reconstruction of existing ferry facilities that occupy substantially the same geographic footprint, do not result in a change in their functional use, and do not result in a substantial increase in the existing facility's capacity. Example actions include work on pedestrian and vehicle transfer structures and associated utilities, buildings, and terminals.
Activity Listed in Examples in 23 CFR 771.117(d)	
1	<i>Reserved.</i>
2	<i>Reserved.</i>
3	<i>Reserved.</i>
4	<input type="checkbox"/> Transportation corridor fringe parking facilities.
5	<input type="checkbox"/> Construction of new truck weigh stations or rest areas.

³ On the CE form, identify in the project description that all work is within operation right-of-way.

⁴ On the CE form, distinguish between c23i or c23ii.

Categorical Exclusion Checklist

Dist/Co/Rte/PM: 05/SB/101/46.20 Fed. Aid No. (Local Project): 0517000002 EA/Project No.: 05-1H860 -52.34	
6	<input type="checkbox"/> Approvals for disposal of excess right-of-way or for joint or limited use of right-of-way, where the proposed use does not have significant adverse impacts.
7	<input type="checkbox"/> Approvals for changes in access control.
8	<input type="checkbox"/> Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.
9	<input type="checkbox"/> Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required, and there is not a substantial increase in the number of users.
10	<input type="checkbox"/> Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic.
11	<input type="checkbox"/> Construction of rail storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning, and where there is no significant noise impact on the surrounding community.
12	<input type="checkbox"/> Acquisition of land for hardship or protective purposes. Hardship and protective buying will be permitted only for a particular parcel or a limited number of parcels. These types of land acquisition qualify for a CE only where the acquisition will not limit the evaluation of alternatives, including shifts in alignment for planned construction projects, which may be required in the NEPA process. No project development on such land may proceed until the NEPA process has been completed. (i) Hardship acquisition is early acquisition of property by the applicant at the property owner's request to alleviate particular hardship to the owner, in contrast to others, because of an inability to sell his property. This is justified when the property owner can document on the basis of health, safety or financial reasons that remaining in the property poses an undue hardship compared to others. (ii) Protective acquisition is done to prevent imminent development of a parcel that may be needed for a proposed transportation corridor or site. Documentation must clearly demonstrate that development of the land would preclude future transportation use and that such development is imminent. Advance acquisition is not permitted for the sole purpose of reducing the cost of property for a proposed project.
13	<input checked="" type="checkbox"/> Actions described in paragraphs (c)(26), (c)(27), and (c)(28) of this section that do not meet the constraints in paragraph (e) of this section.
Activity Listed in Appendix A of the CE Assignment MOU for State Assumption of Responsibilities for Categorical Exclusions	
1	<input type="checkbox"/> Construction, modification, or repair of storm water treatment devices (e.g., detention basins, bioswales, media filters, infiltration basins), protection measures such as slope stabilization and other erosion control measures throughout California.
2	<input type="checkbox"/> Replacement, modification, or repair of culverts or other drainage facilities.
3	<input type="checkbox"/> Projects undertaken to assure the creation, maintenance, restoration, enhancement, or protection of habitat for fish, plants, or wildlife (e.g., revegetation of disturbed areas with native plant species; stream or river bank revegetation; construction of new, or maintenances of existing fish passage conveyances or structures; restoration or creation of wetlands).
4	<input type="checkbox"/> Routine repair of facilities due to storm damage, including permanent repair, to return the facility to operational condition that meets current standards of design and public health and safety without expanding capacity (e.g., slide repairs, construction or repair of retaining walls).
5	<input type="checkbox"/> Routine seismic retrofit of facilities to meet current seismic standards and public health and safety standards without expansion of capacity.
6	<input type="checkbox"/> Air space leases that are subject to Subpart D, Part 710, title 23, Code of Federal Regulations.
7	<input type="checkbox"/> Drilling of test bores/soil sampling to provide information for preliminary design and for environmental analyses and permitting purposes.

