10-SJ-99/120-PM 4.60/6.30-PM R6.42/T7.15
EA:10-1E740K-ID 1016000038-PPNO 3162
20.XX.075.600 – STIP
December 2015

Project Study Report-Project Development Support (PSR-PDS)

To

Request Programming for Capital Support (Project Approval and Environmental Document Phase) in the 2018 STIP

On Route SR 99/120 Interchange

Between South of Austin Road Overcrossing

And South of Route 99/120 Separation (Bridge No. 19-0125)

APPROVAL RECOMMENDED:

KEVIN SHERIDAN, *SJCOG PROJECT MANAGER*

APPROVAL RECOMMENDED:

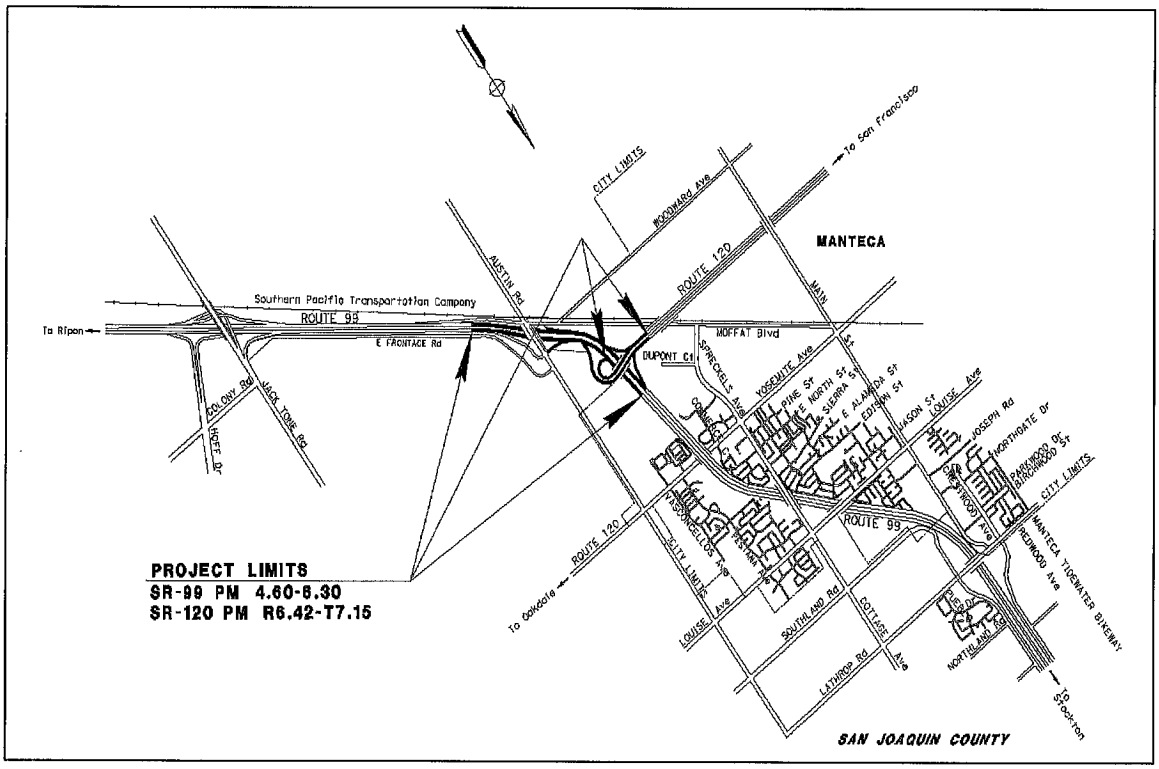
JES PADDA, *CALTRANS PROJECT MANAGER*

APPROVED:

DENNIS T. AGAR, *DISTRICT 10 DIRECTOR*

12/21/15
DATE

Vicinity Map



This project study report-project development support 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.

10/30/15

REGISTERED CIVIL ENGINEER *DATE*

Table of Contents

1. INTRODUCTION

Project Description:

The California Department of Transportation (Caltrans) District 10 with the cooperation of the City of Manteca and the San Joaquin Council of Governments (SJCOG) proposes to reconstruct the existing State Route (SR) 99/120 interchange. This project will add new auxiliary lanes, upgrade existing bridges, construct additional connector lanes, ramp upgrades, new signals, and lighting. This project will provide traffic congestion relief and improved operations of the interchange.

Two Build alternatives and the no-build are proposed for further consideration. The build alternatives range in current cost from $25 to $38 million for construction and Right of Way (R/W). See **Attachment D** for the cost estimates. These alternatives and costs will be further refined in the Project Approval and Environmental Document (PA&ED) phase.

The purpose of this Project Study Report-Project Development Support (PSR-PDS) is to identify and estimate project scope, schedule and supports costs necessary to complete studies and work needed during the PA&ED phase.

Project Limits	10-San Joaquin-99/120 SR 99 PM 4.60/6.30, SR 120 PM R6.42/T7.15
Number of Alternatives	3
Current Capital Outlay Support Estimate for PA&ED	$1.8 million
Current Capital Outlay Construction Cost Range	Alternative 1 - $38 million Alternative 2 - $25 million
Current Capital Outlay Right-of-Way Cost Range	Alternative 1- $0.7 million Alternative 2 -$0.2-0.5 million
Funding Source	Federal, State, Local
Type of Facility	Interchange
Number of Structures	3
Anticipated Environmental Determination or Document	Initial Study for California Environmental Quality Act; Environmental Assessment for National Environmental Policy Act
Legal Description	SR 99/120 Interchange
Project Development Category	3

Other approvals required are: Freeway Agreements (City and County), Freeway Maintenance Agreement, Traffic Forecasting Report, Traffic Operations and Analysis Report (TOAR), Geometric Design Review, Draft and Final Environmental Document, and Right of Way Data Sheet.

2. BACKGROUND

SR 99 is the principal south/north highway traversing the major cities within California's Central Valley. It primarily provides access for the movement of the people, goods, and services, and considered the main transportation route for agricultural products. It is also a major connector for west-east routes throughout the Central Valley, providing linkages between the Bay Area and the Sierra Nevada Mountains. SR 99 is functionally classified as a Principal Arterial throughout it's entirety and is a High Emphasis Focus Route in the Interregional Road System (IRRS). SR 120 is a west to east highway that originates from Interstate 5 and continues at its intersection with U.S. Highway 6 in the town of Benton. Within District 10 the route serves the counties of San Joaquin, Stanislaus, Tuolumne, and Mariposa. The portion of the route within Yosemite National Park is maintained by the federal government.

Within the proposed project limits, SR 99 is currently a six-lane divided freeway with 3 lanes in each direction, while SR 120 is a four–lane divided highway with 12 ft. lanes, 10 ft. outside shoulders and 5 ft. inside shoulders. See the vicinity map in **Attachment A**. There are the two existing bridge structures:

- Austin Road Overcrossing (Bridge No. 29-0129)
- Northbound SR 99 to westbound SR 120 and eastbound SR 120 to northbound SR 99 Connector (Bridge No. 29-0286E)

Caltrans and SJCOG have been actively involved in the development of the purpose and need including project development of design alternatives. This project would be the first phase of the SR 120 six lane widening project.

3. PURPOSE AND NEED

Purpose:
The purpose is to construct an additional travel lane for the northbound SR 99 to westbound SR 120 connector and the eastbound SR 120 to southbound SR 99 connector in order to improve the traffic operations of the interchange.

Need:
The need is to increase the capacity of connector ramps and improve the weaving, merge, and diverge movements between the SR 99/120 and SR 99/Austin Road interchanges.

4. TRAFFIC ENGINEERING PERFORMANCE ASSESSMENT (TEPA)

The TEPA will identify regional traffic issues and develop a traffic scope of work for the development of a traffic analysis report that will address any existing and future traffic issues at this location.

The result of TEPA is based on the following studies including the City of Manteca 2023 General Plan, SR 99 six-lane widening project (EA 10-0E611), and 2008 Caltrans Corridor System Management Plan. It is assumed that the current ramp metering project at the SR99/Austin Road interchange (EA 10-0W430) will be constructed by 2016 and should be included as part of the traffic analysis of this project.

General Plan Population and Employment Projections
Based on the City of Manteca General Plan, build out by 2023, the following population and employment projections, traffic analysis scenarios, traffic volume forecast development, and traffic operation analysis methods will support the transportation analysis to be completed during the PA&ED Phase.

The anticipated population of the City of Manteca is forecasted to be 70,000 to 86,0000 while San Joaquin County is forecasted to be 750,000 to 900,000 within the same period of time. Employment growth is based on build out of land uses which comprises of industrial, commercial mixed use, office, and business industrial park.

4.1 SCOPING OF FUTURE TRAFFIC ENGINEERING AND STUDIES

The purpose of the TEPA process is to develop a traffic scope of work for a more detailed traffic analysis to be completed during the PA&ED phase. Below are the details of the scope of work:

Transportation Analysis Scenarios
The transportation analysis will include Existing Year, Construction Year, and Design Year conditions. Design Year will represent conditions 20 years after construction of the project. For Construction and Design Year, the transportation analysis will contain traffic analysis results for the "Build" and the "No-Build" alternatives.

Traffic Volume Forecast Development
According to the 2008 Corridor System Management Plan (CSMP), the 2006 Annual Average Daily Traffic (AADT) on SR 99 range from 64,000 to 118,000. It is projected that by 2030, AADT will be up to 192,100 at the most southern end of the corridor within San Joaquin County. The peak hour volumes range from 13,200 to 15,750, while existing truck percentages ranged from 13.3% to 14.4%.

Development of the Construction Year and Design Year traffic volume forecasts will be based on the SJCOG regional travel demand forecasting model, which includes build out of the City of Manteca General Plan. The forecasts will also reflect the list of Tier 1 roadway improvements contained in the most recent update to the Regional Transportation Plan (RTP). The traffic volume forecasts will include A.M. and P.M. peak hour intersection turning movement forecasts for key study locations within the project limits including SR 99, nearby surface street intersections and adjacent interchanges.

Traffic Operations Analysis Methods
Traffic Operations will be analyzed using the Synchro 8 and SimTraffic micro simulation and FREQ models to calculate Measures of Effectiveness such as average delay, Level of Service (LOS), Travel time, Vehicle Miles Travelled, 95% percentile vehicle queuing and storage requirements on SR 99 at Austin Road. The Leish method will be used to analyze weaving areas on SR 99 at the connector. The methodologies for computing mainline operation, merge/diverge analysis will be as provided in the Highway Capacity Manual, 2010.

Traffic Data Collection
The data collection will include the following:

- Recent traffic volume data from the Caltrans Performance Measurement System (PeMS) database
- Existing lane configurations at intersections, interchanges, and freeway segments
- Existing and planned traffic controls
- Existing transit facilities and services
- Programmed transportation improvements
- Accident Data

The peak periods for a typical weekday will be observed based on 24-hour traffic volumes collected. A.M and P.M. peak periods are defined by the highest 4 consecutive 15 minute traffic counts for both the A.M. and P.M. from the 7-day traffic counts.

Traffic Analysis
A collision analysis will be conducted during the PA&ED phase of the project. This will be analyzed using the Traffic Accident Surveillance and Analysis System (TASAS) for the most recent three year period in the immediate vicinity of the project.

