

Attachment M
Risk Register

Project Risk Register

DIST- EA 03-1F1700		Project Name: SR65 C&O Improvements							Project Manager: Matt Brogan					Date Created:		Last Updated:	
		Co - Rte - PM: PLA-65-6.5-12.8							Telephone: (916) 381-9100								
ITEM	ID #	Status	Threat / Opportunity	Category	Date Risk Identified	Risk Description	Root Causes	Primary Objective	Overall Risk Rating	Cost/Time Impact Value	Risk Owner	Risk Trigger	Strategy	Response Actions w/ Pros & Cons	Adjusted Cost/Time Impact Value	WBS Item	Status Date and Review Comments
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)
1	03-1F1700-01	Retired	Threat	ENV	05/08/12	Delays in obtaining PTEs could cause delay in environmental Studies.	complexity and Interface	TIME	Probability 2=Low (10-19%) Med Impact 4 =Med		Env/RW	PTEs are not received on schedule.	AVOID	Work with R/W to ensure that any needed PTE are required as soon as possible.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	01/26/15 Necessary PTEs have been obtained.
2	03-1F1700-02	Retired	Threat	ENV	05/08/12	Delay in obtaining detailed mapping and other needed design information could cause in delay in Environmental Studies.	Complexity and Interface	TIME	Probability 3=Med (20-39%) Med Impact 4 =Med		Env/Design	A delay in the completion of detailed mapping will cause a delay in the initiation of some of the environmental studies,	AVOID	Work with Design to ensure that the ESR has all needed information.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. Detailed mapping and design info obtained.
3	03-1F1700-03	Active	Threat	ENV	05/08/12	Delays in the completion of consultant work (Biology, Archaeology, etc.)	Complexity and Interface	TIME	Probability 3=Med (20-39%) Med Impact 4 =Med		Env/PM	Tasks are not completed on schedule.	AVOID	Work with consultants to ensure that tasks are completed on time. Require submission of regular progress reports. Ensure that needed information is provided to consultants in a timely fashion.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. No status change.
4	03-1F1700-04	Retired	Threat	ENV	05/08/12	A second season of biological surveys is required.	Requirement	TIME	Probability 2=Low (10-19%) Low Impact 2 =Low		Env/PM	It is determined that a second season of biological surveys are required.	AVOID	Work with appropriate resources agencies to ensure that no species with special survey protocols are expected to be found within the ESL. Begin surveys early so that additional time remains for additional surveys.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. Biological surveys completes in one season.
5	03-1F1700-05	Retired	Threat	ENV	05/08/12	Noise Mitigation Requirements	complexity and Interface	COST	Probability 3=Med (20-39%) Med Impact 4 =Med		Env/PM	Result of noise study is that soundwalls are necessary.	ACCEPT	Work with Design to make sure any required mitigation strategies are added to the project.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. Noise study completed; no mitigation required.
6	03-1F1700-06	Retired	Threat	ENV	05/08/12	Archaeological Resources within the project limits.	Requirement	TIME	Probability 2=Low (10-19%) Low Impact 2 =Low		Env/Design/PM	Field Survey Locate Sites within APE.	MITIGATE	Communicate early with key Caltrans and County members to effect a common understanding of the scope of the project.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. Field survey did not locate resources within project limits.
7	03-1F1700-07	Active	Threat	ENV	05/08/12	Bats and swallows may nest under or within structures designated to be widened.	Requirement	TIME	Probability 3=Med (20-39%) Med Impact 4 =Med		Env/Design/PM	Exclusionary devices are not installed prior to construction	AVOID	Work with Design and PM to ensure that exclusionary devices are installed prior to construction.		235 MITIGATE ENVIRONMENTAL IMPACTS AND CLEAN UP HAZARDOUS WASTE	1/26/2015. No status change.