Categorical Exclusion Checklist

Dist/Co/Rte/PM: 05/SB/101/46.20 Fed. Aid No. (Local Project): 0517000002 EA/Project No.: 05-1H860
-52.34

2. This section must be completed in order to use a CE under 23 CFR 771.117(c)(26), (c)(27), or (c)(28).

☐ The action **DOES NOT** include any of the following constraints found in 23 CFR 771.117(e):

- A. • An acquisition of more than a minor amount of right-of-way or that would result in any residential or nonresidential displacements
- B. • A bridge permit from the U.S. Coast Guard; OR
• An action that does not meet the terms and conditions of a U.S. Army Corps of Engineers nationwide or general permit under section 404 of the Clean Water Act (i.e., does the project require a Standard 404 permit [Individual Permit or Letter of Permission]?) AND/OR
• A permit required under Section 10 of the Rivers and Harbors Act of 1899
- C. • A finding of "adverse effect" to historic properties under the National Historic Preservation Act; OR
• The use of a resource protected under 23 U.S.C. 138 or 49 U.S.C. 303 (section 4(f)) except for actions resulting in *de minimis* impacts; OR
• A finding of "may affect, likely to adversely affect" threatened or endangered species or critical habitat under the Endangered Species Act
- D. • Construction of temporary access or the closure of existing road, bridge, or ramps that would result in major traffic disruptions
- E. • Changes in access control
- F. • A floodplain encroachment other than functionally dependent uses (e.g., bridges, wetlands) or actions that facilitate open space use (e.g., recreational trails, bicycle and pedestrian paths); OR
• Construction activities in, across, or adjacent to a river component designated or proposed for inclusion in the National System of Wild and Scenic Rivers

If the action includes any of the constraints listed above, it **MAY NOT** be processed under 23 CFR 771.117(c)(26), (c)(27), or (c)(28), however, the project may qualify for a CE under 23 CFR 771.117(d)(13).

3. Project is a CE for a highway project under NEPA Assignment 23 USC 327. ☐ Yes ☒ No

(Use only if project does not qualify under CE Assignment 23 USC 326 [activities not included in three previous lists above].)

4. Independent Utility and Logical Termini

☒ The project complies with NEPA requirements related to connected actions and segmentation (i.e. the project must have independent utility, connect logical termini when applicable, be usable and be a reasonable expenditure even if no additional transportation improvements in the area are made and not restrict further consideration of alternatives for other reasonably foreseeable transportation improvements). (FHWA Final Rule, "Background," *Federal Register* Vol. 79, No. 8, January 13, 2014.)

5. Categorical Exclusions Defined (23 CFR 771.117[a]).

FHWA regulation 23 CFR 771.117(a) defines categorical exclusions as actions which:

- do not induce significant impacts to planned growth or land use for the area;
- do not require the relocation of significant numbers of people;
- do not have a significant impact on any natural, cultural, recreational, historic or other resources;
- do not involve significant air, noise, or water quality impacts;
- do not have significant impacts on travel patterns; or
- do not otherwise, either individually or cumulatively, have any significant environmental impacts.

☒ Checking this box certifies that project meets the above definition for a Categorical Exclusion.

6. Exceptions to Categorical Exclusions/Unusual Circumstances (23 CFR 771.117[b]).

FHWA regulation 23 CFR 771.117(b) provides that any action which normally would be classified as a CE but could involve *unusual circumstances* requires the Department to conduct appropriate environmental studies to determine if the CE classification is proper. Unusual circumstances include actions that involve:

- Significant environmental impacts;
- Substantial controversy on environmental grounds;
- Significant impact on properties protected by section 4(f) of the DOT Act or section 106 of the National Historic Preservation Act; or
- Inconsistencies with any Federal, State, or local law, requirement or administrative determination relating to the environmental aspects of the action.

All of the above unusual circumstances have been considered in conjunction with this project. (Please select one.)

☒ Checking this box certifies that **none of the above conditions apply** and that the project qualifies for a Categorical Exclusion.

☐ Checking this box certifies that unusual circumstances **are involved**. However, the appropriate studies/analysis have been completed, and it has been determined that the CE classification is still appropriate.