Key Input Parameters
The following input parameters will be determined during the traffic operations analysis report:

- Peak hour Factor (PHF)
- Terrain
- Truck and Bus percentage
- Recreational Vehicle (RV) percentage
- Free Flow Speed (FFS)
- Passenger Car Equivalent (Leisch Method)
- Weave Section Length
- Growth rate factor
- Roadway geometry and lane configuration

Performance Measures
Peak hour performance measures include the following items:

- Intersection LOS, delay, and individual movements
- 95th percentile vehicle queue lengths for critical locations
- Freeway LOS and density
- Percent demand served for congested locations
- Travel time
- Vehicle miles traveled

5. DEFICIENCIES

Due to increased traffic, the existing SR 99/120 interchange has experienced significant traffic congestion. This is true especially for the eastbound to southbound and northbound to westbound connectors. Discussed below are the existing problems of the SR 99/120 interchange:

- Congestion at the eastbound to southbound connector is more significant due to the capacity reduction from two lanes to a single lane at the connector entrance. Currently, the A.M. peak hour volume for the eastbound to southbound connector is approximately 3100 vehicles per hour (vph), and in the P.M. it is 4600 vph. For the northbound to westbound connector, the A.M. peak hour volume is 3700 vph and 2200 vph in the P.M. peak hour. Both peak hour demands for each connector exceed the existing capacity.
- The interchange spacing between the SR 120 and Austin Road interchanges is less than a mile. The design standard for interchange spacing for freeway to freeway interchanges is two miles. The weaving section between the interchanges exhibits congestion as southbound vehicles merge with southbound SR 99 and vehicles exit at the SR 99/Austin Road interchange. The same issue is present in the northbound direction. Ultimately, providing an Austin Road interchange that meets current interchange spacing design standards would require relocation of this interchange further to the south.
- The SR 99/Austin Road interchange ramps are hook ramps that provide inadequate acceleration and deceleration lanes to connect with SR 99. These traffic operational and safety deficiencies cannot be resolved because of the nonstandard interchange geometrics.
- The existing Austin Road Overcrossing has closed end abutments that only physically allow three travel lanes to pass under the bridge in each direction. More travel lanes under the Overcrossing would allow for extended auxiliary lanes for the connectors that would improve the merge and diverge movements for the connectors, SR 99 and SR 120.
- In the southbound direction, the number one lane or fast lane is dropped south of the SR 120/99 interchange and north of the Austin Road interchange which adds another decision point and another weaving movement in this congested area.

6. CORRIDOR AND SYSTEM COORDINATION

6.1 Caltrans Planning

Both SR 99 and SR 120 are on the Interregional Road System (IRS) and the Freeway and Expressway System (FES) with a concept LOS D in urban areas and LOS C in rural areas. Additionally, SR 99 is a part of the National Truck Network consistent with the provisions of the Surface Truck Assistance Act of 1982 (STAA), while SR 120 is designated as a terminal access route consistent with the provisions of STAA. Neither route are included in the State Scenic Highway System, nor are they accessible to bicycles or pedestrians.

Planning Horizon

- Concept LOS C for rural and LOS D for urban locations.
- Concept facility for SR 99 - six lane freeway.
- Concept Facility for SR 120 - six lane freeway by 2027.
- Ultimate Transportation Concept facility for SR 99 - eight lane freeway.
- Ultimate Transportation Concept facility for SR 120 - eight lane freeway with HOV lanes.

6.2 Transportation Planning Scoping Information Sheet

The following is a summary of the Transportation Planning Scoping Information Sheet . See **Attachment B**.

Community Planning
The Public Information Office has contacted and received input from concerned community groups about the project. The environmental documents will be circulated for public comment including a public meeting during the PA&ED phase.

Freight Planning
This project will allow more efficient movement of trucks between SR 99 and SR 120 by providing a greater number of connecting lanes.

Transit
San Joaquin Regional Transit District (SJRTD) and Manteca Transit (City of Manteca) provide transit services within the project area. There are no transit facilities within the area and transit routes will not be affected during construction.

Bicycle
There are no bike routes on SR 99 and SR 120.

Pedestrian
There are no Pedestrian Facilities within the project area.

Equestrian
There is no equestrian demand or facilities in the area. Accommodations for equestrian traffic are not needed for this project.

Intelligent Transportation System (ITS)
Ramp Metering Systems, Closed Circuit TV (CCTV) Cameras, Traffic Monitoring Stations (TMS), Changeable Message Signs (CMS), Maintenance Vehicle Pullouts (MVP), Fiber Optic Lines, Roadside Weather Information Systems (RWIS) are included in the project scope of work.

7. ALTERNATIVES

No –Build Alternative

Under the No-Build Alternative, the existing interchange would remain unchanged. This alternative does not meet the purpose and need of the project.

Build Alternative 1

This alternative proposes to add an additional travel lane for the existing northbound SR 99 to westbound SR 120 connector and eastbound SR 120 to northbound SR 99 connector (Bridge# 29-0286E) to double its existing capacity. Also, it will construct braided ramps on southbound SR 99 and eastbound SR 120 to southbound SR 99 connector traffic to Austin Road to improve weaving, merge, and diverge movements between the two interchanges. In order to accomplish this, an Overcrossing for the southbound SR 99 traffic to access Austin Road will be required. A new Austin Road Overcrossing that is wide enough to add additional auxiliary lanes to north and southbound SR 99 mainline are also proposed. In the northbound direction, a new ramp connector will be constructed so that vehicles from Austin Road can enter SR 99 north of the existing SR 99/120 interchange and connect to northbound SR 99 south of SR 120/E. Yosemite interchange. See **Attachment C**.

The locations of MVPs and contrasting pavement for gore areas will be identified during the PA&ED phase when the geometry of the preferred alternative is finalized.

Exceptions to Mandatory Design Standards will be required for this alternative for interchange spacing between SR 120 and Austin Road (to the south) and between SR 120 and eastbound SR 120/E. Yosemite interchange (to the north). Other Mandatory and Advisory Design Exception will be discussed during the PA&ED phase of the project.

Build Alternative 2

This alternative is the same as Build Alternative 1 but proposes to permanently close the southbound SR 99 off ramp to Austin Road and the northbound on-ramp from

Austin Road. By closing both ramps, construction of braided ramps on the southbound and the northbound sides of SR 99 are not needed.

No Exception for Mandatory Design Standards will be required for this alternative for interchange spacing to the south because the ramps at Austin Road will be removed. The SR 120/Main Street Interchange, the SR 99/Yosemite Avenue Interchange, and the SR 99/Jack Tone Road Interchange provide access to SR 99. However to the north, a design exception will be required for interchange spacing between SR 120 and eastbound SR 120/Yosemite interchange.

8. RIGHT-OF-WAY

A Right of Way Data Sheet has been prepared and is included in **Attachment E**.

Right of way acquisition will not be needed for No-Build Alternative.

Build Alternative 1 will require right of way acquisition to accommodate the braided ramps for the southbound direction to Austin Road and the ramp that reconnects Austin Road on ramp to SR 99 north of the interchange.

Build Alternative 2 will also require right of way acquisition but to a lesser extent. A Freeway Agreement will be required between the City of Manteca and Caltrans to memorialize the change in access. Discussions between the City of Manteca and the public will begin in the PA&ED phase. A Freeway Agreement with San Joaquin County to designate future access and mitigate for the access at Austin Road will also be processed

Utilities
PG&E overhead power pole located at Austin Road Overcrossing and SR 99 is in conflict with the new bridge so relocation is needed. Further investigations will be performed during the PA&ED phase to determine, types, location and sizes of all utilities.

Build Alternative 1 and 2 will require potholing to determine if underground utilities will require relocation. Relocation of utilities will be coordinated with the utility owners during the design and R/W phases.

The agency responsible for the costs of any utility relocation will be determined based on research of ownership, prior rights, and Master Agreements. Once this determination is made, a determination of liability will be completed to appropriately allocate funds for the design and relocation of the affected utilities.

Railroad
None of the alternatives will have impacts to railroad lines.

9. STAKEHOLDER INVOLVEMENT

Representatives of SJCOG and Caltrans have attended Project Development Team (PDT) meetings during the Project Initiation Document (PID) phase to develop the purpose and need and identify the alternatives studied for the SR 99/120 Interchange Project. During project development, meetings will continue through the PA&ED phase.

10. ENVIRONMENTAL DETERMINATION/DOCUMENT

The Preliminary Environmental Analysis Report (PEAR), included as **Attachment F**, indicates that the project would qualify for Initial Study (IS) under California Environmental Quality Act (CEQA) and Routine Environmental Assessment (EA) under National Environmental Policy Act (NEPA). This determination is based on a review of the issues and the anticipated mitigation (costs). Estimated time to obtain environmental approval is twenty-four months. Agency coordination for hazardous waste, archaeological, and the biological environment could affect the project schedule. Risks are discussed in **Attachment G**.

Based on the information contained in this PEAR, the following environmental commitments are anticipated:

- An Aerially Deposited Lead study is required prior to construction.
- A Lead Compliance Plan for grinding of painted surfaces is required.
- Preliminary Site Investigation studies are required for the affected bridges.
- Estimates for raptor monitoring are included.
- Migratory bird exclusion is recommended.

11. FUNDING

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

Capital Outlay Project Estimate

	Range of Estimate		STIP Funds		Local Funds
	Construction	Right-of-Way	Construction	Right-of-Way	PA&ED
Alternative 1	$35 -$40	$0.7	$35 -$40	$0.7	$1.8
Alternative 2	$24- $29	$0.2-$0.5	$24- $29	$0.2-$0.5	$1.8

All costs are millions of dollars. The level of detail available to develop these capital outlay project estimates is only accurate to within the above ranges and is useful for long-range planning purposes only. The capital outlay project estimates should not be used to program or commit State-programmed capital outlay funds. Funding contributions for the later phases are to be determined. This project will be a candidate

for the State Highway Operations and Protection Program and State Transportation Improvement Program including savings from the Proposition 1B Program.

Capital Outlay Support Estimate
The capital outlay support estimate for PA&ED is $ 1.8 million and it is being funded by SJCOG.

12. SCHEDULE

Project Milestones		Scheduled Delivery Date (Month/Day/Year)
BEGIN ENVIRONMENTAL	M020	06/16/2016
CIRCULATE DED EXTERNALLY	M120	02/06/2018
PA & ED	M200	08/08/2018
BEGIN DESIGN	M210	08/09/2018
RIGHT OF WAY MAPS	M224	08/08/2018
PS&E TO DOE	M377	04/12/2020
RIGHT OF WAY CERTIFICATION	M410	01/15/2021
READY TO LIST	M460	02/15/2021
HEADQUARTERS ADVERTISE	M480	05/31/2021
AWARD	M495	08/18/2021
APPROVE CONSTRUCTION CONTRACT	M500	09/01/2021
CONTRACT ACCEPTANCE	M600	09/01/2023
FINAL REPORT	M700	09/01/2025
END PROJECT	M800	04/02/2027

The anticipated funding fiscal year for construction is 2020/21.