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8	03-1F1700-08	Active	Threat	ENV	05/08/12	Migratory birds may nest in the project area.	Requirement	TIME	Probability 3=Med (20-39%)	Med	Env/Design/PM	Vegetation is not removed the year prior to construction	AVOID	Work with Design and PM to ensure that vegetation removal is completed or mitigation measures are in place the year before construction.		235 MITIGATE ENVIRONMENTAL IMPACTS AND CLEAN UP HAZARDOUS WASTE	1/26/2015. No status change.
									Impact 4 =Med								
9	03-1F1700-09	Active	Threat	ENV	05/08/12	Design changes require additional Environmental analysis.	complexity and Interface	SCOPE	Probability 3=Med (20-39%)	Med	Env/Design	Changes to project scope	AVOID	Communicate possible changes to Project Management as soon as possible.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. No status change.
									Impact 4 =Med								
10	03-1F1700-10	Active	Threat	ENV	05/08/12	Public Controversy/Opposition	complexity and Interface	SCOPE	Probability 3=Med (20-39%)	Med	Env/Design	Public Controversy/Opposition	ACCEPT	Work with other functional units to ensure that there is an adequate public outreach/public involvement strategy. Ensure QA/QC review are done.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. No status change.
									Impact 4 =Med								
11	03-1F1700-11	Active	Threat	ENV	05/08/12	Delays in obtaining necessary approvals and/or permits from the resource agencies.	complexity and Interface	TIME	Probability 3=Med (20-39%)	Med	ENV/PM	Delays in obtaining approvals and/or permits	AVOID	Work with Resource Agencies to ensure that all needed information has been provided. Keep in constant contact with Resource Agencies to ensure that approvals and/or permits are on schedule.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. No status change.
									Impact 4 =Med								
12	03-1F1700-12	Active	Threat	DESIGN	05/08/12	Utility Conflicts	complexity and Interface	COST	Probability 2=Low (10-19%)	Med	Design/RW	Survey works confirms location and clearance requirements for public utilities.	MITIGATE	Add cost to relocate utility.		200 UTILITY RELOCATION	5/19/2016. No status change.
									Impact 4 =Med								
13	03-1F1700-13	Active	Threat	DESIGN	05/08/12	Design Exceptions	Requirement	SCOPE	Probability 2=Low (10-19%)	Med	Design/PM	HQ Design Coordinator does not approve Design Exceptions to HDM.	ACCEPT	Adjust scope to meet the satisfaction of the HQ Design Coordinator.		180 PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT	5/19/2016. Design exceptions submitted for Caltrans review.
									Impact 4 =Med								
14	03-1F1700-14	Active	Threat	DESIGN	05/08/12	Stormwater treatment requirements become more stringent.	complexity and Interface	COST	Probability 3=Med (20-39%)	Med	Design/PM	Permanent BMPs are required for increase impervious surface areas.	ACCEPT	Communicate with Stormwater Coordinator to ensure that any potential changes in regulation are anticipated and addressed properly.		180 PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT	1/26/2015. No status change.
									Impact 4 =Med								

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15	03-1F1700-15	Active	Threat	DESIGN	05/08/12	Terminus of HOV lanes on SR65.	complexity and Interface	SCOPE	Probability 3=Med (20-39%) Med Impact 4 =Med		Design/PM	The risk occurs if the HOV lanes are not in place.	MITIGATE	Need to confirm with the schedule of 80/65 interchange project. If HOV lanes are not going in prior to this project then the termination of the HOV lanes will change.		180 PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT	5/19/2016. No status change.
16	03-1F1700-16	Retired	Threat	R/W	05/08/12	Condemnation of property required.	complexity and Interface	TIME	Probability 2=Low (10-19%) High Impact 8 =High		R/W/PM	The risk occurs when design exception of nonstandard side slope is not approved and R/W take is required.	ACCEPT	Need to work with HQ Design Coordinator to get the design exception approved.		195 RIGHT OF WAY PROPERTY MANAGEMENT AND EXCESS LAND	5/19/2016. Right of Way acquisition not required for project.
17	03-1F1700-17	Active	Threat	DESIGN	05/08/12	Coordinate project with other state/city/county projects.	complexity and Interface	TIME	Probability 3=Med (20-39%) Low Impact 2 =Low		Design/PM	Unknown project impacts from other projects.	ACCEPT	Revise design as necessary to match any changes during the final design.		185 PREPARE BASE MAPS AND PLAN SHEETS	5/19/2016. No status change.
18	03-1F1700-18	Active	Threat	DESIGN	08/16/12	Extend auxiliary/transition lane southward to the I-80 on both sides of SR65.	complexity and Interface	SCOPE	Probability 2=Low (10-19%) Med Impact 4 =Med		Traffic/Design/PM	The risk occurs if the I-80/SR65 interchange project does not include the auxiliary/transition lanes from the I-80 to post mile 6.5	MITIGATE	Need to confirm with the scope of I-80/SR65 project. If auxiliary/transition lanes are not going to be a part that project, then this project will need to do a Project Change request to change the limits of		180 PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT	5/19/2016. The latest I-80/SR65 IC preferred alternative provides aux lanes on SR65 till Galleria Blvd IC.
19	03-1F1700-19	Retired	Threat	DES	01/26/15	Access to adjacent properties is necessary to resolve constructability requirements.	complexity and Interface	COST	Probability 3=Med (20-39%) Med Impact 4 =Med		Design/RW	Not enough R/W or TCE are maintained for the project constructability consideration	AVOID	Identify early in the planning for project constructability.		195 RIGHT OF WAY PROPERTY MANAGEMENT AND EXCESS LAND	5/19/2016. Right of Way acquisition not required for project.
20	03-1F1700-20	Retired	Threat	ENV	01/26/15	Hazardous materials in existing bridges; lead paint, contaminated soil, asbestos bearings and shims.	complexity and Interface	TIME	Probability 2=Low (10-19%) Med Impact 4 =Med		Env/Design	Hazardous materials are discovered during bridge widening activities.	MITIGATE	Include mitigation measures to handle hazardous materials in the environmental document.		165 PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT	5/19/2016. ADL Assessment concludes excavated soil is not hazardous; testing/field observation did not detect lead paint/asbestos in bridge.