Categorical Exclusion Checklist

SECTION B: Compliance with FHWA NEPA policy to complete all other applicable environmental requirements⁵ prior to making the NEPA determination:

During the environmental review process for which this CE was prepared, all applicable environmental requirements were evaluated. Outcomes for the following requirements are identified below and fully documented in the project file. **[NOTE: EVERY SECTION BELOW MUST BE COMPLETED, DO NOT SKIP ANY SECTIONS.]**

FSTIP

- ☒ The project description on the Categorical Exemption/Categorical Exclusion Form matches the project description in the FSTIP and RTP, and the appropriate page of the FSTIP is in the project file.

Air Quality

- ☒ [Air Quality Conformity Findings Checklist](#) has been completed and project meets all applicable AQ requirements.
- ☐ For 23 USC 326 projects which require an air quality conformity determination (this will apply to certain projects under 23 CFR 771.117(c)(22), (c)(23), (c)(26), (c)(27), and (c)(28)), list the date of the Caltrans conformity determination: _____
- ☐ For 23 USC 327 projects, list date of FHWA concurrence on conformity determination: _____

Cultural Resources

- ☐ Section 106 compliance is complete. ☐ Screened Undertaking
- Select appropriate finding: ☐ No Historic Properties Affected ☒ No Adverse Effect with Standard Conditions
- ☐ No Adverse Effect without Standard Conditions ☐ Adverse Effect/MOA ☐ Phasing/Project PA

Noise

- 23 CFR 772
- ☐ Is this a Type 1 project? ☐ Yes ☒ No (skip this section.)
- ☐ Future noise levels with project either approach or exceed NAC or result in a substantial increase.
- If yes, ☐ Abatement is reasonable and feasible ☐ Abatement is not reasonable or feasible

Waters, Wetlands

- **Section 404 of the Clean Water Act**
Impacts to Waters of the U.S.: ☐ Yes ☒ No; If yes, approval anticipated:
☐ Nationwide Permit ☐ Individual Permit ☐ Regional General Permit ☐ Letter of Permission
- **Section 401 of the Clean Water Act**
☐ Exemption ☐ Certification ☒ Not Applicable
- **Wetland Protection (Executive Order #11990)**
☒ No Wetland Impact
☐ Permanent Wetland Impact; Only Practicable Alternative Finding is included in a separate document in the project file

Biology

- **USFWS**, Species List Date: 2/25/2020 (must be < 180 days old)
☐ No Effect Section 7 (Federal Endangered Species Act)
Consultation with USFWS Findings (Effect determination):
☐ Not Likely to Adversely Affect with USFWS Concurrence. Date: _____
☒ Likely to Adversely Affect with Biological Opinion Date: 12/12/2019
- **NOAA Fisheries**, Species List Date: _____ (must be < 180 days old) ☒ N/A: Project outside of NOAA jurisdiction
☐ No Effect Section 7 (Federal Endangered Species Act)
Consultation with NOAA Fisheries Findings (Effect determination):
☐ Not Likely to Adversely Affect with NOAA Fisheries Concurrence. Date: _____
☐ Likely to Adversely Affect with Biological Opinion Date: _____
- **Essential Fish Habitat (Magnuson-Stevens Act)** Findings (Effect determination):
☒ Magnuson-Stevens Fishery Conservation and Management Act does not apply
☐ No Adverse Effect ☐ Adverse Effect and consultation with NOAA Fisheries

⁵ Please consult the SER for a complete list of applicable laws, statutes, regulations, and executive orders that must be considered before completing the CE.

Categorical Exclusion Checklist

Floodplains

Floodplains (Executive Order #11988)

☐ No Floodplains ☒ No Significant Encroachment ☐ Significant Encroachment

Section 4(f) Transportation Act (23 CFR 774)

Section 4(f) regulation was considered as a part of the review for this project and a determination was made:

☒ Section 4(f) does not apply

(Project file includes documentation that property is not a Section 4(f) property, that project does not use a Section 4(f) property, or that the project meets the criteria for the temporary occupancy exception.)

☐ Section 4(f) applies

☐ De Minimis

☐ Programmatic: Type _____ (List one of the five appropriate categories as defined in 23 CFR 774.3)

☐ Individual: ☐ Legal Sufficiency Review complete ☐ HQ Coordinator Review Complete

Section 6(f) – Properties Acquired with Land and Water Conservation Fund grants

Was the above property purchased with grant funds from the Land and Water Conservation Fund?