13. RISKS

As part of the PID phase, A Risk Register has been completed. The Risk Register is an assessment of potential risks and impacts to the overall project that may occur in subsequent phases. See **Attachment G.**

14. FHWA COORDINATION

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

15. PROJECT REVIEWS

Field Review Use photos in lieu of field visit Date 08/12/15
District Maintenance Long Huynh Date 11/03/15
District Traffic Safety Engineer Larry Hernandez Date 11/03/15
Headquarters Project Delivery Coordinator Patricia Scrivner Date 11/03/15
Project Manager Jes Padda Date 11/03/15
District Safety Review Mark Orr Date 11/03/15

16. PROJECT PERSONNEL

Caltrans, District 10
Jes Padda, Project Manager, (209) 948-7765
Michael Hutchison, Design Manager, (209) 948-3976
Manuel Palatino, Project Engineer, (209) 942-6028
Scott Smith, Environmental Manager, (559) 445-6172
Vu H. Nguyen, Chief, Traffic Operation, (209) 603-5126
Anthony Dorn, Right of Way, (209) 948-3858
Jim Espinosa, Stormwater, (559) 243-8007

San Joaquin Council of Government
Kevin Sheridan, Project Manager, SJCOG, (209) 235-0577

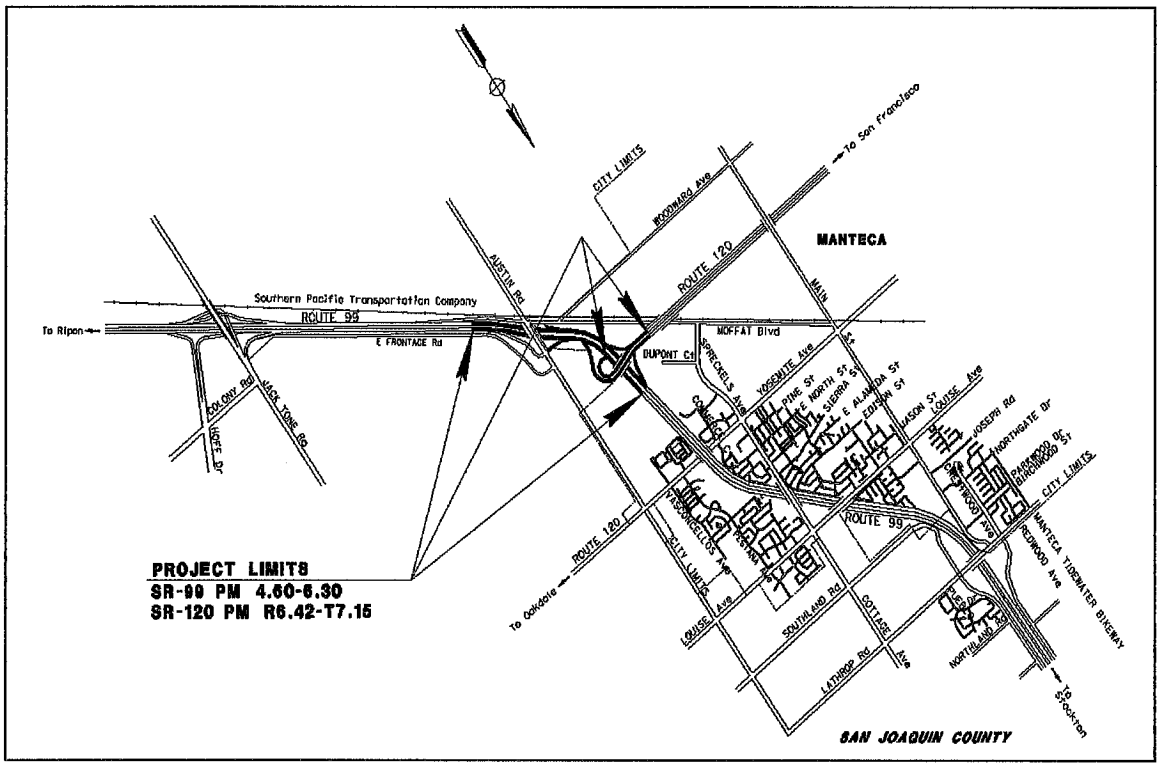
17. ATTACHMENTS

A. Vicinity Map
B. Transportation Planning Scoping Information
C. Layout and Typical Sections for the Build Alternatives 1 and 2.
D. Cost Estimate for Build Alternatives 1 and 2
E. Right of Way Data Sheet
F. Preliminary Environmental Analysis Report (PEAR)
G. Risk Register
H. Storm Water Data Report (signed cover sheet)
I. Cooperative Agreement

ATTACHMENT A

Vicinity Map

Vicinity Map



ATTACHMENT B

Transportation Planning Scoping Information Sheet

ARTICLE 4
Transportation Planning Scoping Information Sheet

Transportation planning provides the framework for selecting, scoping and constructing projects on the State Highway System. The intent of federal and State laws, policies and regulations are to fund and construct projects that are consistent with State, regional, and community planning decisions. Transportation planning processes are iterative; therefore, project teams rely on the Transportation Planner to provide the team with transportation planning information that affects the scope, cost, and schedule of the proposed project.

The Transportation Planner has the expertise to compile, analyze and present pre-planning efforts and decisions that must be considered when scoping the project. The Transportation Planner must identify community concerns and ensure they are adequately addressed early enough in the project development process to facilitate efficient project delivery. This information enables the team to properly define and scope the project in concert with the affected community and the alternatives previously considered.

It is important to use resources to gather and compile information that will:

- Assist project development teams in developing projects that are consistent with the purpose and need identified in the long-range transportation planning process for the statewide integrated multimodal transportation system.
- Ensure that the project development teams consider the following:
    - Consistent with planning concepts and statewide goals
    - Transportation system throughput and efficiencies for all modes.
    - Community values, context sensitive solutions, and complete streets.
    - Consistency with State, regional and community planning decisions.
- Improve cost estimating.
- Reduce scope creep.

Transportation Planners can use the planning scoping information sheet as a communication document to present the planning level purpose and need to the Project Development Team (PDT) early in the project initiation phase. The PDT should use the planning scoping information sheet to verify that the project remains consistent with the planning level purpose and need and is consistent with planning concepts, statewide goals, and planning decisions. Guidance to assist the Transportation Planner in completing the Information Sheet is located at: http://www.dot.ca.gov/hq/tpp/offices/opsc/project_scoping.html.

The majority of the data requested for the information sheet is compiled at two separate time periods. The initial information is collected by the Transportation Planning PDT representative at the start of Project Initiation Document (PID) development to ensure appropriate stakeholders are included in the process and all pre-planning efforts and commitments are reviewed before any project decisions are made. The remaining information will be addressed during the project development process. Explanations of how the requirements were met will need to be finalized by the end of the PID. Initial information required for each section of the planning information sheet beginning on page two is identified as **INITIAL PID INFORMATION** and the concluding information is identified as **FINAL PID INFORMATION.**

ARTICLE 4 Transportation Planning Scoping Information Sheet

PROJECT INFORMATION

District	County	Route	Post Miles	Project ID No/ Expenditure Authorization No.
10	San Joaquin	99/120	SR99-4.6/6.30,SJ120-R6.42/T7.15	1016000038
Project Name and Description : SJ-99/120 Interchange Improvement Project in the City of Manteca, San Joaquin County.				

Prepared by:

District Information Sheet Point of Contact*:	Name: Irene Tu (209) 941-1980	Functional Unit:	Planning (2579)

* The District Information Sheet Point of Contact is responsible for completing Project Information, PDT Team and Stakeholder Information, and coordinating the completion of project-related information with the Transportation Planning Stakeholders. Upon completion, provides the Transportation Planning PDT Representative and Project Manager with a copy of the Information Sheet.

Project Development Team (PDT) Information		
Title	**Name**	**Phone Number**
Project Manager	Jes Padda	(209) 948-7765
Project Engineer	Manuel Palatino	(209) 942-6028
Transportation Planning PDT Representative**	Lynn O'connor	(209) 948-3975

Transportation Planning Stakeholder Information		
Title	**Name**	**Phone Number**
Regional Planner	Carl Baker	(209) 948-7325
System Planner	Lynn O'connor	(209) 948-3975
Local Development-Intergovernmental Review (LD-IGR) Planner	Carl Baker	(209) 948-7325
Community Planner	Carl Baker	(209) 948-7325
Goods Movement Planner	Lynn O'connor	(209) 948-3975
Transit Planner	Carl Baker	(209) 948-7325
Bicycle and Pedestrian Coordinator	Carl Baker	(209) 948-7325
Park and Ride Coordinator		
Native American Liaison	Maria Rodriguez	(209) 948-7475
Other Coordinators:		

Project Purpose and Need –**

Purpose:

The purpose is to construct an additional travel lane to northbound SR 99 to westbound SR 120 connector and the eastbound SR 120 to southbound SR 99 connector in order to improve the traffic operations of the interchange.

Need:

Increase the capacity of connector ramps and improve the weaving merge, and diverge movements between the SR 99/120 and SR 99/Austin Road interchanges.

** The Transportation Planning PDT Representative is responsible for providing the PDT with the system-wide and corridor level deficiencies identified by Transportation Planning. The PDT uses the information provided by Transportation Planning to develop the purpose and need with contributions from other Caltrans functional units and external stakeholders at the initiation of the PID and is refined throughout the PID process. As the project moves past the project initiation stage and more data becomes available, the purpose and need is refined. For additional information on purpose and need see: www.dot.ca.gov/hq/env/emo/purpose_need.htm

1. Project Funding:

a	List all known and potential funding sources and percent splits: (ie. State Transportation Improvement Program (STIP)/State Highway Operations and Protection Program (SHOPP)/Transportation Enhancement (TE)/Environmental Enhancement and Mitigation (EEM)/Safe Routes to School (SR2S)/etc.).
	STIP , SHOPP
b	Is this a measure project? Yes__/No__. If yes, name and describe the measure.
	No

2. Regional Planning:

a	Name of and contact information for Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA).
	San Joaquin Councils of Government (SJCOG)
b	Name of and contact information for local jurisdiction (City or County)
	Kevin Sheridan and Ryan Nibblock
c	Provide the page number and project description as identified in the Regional Transportation Plan (RTP) and the date of adoption, or provide an explanation if not in RTP. :
	It was amended into the RTP on March 30, 2015. The project is located on Page 8 of the updated project list.
d	Provide nexus between the RTP objectives and the project to establish the basis for the project purpose and need.
	Not Applicable
e	Is the project located in an area susceptible to sea-level rise?
	No
f	Name of Air Quality Management District (AQMD)
	San Joaquin Valley Air Pollution Control District
g	If the project is located in a federal non-attainment or attainment-maintenance area is the project:
	• Regionally Significant? (per 40 (Code of Federal Regulations (CFR) 93.101) Y_**X**_/N__
	• Exempt from conformity? (per 40 CFR 93.126 and 93.128) Y__/N__
	• Exempt from regional analysis? (per 40 CFR 93.127) Y___/N__
	• Not exempt from conformity (must meet all requirements)? Y__/N__

3. Native American Consultation and Coordination:

a	If project is within or near an Indian Reservation or Rancheria? If so, provide the name of Tribe.
	No
b	Has/have the Tribal Government(s) been consulted? Y___/N_**X**_. If no, why not?
	Not Applicable
c	If the project requires Caltrans to use right-of-way on trust or allotted lands, this information needs to be included as soon as possible as a key topic in the consultation with the Tribe(s). Has the Tribe been consulted on this topic? Y___/N_X_. If no, why not?
	Not Applicable

d	Has the Bureau of Indian Affairs (BIA) been notified? Y__/N_X_ _
	Not Applicable
e	Have all applicable Tribal laws, ordinances and regulations [Tribal Employment Rights Ordinances (TERO), etc.] been reviewed for required contract language and coordination.
	Not Applicable
f	If the Tribe has a TERO, is there a related Memorandum of Understanding between the District and the Tribe?
	Not Applicable
g	Has the area surrounding the project been checked for prehistoric, archeological, cultural, spiritual, or ceremonial sites, or areas of potentially high sensitivity? If such areas exist, has the Tribe, Native American Heritage Commission or other applicable persons or entities been consulted?
	No, this is premature at this time, this should be done at PA&ED phase.
h	If a Native American monitor is required for this project, will this cost be reflected in cost estimates?
	Yes
i	In the event of project redesign, will the changes impact a Native American community as described above in d, e, or h?
	Unknown at this time, not enough information.

4. System Planning:

a	Is the project consistent with the DSMP? Y__/N_**X**_. If yes document approval date. If no, explain.
	Project is not in the DSMP
b	Is the project identified in the TSDP? Y_**X**_/N___? If yes, document approval date____. If no, explain.
	Yes
c	Is the project identified in the TCR/RCR or CSMP? Y__/N_**X**_ _. If yes, document approval date___. If no, explain. Is the project consistent with the future route concept? Y_**X**_ _/N__. If no, explain.
	TCR addresses 2000 conditions, and MPO priorities at that time.
d	Provide the Concept Level of Service (LOS) through project area.
	LOS D
e	Provide the Concept Facility – include the number of lanes. . 6F Does the Concept Facility include High Occupancy Vehicle lanes? Y__/N_**X**_.
	6F No
f	Provide the Ultimate Transportation Corridor (UTC) – include the number of lanes. 8F Does the UTC include High Occupancy Vehicle Lanes? Y**X**__/N_ _ _.
	8F Yes
g	Describe the physical characteristics of the corridor through the project area (i.e. flat, rolling or mountainous terrain...).
	FLAT
h	Is the highway in an urban or rural area? Urban__**X**_/Rural__. Provide Functional Classification.
	Urban
i	Is facility a freeway, expressway or conventional highway?
	Freeway to Freeway
j	Provide Route Designations: (i.e. Interregional Transportation Strategic Plan (ITSP) High Emphasis or Focus Route, Surface Transportation Assistance Act (STAA) Route, Scenic Route…).
	IRRS route, high emphasis; STAA, not on scenic highway
k	Describe the land uses adjacent to project limits (i.e. agricultural, industrial…).
	Urban, commercial, residential, vacant
l	Describe any park and ride facility needs identified in the TCR/CSMP, local plans, and RTP.
	Not Applicable
m	Describe the Forecasted 10 and 20-year Vehicle Miles Traveled (VMT), Annual Average Daily Traffic (AADT), and Peak Hour truck data in the TCR. Include the source and year of Forecast, and names and types of traffic and travel demand analysis tools used.

	No VMT reported, AADT and peak hour growth consistent with TDM of period as calculated by forecasting branch.
n	Has analysis on Daily Vehicle Hours of Delay (DVHD) from the Highway Congestion Monitoring Program (HICOMP) been completed and included? Y__/N_**X**__.
	No

5. Local Development – Intergovernmental Review (LD-IGR):

List LD-IGR projects that may directly or indirectly impact the proposed Caltrans project or that the proposed Caltrans project may impact. (Attach additional project information if needed.)

LD-IGR Project Information		**Project**
a	County-Route-Postmile & Distance to Development.	**10-SJ-99-PM 4.84**
b	Development name, type, and size.	**Austin Business Park**
c	Local agency and/or private sponsor, and contact information.	**San Joaquin County**
d	California Environmental Quality Act (CEQA) status and Implementation Date.	**N/A**
e	If project includes federal funding, National Environmental Policy Act (NEPA) status.	**N/A**
f	All vehicular and non-vehicular unmitigated impacts and planned mitigation measures including Transportation Demand Management (TDM) and Transportation System Management (TSM) that would affect Caltrans facilities.	**N/A**
g	Approved mitigation measures and implementing party.	**N/A**
h	Value of constructed mitigation and/or amount of funds provided.	**N/A**
i	Encroachment Permit, Transportation Permit, Traffic Management Plan, or California Transportation Commission (CTC) Access approvals needed.	**Yes**
j	Describe relationship to Regional Blueprint, General Plans, or County Congestion Management Plans.	**N/A**
k	Inclusion in a Regional Transportation Plan Sustainable Community Strategy or Alternative Planning Strategy?	**RTP and SCS**
l	Regional or local mitigation fee program in place?	**Yes**

6. Community Planning:

	INITIAL PID INFORMATION
a	Has lead agency staff worked with any neighborhood/community groups in the area of the proposed

	improvements? Y__/N__. If yes, summarize the process and its results including any commitments made to the community. If no, why not?
	Unknown
b	Are any active/completed/proposed Environmental Justice (EJ) or Community-Based Transportation (CBTP) Planning Grants in the project area? Y__/N__. If yes, summarize the project, its location, and whether/how it may interact with the proposed project.
	No
c	Describe any community participation plans for this PID including how recommendations will be incorporated and/or addressed. Has a context sensitive solutions (CSS) approach been applied? Y__/N__
	During PA&ED the environmental document will be circulated for public comment. Context sensitive solutions will be incorporated into the project.
	FINAL PID INFORMATION
d	How will the proposed transportation improvements impact the local community? Is the project likely to create or exacerbate existing environmental or other issues, including public health and safety, air quality, water quality, noise, environmental justice or social equity? Y__/N__. Describe issues, concerns, and recommendations (from sources including neighborhood/community groups) and what measures will be taken to reduce existing or potential negative effects.
	This will be determined during the PA&ED as part of the environmental process.
e	Does this highway serve as a main street? Y__/N_**X**_. If yes, what main street functions and features need to be protected or preserved?.
	No

7. Freight Planning:

	INITIAL PID INFORMATION
a	Identify all modal and intermodal facilities that may affect or be affected by the project.
	Not Applicable
b	Describe how the design of this project could facilitate or impede Goods Movement and relieve choke points both locally and statewide through grade separations, lane separations, or other measures (e.g., special features to accommodate truck traffic and at-grade railroad crossings).
	Project allows more efficient movement of trucks between SR 120 and SR 99 by providing a greater number of connecting lanes.
c	Describe how the project integrates and interconnects with other modes (rail, maritime, air, etc.). Do possibilities exist for an intermodal facility or other features to improve long-distance hauling, farm-to-market transportation and/or accessibility between warehouses, storage facilities, and terminals?
	Although two intermodal truck to rail facilities and an airport are in project area—the specific action would not assist greatly in the access or movement of freight to these three locations because access is constrained by local truck route priorities and restrictions.
d	Is the project located in a high priority goods movement area, included in the Goods Movement Action Plan (GMAP) or on a Global Gateways Development Program (GGDP) route? Y**X**_/N__. If yes, describe..
	SR 99 is a priority goods movement corridor
e	Is the project on a current and/or projected high truck volume route [e.g., Average Annual Daily Truck Traffic (AADTT) of 5 axle trucks is greater than 3000]? Yes_**X**_/N__. If yes, describe how the project addresses this demand.
	Yes
f	If the project is located near an airport, seaport, or railroad depot, describe how circulation (including truck parking) needs are addressed.
	Project is near Stockton airport which is not a significant freight facility, trucks serving Roth Road intermodal do not employ corridor, and trucks serving Mariposa intermodal employ Arch Road. Truck parking needs locally are met by transportation firms found on BGuthmiller and Yosemite

	Blvds. Farther west.
g	Describe any other freight issues.
	Not Applicable

8. Transit (bus, light rail, commuter rail, intercity rail, high speed rail):

	INITIAL PID INFORMATION
a	List all local transit providers that operate within the corridor.
	San Joaquin Regional Transit District, Manteca Transit
b	Have transit agencies been contacted for possible project coordination? Y__/N_**X**_. If no, why not?
	Not affecting any routes.
c	Describe existing transit services and transit features (bus stops, train crossings, and transit lines) within the corridor.
	None in that area.
d	Describe transit facility needs identified in short- and long-range transit plans and RTP. Describe how these future plans affect the corridor.
	To be done during the PA&ED phase.
	FINAL PID INFORMATION
e	Describe how the proposed project integrates transit and addresses impacts to transit services and transit facilities
	No impact to transit facilities.
f	Have transit alternatives and improvement features been considered in this project? Y__/N_ _ If yes, describe. If no, why not?
	No new transit are anticipated

9. Bicycle:

	INITIAL PID INFORMATION
a	Does the facility provide for bicyclist safety and mobility needs? If no, please explain.
	Not bike accessible. There are no bike routes on State Routes 99 and 120.
b	Are any improvements for bicyclist safety and mobility proposed for this facility by any local agencies or included in bicycle master plans? If yes, describe (including location, time frame, funding, etc.).
	Yes, but local roads.
c	Are there any external bicycle advocacy groups and bicycle advisory committees that should be included in the project stakeholder list? If so, provide contact information.
	Not Applicable
	FINAL PID INFORMATION
d	Will bicycle travel deficiencies be corrected? How or why not?
	Not Applicable
e	How will this project affect local agency plans for bicycle safety and mobility improvements?
	Not Applicable
f	If the project is the construction of a new freeway or modification to an existing freeway, will it sever or destroy existing provisions for bicycle travel? If yes, describe how bicycle travel provisions will be included in this project.
	Not Applicable

10. Pedestrian including Americans with Disabilities Act (ADA):

	INITIAL PID INFORMATION
a	Does this facility provide for pedestrian safety and mobility needs? If so, describe pedestrian facilities. .Do continuous and well-maintained sidewalks exist? Are pedestrians forced to walk in the roadway at

	any locations due to lack of adequate pedestrian facilities? Please explain. **No**
	No
b	Are pedestrian crossings located at reasonable intervals?
	Not Applicable
c	Are all pedestrian facilities within the corridor ADA accessible and in compliance with Federal and State ADA laws and regulations?
	Not Applicable
	FINAL PID INFORMATION
d	Will pedestrian travel deficiencies be corrected? How or why not?
	Not Applicable
e	How will this project affect local agency plans for pedestrian safety and mobility improvements?
	Not Applicable
f	If the project is the construction of a new freeway or modification to an existing freeway, will it sever or destroy existing provisions for pedestrian travel? If yes, describe how pedestrian travel provisions will be included in this project. . ?
	Not Applicable
g	Are there any external pedestrian advocacy groups and advisory committees that should be included in the project stakeholder list? If so, provide contact information. ?
	Not Applicable
h	Have ADA barriers as noted in the District's ADA Transition Plan been identified within the project limits? If not included in the project, provide justification and indicate whether District Design coordinator approval was obtained. ?
	Not Applicable

11. Equestrian:

	INITIAL PID INFORMATION
a	If this corridor accommodates equestrian traffic, describe any project features that are being considered to improve safety for equestrian and vehicular traffic?
	Not Applicable
	FINAL PID INFORMATION
b	Have features that accommodate equestrian traffic been identified? If so, are they included a part of this project? Describe. If no, why not?
	Accommodation for equestrian traffic are not needed for this project.

12. Intelligent Transportation Systems (ITS):

	INITIAL PID INFORMATION
a	Have ITS features such as closed-circuit television cameras, signal timing, multi-jurisdictional or multimodal system coordination been considered in the project? Y_X_/N_ _. If yes, describe. If no, explain.
	Closed Circuit TV (CCTV) Cameras, Traffic Monitoring Stations (TMS), Changeable Message Signs (CMS), Maintenance Vehicle Pullouts (MVP), Ramp Metering Systems, Fiber Optic Lines, and Roadside Weather Information Systems (RWIS).
	FINAL PID INFORMATION
b	Have ITS features been identified? If so, are they included a part of this project? Describe. If no, why not?
	To be verified at the final PID.