☒ No, Section 6(f) does not apply. No additional documentation required.

☐ Yes ☐ Documentation of approval from National Park Service Director (through California State Parks) has been received for the conversion/and replacement of 6(f) property.

Coastal Zone

Coastal Zone Management Act of 1972

☐ Not in Coastal Zone ☒ Qualifies for Exemptions ☐ Qualifies for Waiver ☐ Coastal Permit Required

☐ Consistent with Federal State and Local Coastal Plans ☐ Federal Consistency

Coast Guard – Bridge Over Navigable Waters of the U.S.

☒ Not applicable

☐ 23 USC 144(c) USCG Bridge Permit Exception

☐ 33 CFR 115.70 Advance Approval

☐ USCG Bridge Permit

Relocation and Right of Way

• Relocations

☒ No Relocations

☐ Project involves _____ (#) relocations and will follow the provisions of the Uniform Relocation Act.

• Right of Way Acquisitions/Easements

☒ No right of way acquisitions or easements

☐ Project involves _____ (#) acquisitions and _____ (#) easements.

Hazardous Waste and Materials

• Are hazardous materials or contamination exceeding regulatory thresholds (as set by U.S. EPA, Cal EPA, County Environmental Health, etc.) present? ☐ Yes ☒ No

• If yes, is the nature and extent of the hazardous materials or contamination fully known? ☐ Yes ☐ No

If no, briefly discuss the plan for securing information:

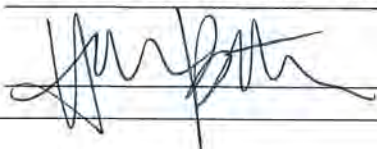
SECTION C: Certification

Based on the information obtained during environmental review process and included in this checklist, the project is determined to be a Categorical Exclusion pursuant to the National Environmental Policy Act and is in compliance with all other applicable environmental laws, regulations, and Executive Orders.

Prepared by
(print name): Hannah Butler

Title: Associate Environmental Planner

Signature:



Date: 2/27/20

DISTRICT 5

TRANSPORTATION MANAGEMENT PLAN DATA SHEET/CHECKLIST

District / EA: 05/1H8600
 Project Engineer: Valerie Beard
 Date Prepared: 8/16/2019

Co.-Rte-PM: SB-101 46.2/R52.3
 Description: Gaviota Nojoqui Rehab
 Working Days: 260 days

Check each box and reference your attachments to the item(s) number(s) shown on the list.

1.0 Public Information

- 1.1 Public Awareness Campaign
- 1.2 Other Strategies

Required	Recommended	Not required	COMMENTS

<input checked="" type="checkbox"/>			Include \$20,000

2.0 Motorist Information Strategies

- 2.1 Changeable Message Signs - Portable
- 2.2 Construction Area Signs
- 2.3 Highway Advisory Radio (fixed and mobile)
- 2.4 Planned Lane Closure Web Site
- 2.5 Caltrans Highway Information Network (CHIN)

<input checked="" type="checkbox"/>			Estimate \$100,000 (4 units)
<input checked="" type="checkbox"/>			
		<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>			Construction to provide information to TMC
		<input checked="" type="checkbox"/>	Construction to provide information to TMC

3.0 Incident Management

- 3.1 COZEEP (during k-rail moving & work in live traffic)
- 3.2 Freeway Service Patrol

<input checked="" type="checkbox"/>			Estimate \$390,000 (50% working days @ \$2K/day)

4.0 Traffic Management Strategies

- 4.1 Lane/Ramp Closures Charts
- 4.2 Total Facility Closure/ Number of days?
- 4.3 Coordination with adjacent construction
- 4.4 Contingency Plan
 - 4.4.1 Material/Equipment Standby
 - 4.4.2 Emergency Detour Plan
 - 4.4.3 Emergency Notification Plan
- 4.5 Speed Limit Reduction Request
- 4.6 Special Days:

<input checked="" type="checkbox"/>			To be provided during PS&E
		<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>			to be determined
		<input checked="" type="checkbox"/>	Standard SSP
		<input checked="" type="checkbox"/>	Construction/Contractor to provide
		<input checked="" type="checkbox"/>	Construction/Contractor to provide
		<input checked="" type="checkbox"/>	Construction/Contractor to provide
		<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>			Amgen Tour, Lifecycle AIDS Ride, Tour de Pink
			Arthritis Foundation Ride
<input checked="" type="checkbox"/>			
<input checked="" type="checkbox"/>			

4.7 Other items:

4.8 Bicycle and Pedestrian Accommodations*

**Planning for all road users must be included in this process. Bicyclists and Pedestrians shall not be led into direct conflicts with mainline traffic, work site vehicles, or equipment moving through or around the TTC zone. Contact Dario Senor w/ questions.*

5.0 Anticipated Delays

- 5.1 Lane Closure Review Committee
(for anticipated delays over 30 minutes)
- 5.2 Planned freeway closures

		<input checked="" type="checkbox"/>	
		<input checked="" type="checkbox"/>	

5.3 Minimal delay anticipated -
no further action required

☒ yes ☐ no If no, explain additional measures on attached sheet.

6.0 Placement of CMS

<input checked="" type="checkbox"/>			At discretion of RE

SHOPP Project - Accomplishment - Performance Measures - Benefits

District: 05 **Tool ID:** 15920 **Project ID:** 0517000002 **EA:** 1H860 **Co-Rte-PM:** SB-101-46.2/R52.3 (Primary Location)

Res In PID WP: 07/01/16 **Project Manager:** Justin Borders

Save to Excel

<input type="checkbox"/> Bridge	<input checked="" type="checkbox"/> Pavement	<input type="checkbox"/> Drainage	<input type="checkbox"/> Facilities	<input checked="" type="checkbox"/> Safety	<input checked="" type="checkbox"/> Mobility	<input checked="" type="checkbox"/> Roadside	<input checked="" type="checkbox"/> Complete Streets	<input type="checkbox"/> Sustainability /Climate Change	<input type="checkbox"/> Advance Mitigation/Mitigation	<input checked="" type="checkbox"/> Major Damage	<input type="checkbox"/> Green-house Gases	<input type="checkbox"/> Relinquishment
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Performance & Accomplishments (PPC)

	Activity Detail	Performance Objective	Unit of Measurement	Quantity	Assets in Good Cond	Assets in Fair Cond	Assets in Poor Cond	New Asset Added	Comment
1	Mainline existing Asphalt CAPM (e.g. 2" thin overlay (w or w/o wearing surface, cold in place, digouts, etc) (201.121)	Pavement Class I	Lane Miles	27.625	8.857	18.768			2022 SHOPP/Rehab Effect 8.75/0.00
2	Median Barrier (201.010, .015)	No Performance Objective in the SHSMP	LF	30589.0			30589.0		Upgrade to MASH compliant
3	Median Barrier (201.010, .015)	No Performance Objective in the SHSMP	LF	1000.0			1000.0		Replace Thrie-beam with concrete
4	Enhanced Surface Friction (201.010, .015)	No Performance Objective in the SHSMP	LF	12471.0			12471.0		HFST
5	Guard Rail (201.010, .015)	No Performance Objective in the SHSMP	LF	1050.0			1050.0		Replace MBGR with concrete
6	Guard Rail (201.010, .015)	No Performance Objective in the SHSMP	LF	2850.0			2850.0		Upgrade to MGS
7	Lighting - Rehabilitation (201.170)	Lighting Rehabilitation	EA	18.0			9.0	9.0	
8	Sign Panel replacement	Sign Panel Replacement	EA	30.0			30.0		
9	Census Station (201.315)	Transportation Management Systems	EA	3.0			1.0	2.0	New are located at Rest Area and 1/101 Ramps
10	Worker Safety - Miscellaneous Paving/Treatment	Roadside Safety Improvements	Location	5.0			5.0		Paving beyond Gore
11	Class III Bike Routes (201.999)	No Performance Objective in the SHSMP	Linear Miles	10.0			10.0		Shoulder paving
12	Is any location within the project limits Ped/Bike accessible?	No Performance Objective in the SHSMP	Yes/No	Yes					
13	Retaining Wall	No Performance Objective in the SHSMP	SF	1900.0			1900.0		Supporting MGS hinge point