ATTACHMENT C

Layout and Typical Sections for Build Alternatives1 & 2

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
10	SJ	99 120	4.60/6.30 R6.42/T7.15		

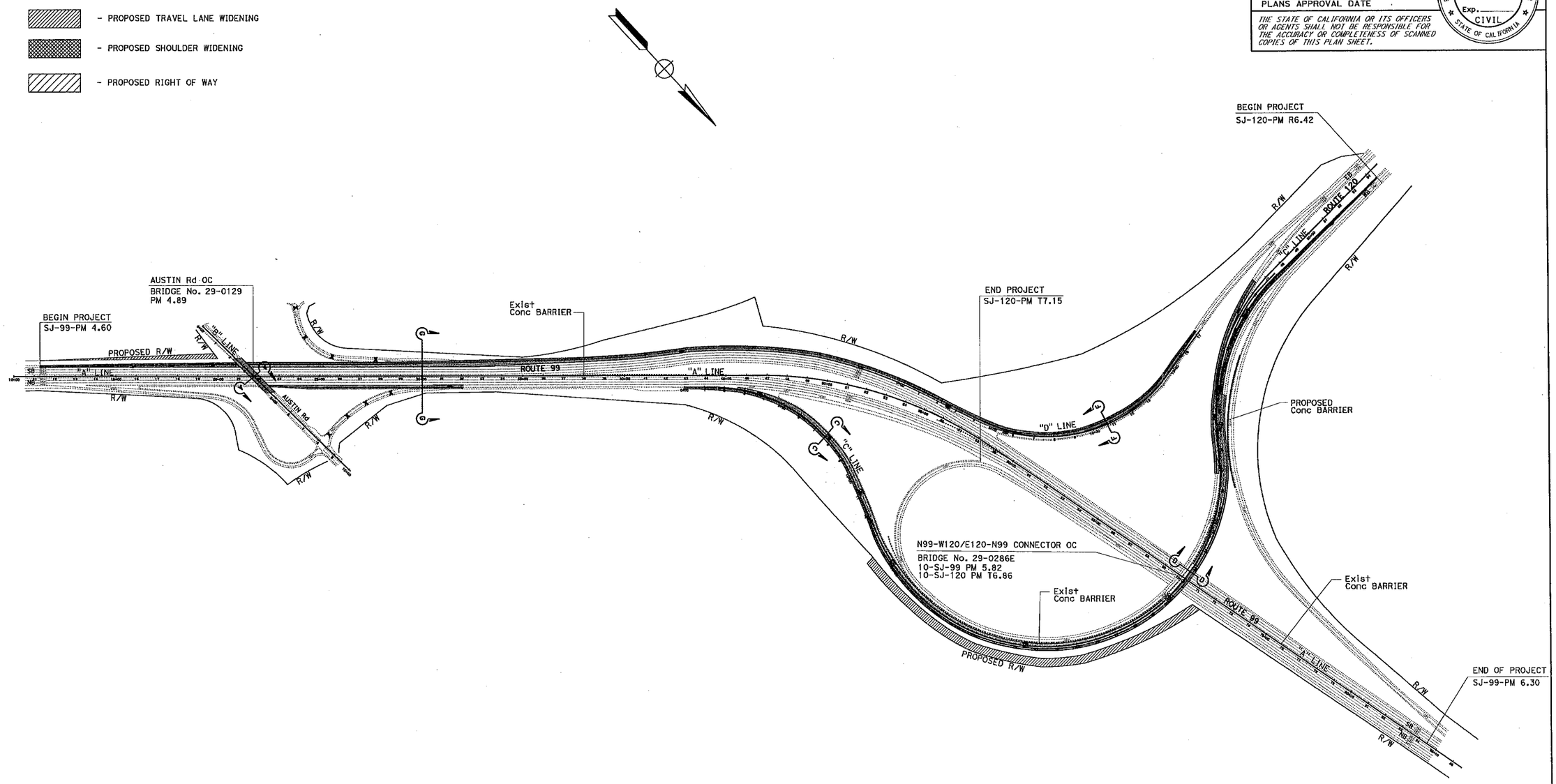
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

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

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

- PROPOSED TRAVEL LANE WIDENING
- PROPOSED SHOULDER WIDENING
- PROPOSED RIGHT OF WAY



ALTERNATIVE 2
PRELIMINARY PLAN (NOT FOR CONSTRUCTION)

NO SCALE

REVISED BY | DATE REVISED

CALCULATED-DESIGNED BY | CHECKED BY

FUNCTIONAL SUPERVISOR

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

Caltrans

LAST REVISION 00-00-00 | DATE PLOTTED => 03-NOV-2015 | TIME PLOTTED => 10:42

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Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS
10	SJ	99 120	4.60/6.30 R6.42/T7.15		

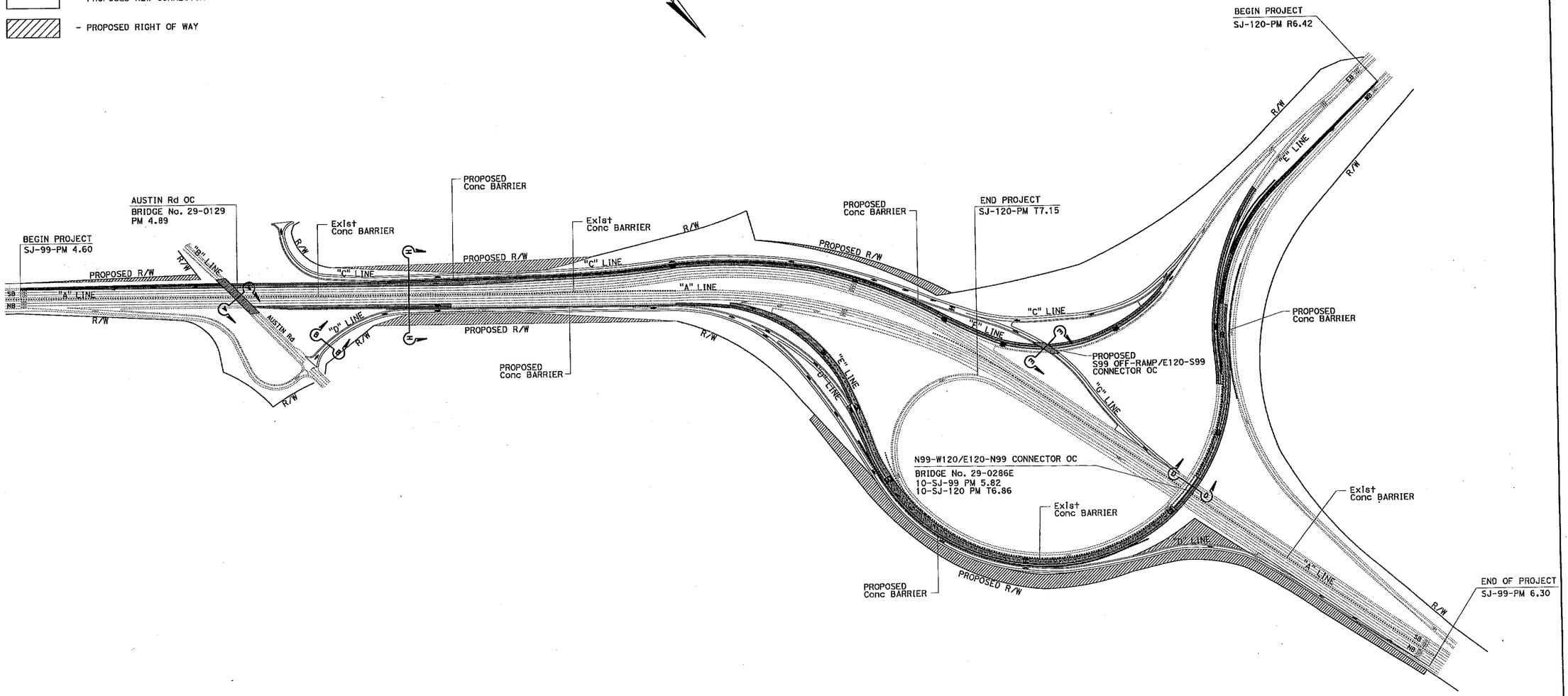
REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

REGISTERED PROFESSIONAL ENGINEER No. Exp. CIVIL STATE OF CALIFORNIA

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

- PROPOSED TRAVEL LANE WIDENING
- PROPOSED SHOULDER WIDENING
- PROPOSED NEW CONNECTOR
- PROPOSED RIGHT OF WAY



ALTERNATIVE 1
PRELIMINARY PLAN (NOT FOR CONSTRUCTION)

NO SCALE

REVISED BY | DATE REVISED

CALCULATED-DESIGNED BY | CHECKED BY

FUNCTIONAL SUPERVISOR

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

Caltrans

LAST REVISION 00-00-00 | DATE PLOTTED => 03-NOV-2015 | TIME PLOTTED => 11:36

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UNIT 0000

PROJECT NUMBER & PHASE 00000000001

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS

REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

REGISTERED PROFESSIONAL ENGINEER No. Exp. CIVIL STATE OF CALIFORNIA

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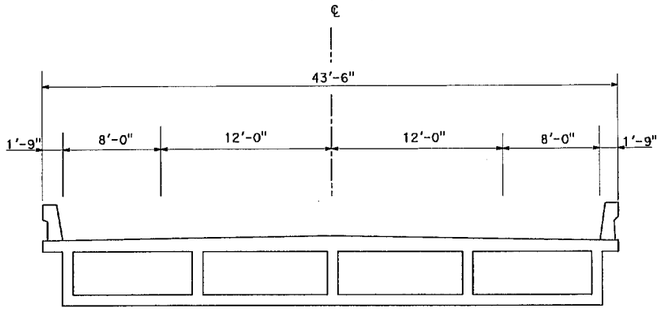
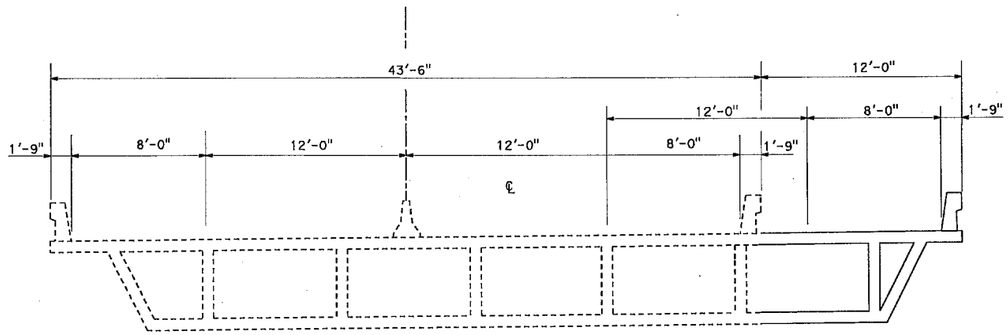


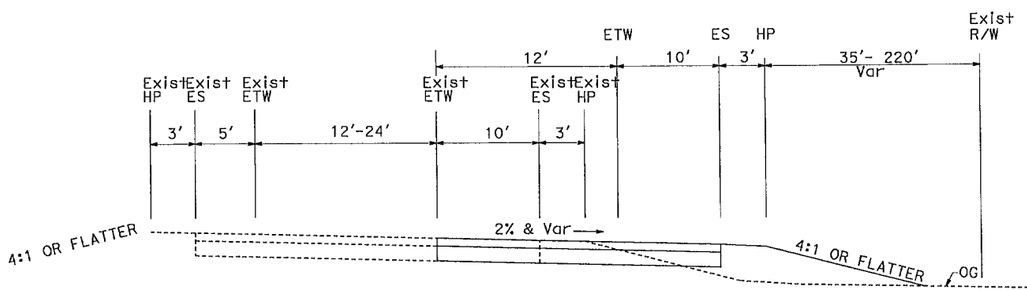
AUSTIN ROAD OC (REPLACE)
BRIDGE No. 29-0129

SECTION A-A

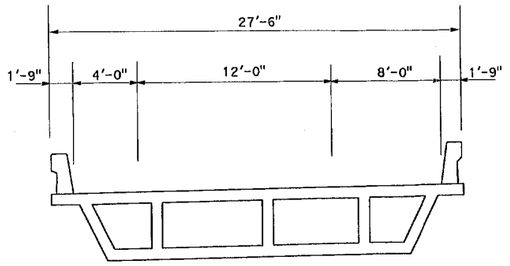


N99-W120 & E120-N99 CONNECTOR (WIDEN)
BRIDGE No. 29-0286E

SECTION D-D

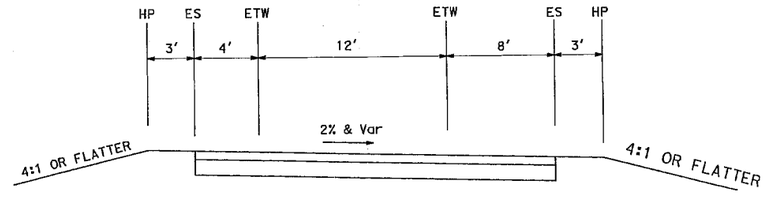


SECTION C-C

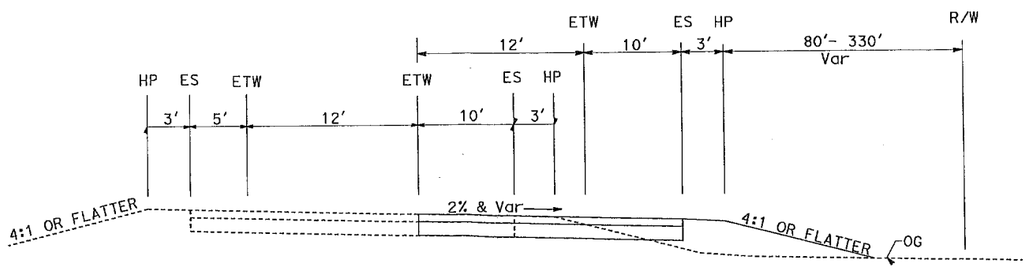


S99 OFF-RAMP/E120-S99 CONNECTOR (NEW)
BRIDGE No. TBD

SECTION E-E



SECTION B-B



SECTION F-F

TYPICAL CROSS SECTIONS

NO SCALE

X-1

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
DESIGN
Caltrans

FUNCTIONAL SUPERVISOR
CALCULATED-DESIGNED BY
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REVISED BY
DATE REVISED

LAST REVISION | DATE PLOTTED => 02-NOV-2015
00-00-00 | TIME PLOTTED => 16:37

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UNIT 1455
PROJECT NUMBER & PHASE 1016000038K

Dist	COUNTY	ROUTE	POST MILES TOTAL PROJECT	SHEET No.	TOTAL SHEETS

REGISTERED CIVIL ENGINEER DATE

PLANS APPROVAL DATE

REGISTERED PROFESSIONAL ENGINEER No. Exp. CIVIL STATE OF CALIFORNIA

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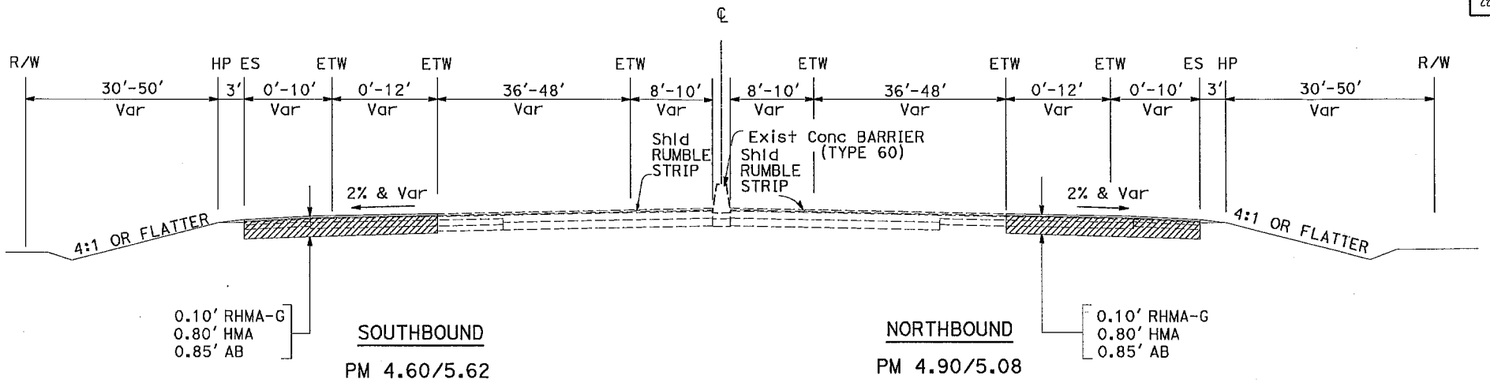
REVISED BY | DATE REVISED

CALCULATED-DESIGNED BY | CHECKED BY

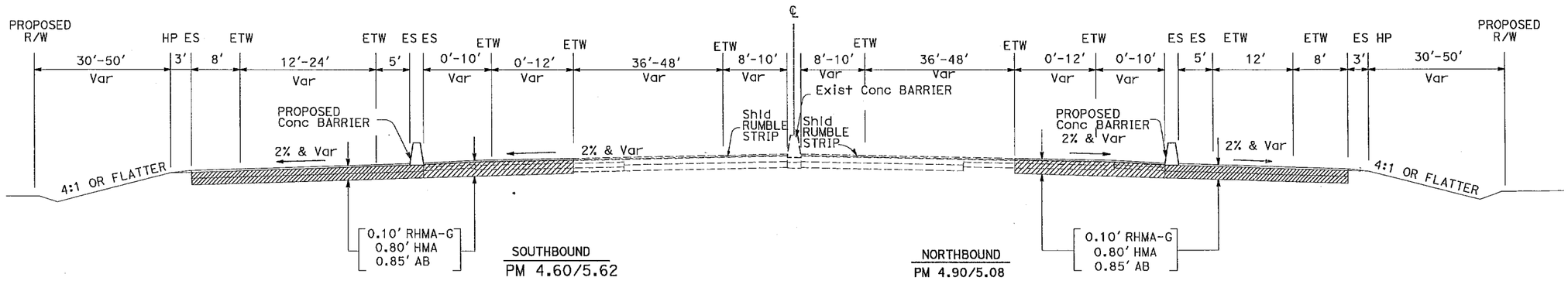
FUNCTIONAL SUPERVISOR

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

Caltrans



ROUTE 99
SECTION G-G



ROUTE 99
SECTION H-H

TYPICAL CROSS SECTIONS

NO SCALE

X-2

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ATTACHMENT D

Cost Estimate for Build Alternatives 1 & 2

Project Study Report – Project Development Support
Capital Outlay Project Estimate

Dist – Co–Rte 10-SJ-99/120

PM 4.60/6.32-6.40/T7.15

Program Code STIP

Project ID 1016000038

Month/Year December 2015

PROJECT DESCRIPTION:

Limits From South Austin Rd to South of SR 99/120 Sep (Br No. 19-0125)

Proposed Improvement (Scope) State Route 99/120 Interchange Modification

Alternative 1

SUMMARY OF PROJECT COST ESTIMATE

TOTAL ROADWAY ITEMS	$ 30,000,000
TOTAL STRUCTURE ITEMS	$ 6,570,000
TOTAL ENVIRONMENTAL MITIGATION ITEMS	$ 242,000
SUBTOTAL CONSTRUCTION COSTS	$ 36,812,000
TOTAL RIGHT-OF-WAY ITEMS	$ 700,000
TOTAL PROJECT CAPITAL OUTLAY COSTS	$ 37,512,000

I. ROADWAY ITEMS

	Average Cost per Lane Mile		Number of Lane Miles		Total Cost
Total Cost	_____	X	_____	=	_____

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Average Cost per Lane Mile. List any assumptions made for estimating the total cost of the Lane Miles. List a contact should further explanations be desired.

Remember that the capital outlay project estimates provided in this document are not for programming purposes. Some examples of ranges that are: "less than $5M", "$5M-$25M", "$25M-$75M," or "$50M-$60". The breadth of range is based on available information and reasonable assumptions. The cost estimate provided in this report should then be escalated to the planned program year to establish the planning base cost for the project.

TOTAL ROADWAY ITEMS $ 30,000.00

II. STRUCTURES ITEMS

	Structure (1)	Structure (2)	Structure (3)
Bridge Name	29-0129	29-TBD	29-0286
Total Cost for Structure	5,000,000	750,000	820,000

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Structures Items cost estimate. List any assumptions made for estimating the Total Structures Items cost estimate. List a contact should further explanations be desired. (Structures is developing an estimating tool for the Structures Items.)

TOTAL STRUCTURE ITEMS $6,570,000

III. ENVIRONMENTAL MITIGATION

	Quantity	Unit		Unit Price	Item Cost
Environmental Mitigation	1	LS	X	242,000 =	242,000

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Environmental Mitigation cost estimate. List any assumptions made for estimating the Total Environmental Mitigation cost estimate. List a contact should further explanations be desired.

TOTAL ENVIRONMENTAL MITIGATION ITEMS $ 242,000

IV. RIGHT-OF-WAY ITEMS

	Escalated Value
A. Acquisition, including excess lands, damages to remainder(s) and Goodwill	$ 700,000
B. Utility Relocation (State share)	$ _____

Anticipated Date of Right-of-Way Certification _____
(Date to which values are escalated)

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Right-of-Way Items cost estimate. List any assumptions made for estimating the Total Right-of-Way Items cost estimate or refer to the Conceptual Cost Estimate – Right-of-Way Component. List a contact should further explanations be desired.

TOTAL RIGHT-OF-WAY ITEMS $700,000

Project Study Report – Project Development Support
Capital Outlay Project Estimate

Dist – Co–Rte 10-SJ-99/120

PM 4.60/6.40,6.40/T7.1

Program Code STIP

Project ID 1016000038

Month/Year December 2015

PROJECT DESCRIPTION:

Limits From South Austin Rd OC to South SR 99/120 Sep (Br No. 19-0125)

Proposed Improvement (Scope) State Route 99/120 Interchange Modification

Alternative 2

SUMMARY OF PROJECT COST ESTIMATE

TOTAL ROADWAY ITEMS	$ 19,000,000
TOTAL STRUCTURE ITEMS	$ 5,820,000
TOTAL ENVIRONMENTAL MITIGATION ITEMS	$ 242,000
SUBTOTAL CONSTRUCTION COSTS	$ 25,062,000
TOTAL RIGHT-OF-WAY ITEMS	$ 200,000
TOTAL PROJECT CAPITAL OUTLAY COSTS	$ 25,262,000

I. ROADWAY ITEMS

	Average Cost per Lane Mile		Number of Lane Miles		Total Cost
Total Cost	_____	X	_____	=	_____

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Average Cost per Lane Mile. List any assumptions made for estimating the total cost of the Lane Miles. List a contact should further explanations be desired.

Remember that the capital outlay project estimates provided in this document are not for programming purposes. Some examples of ranges that are: "less than $5M", "$5M-$25M", "$25M-$75M," or "$50M-$60". The breadth of range is based on available information and reasonable assumptions. The cost estimate provided in this report should then be escalated to the planned program year to establish the planning base cost for the project.