Attachment I

APPENDIX E

Short Form - Storm Water Data Report



Dist-County-Route: 05-SB-101
Post Mile Limits: 46.2/R52.3
Project Type: Pavement Rehab 2R
Project ID (EA): 05-1700-0002-0 (05-1H8600)
Program Identification: 201.120
Phase: ☐ PID ☒ PA/ED ☐ PS&E

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

1. Does the project disturb 5 or more acres of soil? **Per the DNC a short form SWDR is appropriate for this project** Yes ☒ No ☐
- Does the project disturb more than 1 acre of soil and not qualify for the Rainfall Erosivity Waiver? **Per the DNC a short form SWDR is appropriate for this project** Yes ☒ No ☐
2. Is the project required to implement Treatment BMPs (STGA, TMDL, AC)? Yes ☐ No ☒
3. Does the project impact existing stormwater BMPs? Yes ☐ No ☒

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

Total Disturbed Soil Area: 7.62 acres

New Impervious Surface: 0.74 acres

Estimated Construction Start Date: 5/3/2022

Est Const. Completion Date: 4/28/2023

Risk Level: RL 1 ☐ RL 2 ☐ RL 3 ☒ WPCP ☐ NA ☐

Is MWEL0 applicable? Yes ☐ 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.

Valerie Beard, Registered Project Engineer

10/17/2019

Date

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

Mazin Al-Ali, Regional SW Coordinator or Designee

10/18/2019

Date

(Stamp Required for PS&E only)

For



Caltrans Storm Water Quality Handbooks
Project Planning and Design Guide
8/1/2017

PROJECT RISK REGISTER

Dist - E.A		Co-Rte-PM				Project Name				Project Manager			Telephone Number		Date	Version/Draft											
05-1H860_		SB - 101 - R46.2/R52.3				Gaviota to Nojoqui Rehab				Justin Borders			(805) 542-4718		12/17/2019	PA&ED											
		Identification					Qualitative Analysis				OPTIONAL Quantitative Analysis			Risk Response Plan		Monitoring and Control											
		Status	ID #	Date ID'd Risk Type Component	Functional Assignment	Risk (Opportunity/Threat)	Type	Probability	Impact	Risk Matrix	Probability (%)	Impact (x\$1000 or days)	Effect (x\$1000 or days)	Strategy	Response Actions including advantages and disadvantages	Responsibility (Risk Manager)	Last date changes made to risk and Comments										
(1)		(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14) =(12)x(13)	(15)	(16)	(17)	(18)									
		Active	5	9/22/2016 Threat PID	Traffic	Closure charts impacted by organized bike rides	Schedule	High	Low	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	70%		Est Days	Mitigate	Ensure time estimate and specs account for the impact.	Traffic	12/28/2016										
		Active	6	9/22/2016 Threat PID	Design	Due to the on going drought conditions in the area, water availability is limited	Schedule	Moderate	Moderate	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	50%		Est Days	Mitigate	Keep the design as limited as possible in respects to water usage. Determine water availability and ensure design is within those limits.	Design	12/28/2016										
		Active	20	5/4/2017 Threat PID	Design	Other projects in and near the project limits will impact the Rehab's ability to construct features as shown on the plan and may impact the contractor's ability to work as two overlapping contracts may restrict simultaneous work activities.	Schedule	Moderate	Moderate	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	50%		Est Days	Mitigate	Coordinate with other PDTs regarding the scope and schedule of improvements so that work is not either repeated under two contracts or they don't interfere with each other.	PM/Design	12/17/2019 so far no competing projects have come to light.										
		Active	21	5/4/2017 Threat PID	Env/Planning	Stakeholders within the area may have concerns about the project and would want to have input in design decisions.	Scope	Moderate	High	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	50%		Est Days	Mitigate	The preferred alternative will need to be appropriately vetted with agencies and stakeholders in the area to see if they have concerns. Features can be added to mitigate concerns.	Env	12/17/2019 Strategy changed to CAPM Env doc is a CE no stakeholder issues expected.										
		Active	27	1/11/2018 Threat PA&ED	Environmental	There is a risk that previously unidentified cultural resources could be discovered during project activities, necessitating additional cultural studies and possible consultation with the State Historic Preservation Officer (SHPO), which would add more hours and costs to the project.	Schedule	Low	Moderate	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	30%		Est Days	Accept	If any cultural resources are discovered during project activities, efforts will be made to avoid any adverse effects via design modifications. If cultural resources cannot be avoided by project activities, Caltrans cultural specialists will need to conduct any necessary studies, evaluations, consultation, and/or mitigation under Section 106.	Environmental											
		Active	29	7/11/2019 Threat PS&E	Right of Way / Design	If we do not identify utilities in conflict 18 months prior to RW Cert it could cause the RTL date to be pushed out.	Schedule	Low	Moderate	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	30%		Est Days	Avoid	Get early pothole information for the locations that potentially have conflicts. Do the required potholing every 50 feet secondarily. Try to protect in place any utilities that may be exposed during roadway excavation rather than require relocation.	Design / ROW Utilities											
		Active	30	12/18/2019 Threat PA&ED	Geotech / Design	There is a risk that Rail Element Walls will not be acceptable by Geotech resulting in the use a different wall with higher impacts.	Cost	Low	High	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	30%		Est Days	Accept	Geotech will inform Design regarding acceptable Hinge Point wall designs.	Geotech / Design											
		Active	31	1/11/2018 Threat PA&ED	Design	A Design Standard Decision Document (DSDD) is being processed for replacing the concrete barrier along the inside shoulder of the southbound lanes between the Gaviota Roadside Rest Areas and the 1/101 Interchange. There is a risk that the DSDD may not be approved, resulting in this concrete barrier upgrade work being dropped from the project.	Schedule	Low	Moderate	<div>Probability</div> <div>VH H M L VL</div> <div>VL L M H VH</div> <div>Impact</div>	30%		Est Days	Mitigate	Continue with Design Standard Decision Document process, however be prepared to adjust the design as necessary.	Design											