TOTAL ROADWAY ITEMS $ 19,000,000

II. STRUCTURES ITEMS

	Structure (1)	Structure (2)	Structure (3)
Bridge Name	29-0129	_____	29-0286
Total Cost for Structure	5,000,000	_____	820,000

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Structures Items cost estimate. List any assumptions made for estimating the Total Structures Items cost estimate. List a contact should further explanations be desired. (Structures is developing an estimating tool for the Structures Items.)

TOTAL STRUCTURE ITEMS $5,820,000

III. ENVIRONMENTAL MITIGATION

	Quantity	Unit		Unit Price		Item Cost
Environmental Mitigation	1	LS	X	242,000	=	242,000

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Environmental Mitigation cost estimate. List any assumptions made for estimating the Total Environmental Mitigation cost estimate. List a contact should further explanations be desired.

TOTAL ENVIRONMENTAL MITIGATION ITEMS $ 242,000

IV. RIGHT-OF-WAY ITEMS

	Escalated Value
A. Acquisition, including excess lands, damages to remainder(s) and Goodwill	$ 200,000
B. Utility Relocation (State share)	$_____

Anticipated Date of Right-of-Way Certification _____
(Date to which values are escalated)

Explanation:

Include a brief (no more than 1 paragraph) discussion of the items that are included in the Total Right-of-Way Items cost estimate. List any assumptions made for estimating the Total Right-of-Way Items cost estimate or refer to the Conceptual Cost Estimate – Right-of-Way Component. List a contact should further explanations be desired.

TOTAL RIGHT-OF-WAY ITEMS $200,000

ATTACHMENT

Right of Way Data Sheet

STATE OF CALIFORNIA CALIFORNIA STATE TRANSPORTATION AGENCY

Memorandum

To: Jess Padda
D-10 Stockton

Attn Manuel Palatino
D-10 Stockton

Date: 10/5/2015

File: **CD** 10 **EA** 1E740K **Alt** 1
Co SJ **RTE** 99

DESCRIPTION:
Interchange Improvements

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 8/28/2015

The following assumptions and limiting conditions were identified:

Appraisal
Proposed project will impact Religious, Industrial, Commercial and Agricultural (orchard and vineyard) use properties. Improvements affected include commercial parking spaces, fencing and irrigation.

Utility
There are no Utilities within the project limits.

Right of Way Lead Time will require a minimum of 23 months after we receive Certified Appraisal Maps and/or Utility Conflict Plans, obtained necessary environmental clearance and applicable freeway agreements have been approved.

JAMES GONZALEZ
Assistant Region Division Chief, Right of Way
(209)948-7844

EA: 10-1E740K CO/RTE/PM-PM (Rte 1 and Rte 2) : SJ/99/4.6-6.3 & SJ/120/6.42-7.15 Request Date: 8/28/2015
ALT: 1 Revised Date:

Right Of Way Cost Estimate

	Current Year 2015	Contingency Rate	Right of Way Escalation Rate	Escalated Year 2016
Acquisition:	$606,718	25%	5%	**$637,053**
Mitigation:	$0	25%	5%	**$0**
State Share of Utilities:	$0	25%	5%	**$0**
Expert Witness:	$0	25%	5%	**$0**
Relocation Assistance:	$0	25%	5%	**$0**
Demolition and Clearance:	$0	25%	5%	**$0**
Title and Escrow:	$15,911	25%	5%	**$16,706**
Ad Signs:	$0	25%	5%	**$0**
Total Current Value: If RW Cost Est fields are blank, Costs = $0	$622,628			**$653,760**

Estimated Construction Contract Work (CCW): 0 R/W LEAD TIME/Mo. 23

Cost Break Down

Pot Hole

Mitigation

Land	0
Bank	0
Permit Fees	0

RR Involvement

Railroad Facilities or Right of Way Affected?	No
Const/Maint Agreement:	No
Service Contract:	No
Right of Entry:	No
Clauses:	No
Estimated Lead-time	0

Parcel Data

# of Parcel Type X:	0		
# of Parcel Type A: less than $10,000 non-complex	4		
# of Parcel Type B: more than $10,000 non-complex	0		
# of Parcel Type C: complex, special valuation	5		
# of Parcel Type D: most complex and time consuming	0	# of Duals Needed:	
Totals:	9	**Totals:**	0

# of Excess Parcels:

Utilities

U4-1: Owner Expense	0
U4-2: State Expense, Conventional no Fed Aid	0
U4-3: State Expense, Freeway no Fed Aid	0
U4-4: State Expense, both with Fed Aid	0
U5-7: Utility verification, no relocation/potholing	0
U5-8: Utility verification, w/ some relocation/potholing	0
U5-9: Utility verifications, relocation/potholing required	0

Misc R/W Work

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

EA: 10-1E740K ALT: 1

Parcel Area

Total R/W Required:	8.36
Total Excess Area:	0

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

Right of way required: In San Joaquin County construct interchange improvements. Location 4 is incorrectly shown as parcel # 228-005-003. It should be parcel # 228-050-18. Location 1: impacted improvements: need to relocate CL fence, empty propane tanks and metal containers. Property owner confirmed that tanks in proposed right of way are empty. Location 2: impacted improvements; need to relocate CL fence and loss of parking spaces. Design confirmed loss of parking spaces.

General Description of Utility Involvement:

There are no Utilities within the project limits.

Is there a significant effect on assessed valuation: No

Were any previously unidentified sites with hazardous waste or material found: No

Are RAP displacements required: No

# of single family: 0 # of muliti-family: 0 # of business/nonprofit: 0 # of farms: 0

Sufficient replacement housing will be available without last resort housing:

Are material borrow or disposal sites required: No

Are there potential relinquishments or abandonments: No

Are there any existing or potential airspace sites: No

Are environmental mitigation parcels required: No

Data for evaluation provided by:

Estimator:	Stan Jacobs	9/30/2015
Railroad Liaison Agent:	Gina Pippenger	9/9/2015
Utiltiy Relocation Coordinator:	Stuart Reenan	9/10/2015

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.

Date

ENTERED PMCS 10/5/2015

BY: Yolanda T Jackson

JAMES GONZALEZ
Assistant Region Division Chief, Right of Way

CONCEPTUAL COST ESTIMATE – RIGHT OF WAY COMPONENT

To:

Date: 10/26/15

From

10-SJ-99/120- PM 4.6/6.32-PM R6.4/T7.15
Project ID: 1016000038
EA: 10-1E740K
SR 99/120 Interchange Reconstruction

A Field Review was conducted ____Yes __√__No

Scope of the Right of Way

Provide a general description of the right of way including the location attributes.

Right of Way Required __√__Yes ____No

Number of Parcels __√__ 1-10 ____ 11-25 ____26-50 ____51-100 ____>100

__√__Urban ____Rural

Land Area: Fee 9 Acres Easement_____

Displaced Persons/Businesses ____Yes __√__No

Demolition/Clearance ____Yes ____No

Railroad Involvement ____Yes __√__No

Utility Involvements __√__Yes ____No ____Number of Utilities in area

Cost Estimates

Support Costs

____$0-$25,000
____$25,001-$100,000
____$100,001-$250,000
____$250,001-$500,000
____$500,001-$1,000,000
__√__$1,000,001-$5,000,000
____$5,000,001-$10,000,000
____>$10,000,000

Capital Costs

____$0-$100,000
____$100,001-$500,000
____$500,001-$1,000,000
____$1,000,001-$5,000,000
____$5,000,001-$15,000,000
__√__$15,000,001-$50,000,000
____$50,000,001-$100,000,000
____>$100,000,000

Schedule

Right of Way will require 18 months to deliver a Right of Way Certification #1 from Final R/W Maps. This estimate is based on a Right of Way Certification date of January 15, 2021.

ATTACHMENT F

Preliminary Environmental Analysis Report (PEAR)

PRELIMINARY ENVIRONMENTAL ANALYSIS REPORT

1. Project Information

District: 10	County: SJ	Route: 99/120	PM: 4.60/6.30, R6.42/T7.15	EA: 10-1E740 Proj ID: 1016000038
Project Title: SR 99 and SR 120 Interchange Improvements				
Project Manager	Padda, Jeskrn S		Phone # 209-948-7765	
Env. Senior	Scott Smith		Phone # 559-445-6172	
Planner	Juan Torres		Phone # 559-445-6479	
Project Engineer	Michael Hutchison		Phone # 209-948-3976	

2. Project Description

2.1 Purpose and Need

The purpose is to increase the existing capacity and improve operation of the existing SJ-99/120 interchange.

2.2 Description of Work

Caltrans proposes to reconstruct the existing SJ-99/120 interchange in order to increase the existing capacity and improve its operational component. The purpose of the project is to add an additional lane to each of the connectors and replace the Austin Road OC. To eliminate weaving, braiding the SB SJ-99 and EB SJ-120 to SB SJ-99 connector ramps accessing the Austin Rd interchange and extend the NB SJ-99/Austin Road on-ramp, connecting it to SJ-99. The need is to increase the capacity of the EB to SB and NB to WB connector ramps and eliminate the weaving/merge/diverge between SR-99/120 and Austin Road interchanges.

2.3 Alternatives

Alternative 1: Widen the existing NB to WB and EB to SB connectors. Construct braided ramps to eliminate weaving between SB SR-99 traffic traveling to the Austin Road SB off-ramp and EB SR-120 traffic traveling to SB SR-99. In the NB direction, the SR-99/Austin Road on-ramp would be re-routed north of the interchange to avoid weaving with NB SR-99 traffic traveling WB to SR-120. Reconstruct the Austin Road Structure to allow a long merge and diverge for traffic entering and exiting SR-99.

Alternative 2: Widen the NB to WB and EB to SB connectors. Close the SR-99/Austin Road SB off-ramp and NB on-ramp. This would eliminate the weaving between Austin Road and SR-120/99 connector and there would be no need to construct braided ramps. Traffic currently using these ramps would access Austin Road via SR-120/Yosemite and SR-120/Main Street. Reconstruct the Austin Road structure to allow a longer merge and diverge for traffic entering and exiting SR-99. The new Austin Road structure would continue to provide the Austin Road arterial to cross SR-99. Will partner with the City of Manteca to provide access on SR-99 to the south for a new interchange.

3. Anticipated Environmental Approval

3.1 CEQA

IS

3.2 NEPA

Routine EA

3.3 CEQA Lead Agency

Caltrans

3.4 Estimated length of time (months) to obtain environmental approval

24

3.5 Estimated person hours to complete identified tasks

5160

4. Special Environmental Considerations

There are no special considerations that would be considered unusual, exceptional, or that would cause extended environmental processes.

5. Anticipated Environmental Commitments

Raptor Monitoring Estimate: 1 person crew X 24 weeks (assume Feb 15th - Sept 1st, 10-hour day) = 1200 field hours. 1200 field hours x $90/hour rate = $108,000.00 estimated cost during nesting season. Total duration 7 months.

Migratory Bird Exclusion: $21 per square foot (Austin Rd Bridge = 9,000 sq. ft. + 99/120 connector Bridge = 7,400 sq. ft.) = 16,400 sq. ft. 1600 sq. ft. X $21/sq. ft. = $344,400.00 estimated cost to exclude birds.

ADL study is required prior to construction. The ADL study may take from four (4) to six (6) month to perform. The cost to perform the study may be as much as $30,000.

Preliminary Site Investigation (PSI) for the affected railroad during PA&ED. The study may take from four (4) to six (6) months to perform. The cost to perform the study may be as much as $20,000.

Preliminary Site Investigation (PSI) for the affected bridges during PA&ED. The study may take from four (4) to six (6) months to perform. The cost to perform the study may be as much as $20,000.