PROJECT RISK REGISTER

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	Status	ID #	Date ID'd Risk Type Component	Functional Assignment	Risk (Opportunity/Threat)	Type	Probability	Impact	Risk Matrix	Probability (%)	Impact (x\$1000 or days)	Effect (x\$1000 or days)	Strategy	Response Actions including advantages and disadvantages	Responsibility (Risk Manager)	Last date changes made to risk and Comments	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14) =(12)x(13)	(15)	(16)	(17)	(18)
	Active	32	1/11/2018 Threat PA&ED	Right of Way / Design	A Utility Pothole Exception will be utilized to reduce the number of potholes. There is a risk that adjustments or rejection of this Exception will increase pothole locations and delay the RTL date.	<div><div>Schedule</div><div>Cost</div><div></div><div></div></div>	Low	Moderate	<div><div>Probability</div><div>VH H M L VL</div><div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div></div><div><div></div><div></div><div></div><div></div></div></div>	30%	<div><div>Est Days</div><div></div><div>Est \$'s (x1,000)</div><div></div></div>	Accept	Start the Utility Pothole Exception process early in PS&E to anticipate Right of Way Utility requirements.	Design / ROW Utilities			

Project Report Document Distribution

Division / Program / Office	Project Type	D5	No. of Copies
FHWA	Project of Division Interest. Refer to Stewardship Agreement (FHWS & Caltrans) May 2015	Lismary Gavillan	1
HQ Division of Design	All Projects	Point Here for instructions	0
HQ Division of Engineering Serv	All Projects	Division of Engineering Services (Electronic copy OK)	0
HQ Environmental	All Projects	Larry Bonner	1
HQ Maintenance	SHOPP-Pavement - 201.170	Rupinder Dosanjh	1
HQ Transportation Programming	SHOPP	Donna Berry	1
HQ SHOPP Program Advisor	For other prog	Gurinderpal "Johnny" Bhullar	1
Project Manager	All Projects	Justin Borders	1
Design Manager	All Projects	Ron Kraemer	2
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District Maintenance	All Projects	Berkeley Lindt	1
	SHOPP	Kelly McClain	1
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CR PJD Support		Last Revised 07/12/2019	