Lead compliance plan for grinding of painted pavement surfaces. Estimated cost to include lead compliance plan is $3,000.

6. Permits and Approvals

N/A

7. Level of Effort: Risks and Assumptions

ASSUMPTIONS:
-Bridges (Bridge 29-0278L, PM R6.33 and Bridge 29-0278R, R6.36) lie outside the APE and will not be effected by project

-Farm property near SR 99 and Austin Road interchange and the groves near the SR 120/99 interchange will not be found eligible for the NRHP and that there will not be any adverse effect to historic structures.

-Austin Road over crossing is assumed not eligible for the NRHP.

-Railway segments near project limits are outside of the project's APE and will not be effected by project. The segments are assumed ineligible to the NRHP.

-Botanical surveys will need to be performed to determine if sensitive plant species occur within the project area. It is assumed that no sensitive plants occur within the project area.

-MBTA/SWHA surveys will need to be performed to determine if nesting birds will be impacted by the proposed project activities. It is assumed that nesting birds will be present, and that biological monitoring will be necessary to not delay the project timeline.

-Bird exclusion may be necessary if nests are observed on the bridge structures the previous nesting season. It is assumed that no impacts to nesting birds will occur at the Austin Road Bridge due to the scope of work. It is assumed that impacts to nesting birds will occur at the SR99/SR120 Bridge due to bridge widening.

-Delaying the replanting of native species until there is sufficient precipitation will result in a higher survival rate and lower the need to irrigate.

RISKS:
Acquired property is found eligible for the NRHP and project has adverse effect to historic structures.
Risk Probability = 1
Schedule = moderate
Cost = moderate
Scope = Very Low

Austin Road over crossing is determined to be eligible to the NRHP.
Risk Probability = 1
Schedule = Very Low
Cost = Very Low
Scope = Very Low

Railway segments are found to be within the project's APE and are determined eligible to the NRHP.
Risk Probability = 1
Schedule = Moderate
Cost = Moderate
Scope = Very Low

If bird exclusion is not installed, there is a risk that the construction schedule will be delayed if birds are

observed nesting on the structures, primarily SR99/SR120 bridge:
Risk Probability = 2
Schedule = Very High
Cost = Moderate
Scope = Very Low

If swallow exclusion is installed there is a risk that it will not be necessary, thus impacting the cost:
Risk Probability = 5
Schedule = Very Low
Cost = Very High
Scope = Very Low

If raptors or other sensitive bird species are observed nesting, biological monitoring may be required affecting the costs.
Risk Probability = 4
Schedule = Very Low
Cost = High
Scope = Very Low

If Swainson's hawk are present during construction a 600 foot buffer will be required which could result in construction delays.
Risk Probability = 5
Schedule = High
Cost = Moderate
Scope = Very Low

Geomorphological studies suggest that the southern half of the APE has a high risk of containing buried archaeological material (due to high levels of sedimentation)and, depending on the depth of ground disturbance, the possibility of a late discovery cannot entirely be ruled out.
Risk Probability = 3
Schedule = High
Cost = High
Scope = Very Low

The Moffat Blvd overhead bridges are eligible for the NRHP and are affected by the project.
Risk Probability = 1
Schedule = Very Low
Cost = Very Low
Scope = Very Low

8. PEAR Technical Summaries

Land Use

Project proposes improvement to an existing facility. Preliminary mapping of project locations identifies areas that will require additional right of way to be acquired for the proposed improvements. Much of the right of way needs are in the form of slivers adjacent to existing highway right of way. As such, a Relocation Impact Document will be required for both the Draft and Final environmental documents. Being that the acquisition needs are minor in relationship to the overall project, it is anticipated that a Relocation Impact Memorandum will be sufficient to categorize and access the project's right of way needs for the draft and final environmental documents.

Growth

N/A

Farmlands/Timberlands

A Farmland Impact Assessment is required. New right of way needs encroach upon adjacent farmland within the project limits. The assessment will evaluate the quality of farmland acquired for right of way needs and determine whether soils are considered prime or unique farmlands which may warrant special protection/consideration within the environmental document.

Community Impacts

The potential for local access interruptions exists with the proposed modifications to Austin Road ramps and bridge by both alternatives. Proposed impacts to local circulation and temporary detours do not appear to be at a level that would warrant a complete Community Impact Assessment. Impacts to local circulation patterns and adjacent property owners will be documented within the environmental document.

Visual/Aesthetics

A Scenic Resource Evaluation will be required for the project. The goal is to examine the project limits, determine if scenic resources exist within those limits including the project viewshed, and whether they will be impacted by the proposal. Impact assessment should also determine if views of scenic resources will be obstructed. It is not anticipated that the project will require a full Visual Impact Assessment as the project location is not within a designated scenic portion of Route 120 and proposed improvements are contained within a large portion of the existing highway right of way.

Cultural Resources

Project is located in the northern San Joaquin Valley at an elevation of approximately 45 feet AMSL, near Manteca, California. Geoarchaeological data in the Caltrans Cultural Resource Database lists the soil in the southern half of the project being Middle to Late Holocene (4,000 – 2,000 BP) with a high sensitivity for buried cultural resources. The soil in the central portion of the project is listed as Late Pleistocene to Early Holocene (15,000 to 7,000 BP) with a low sensitivity for buried cultural resources. The soil in the northern portion of the project is listed as Early to Middle Holocene (7,000 – 4,000 BP) with a moderate sensitivity for buried cultural resources.

It is assumed that Moffat Blvd. overhead bridges (Bridge 29-0278L, PM R6.33 and Bridge 29-0278R, R6.36) are along SR 120 just outside the APE. It is assumed that the bridges are ineligible for inclusion in the NRHP. It is also assumed that the APE is correct and the bridges lie outside and will not be affected.

Farm property near SR 99 and Austin Road interchange and the groves near the SR 120/99 interchange will not

be found eligible for the NRHP and that there will not be any adverse effect to historic structures. This is a low risk assumption with a moderate potential (if realized) to affect cost and schedule.

Austin Road over crossing (Bridge 29-0129, PM 4.89) is assumed not eligible to the NRHP. Historic Resource Evaluation Report will be required to confirm eligibility determination. It is assumed this would be a brief examination and would be negative. These are low risk assumptions, with low potential (if realized) to affect cost and schedule).

Geomorphological studies suggest that the southern half of the APE has a high risk of containing buried archaeological material (due to high levels of sedimentation) and, depending on the depth of ground disturbance, the possibility of a late discovery cannot entirely be ruled out. This is a moderate risk assumption with a high potential (if realized) to affect cost and schedule.

Two cultural resource were identified by previous survey efforts both of which appear to be outside of the project's APE (Railway segments). Both appear to be ineligible for the National Register of Historic Places (NRHP). These are low risk assumptions with moderate potential (if realized) to affect cost and schedule.

Hydrology and Floodplain

N/A

Water Quality and Storm Water Runoff

The project is located in the San Joaquin Valley Floor Hydrologic Unit 535.10. There are no water bodies within the project limits. The project has the potential of impacting short-term water quality in the area. No long-term water quality impacts are anticipated.

All short-term water quality impacts need to be addressed in the Design and Construction phase of the project. In order to address any potential impacts, Best Management Practices (BMPs) need to be selected and implemented in accordance with the Project Planning and Design Guide. The contractor, as required in Caltrans Standard Specification Section 13-1, must address all potential water quality impacts that may occur during construction. Any potential impact (erosion, accidental spills of hazardous material and disruption of natural drainage patterns) must be addressed, eliminated or minimized to the maximum extent practicable during the design and construction by incorporating the appropriate permanent and temporary BMPs into the project.

Before project initiation, the Caltrans' Stormwater Unit should be consulted to identify the appropriate management practices for all stormwater concerns. If the potential water quality impacts are correctly identified and mitigated by BMPs, it is unlikely that the proposed project will have any adverse effect on surface or groundwater quality.

Geology, Soils, Seismic and Topography

N/A

Paleontology

High sensitivity paleontological resources are unlikely to be excavated along the post mile segment of the project. However, a study to determine the project's potential to impact paleontological resources needs to be conducted and a Paleontological Identification Report (PIR) prepared in the 0 Phase.

Hazardous Waste/Materials

Hazwaste Sites Identified: A database search identified: 1.) a leaking underground storage tank (LUST) site

regulatory status: closed and 2.) a land disposal case immediately adjacent to the project corridor. If the project scope includes the need to acquire additional property from these parcels, then further studies will be required. At this time, parcels do not appear within the project limits. The land disposal case is on the Cortese List. The database search provided the following information:

- The closed LUST site is located at 14800 South Highway 99, Manteca California and was known as The Lathrop Gas and Food Mart.
- The land disposal site, located at 1273 Moffat Boulevard, Manteca, California and is in open clean-up status. The case was opened in 1965 and is regulated by the Regional Board. No other information was available in the Geotracker or Envirostor database.

Heavy Metals and ADL: An ADL study will be required prior to construction. The ADL study may take from four (4) to six (6) months to perform. The cost to perform the study may be as much as $30,000.

Railroad: A Railroad runs parallel to the project corridor to the south of SJ-99 and crosses under the SJ-120 interchange bridge. Soil in the area of the railroad tracks may be impacted from diesel fuel, arsenic or other heavy metals from past uses or due to the possible presence of slag ballast in track areas. If the scope of work includes generation of excess soil for disposal/relinquishment, a Preliminary Site Investigation (PSI) for the affected railroad is required during PA&ED. The railroad study may take from four (4) to six (6) months to perform. The cost to perform the study may be as much as $20,000.

Bridges - Lead Based Paint & ACM: The existing paint systems including grime on the bridge railings may consist of lead based paint containing chromium and zinc. A Google Street View search and review of Caltrans Bridge Inspection Records Information System (BIRIS) for the affected bridge(s) suggest the potential for encountering lead based paint and Asbestos containing Materials (ACM) on the bridges. a PSI for the affected bridge(s) is required during PA&ED. the bridge study may take from four (4) to six (6) months to perform. The cost to perform the study may be as much as $20,000.

Treated Wood Waste: Caltrans may generate treated wood waste (TWW) when construction removes posts along metal-beam guard railing or signs. The Department of Toxic Substances Control (DTSC) requires that TWW either be disposed of as a hazardous waste, or if not tested, the generator may presume that TWW is a hazardous waste and manage the waste by Alternative Management Standards (AMS). Treated wood that is disturbed but not considered a waste, must not be recycled or salvaged off the project site.

If construction includes grinding the entire pavement surface and the project does not require the paint or thermoplastic paint removed before grinding begins, then use SSP 15-1.03B - RESIDUE CONTAINING LEAD FROM PAINT AND THERMOPLASTIC - Requires a lead compliance plan when high lead concentration paints are on the surface to be ground or cold planed but residue will be non-hazardous. The estimated cost to include the lead compliance plan is $3,000.

Naturally Occurring Asbestos (NOA): The California Department of Conservation, Division of Mines and Geology mapping did not identify the project area as one more likely to contain naturally occurring asbestos (NOA). Natural occurrences of asbestos are more likely to be encountered in, and immediately adjacent to, areas of ultramafic rocks.

Air Quality

Project falls under the category of "Interchange Reconfiguration projects". The project is exempt from regional analysis, however local effects of the project with respect to CO, PM 2.5 and PM 10 concentrations must be considered. A hotspot analysis is required prior to making a project-level conformity determination.

Project level conformity analysis, and a detailed air study is required.

Noise and Vibration

This project will increase the existing traffic capacity with the addition of a lane, hence is considered a Type 1 project. Since this is a Type 1 project, additional noise investigation in accordance with Caltrans' Traffic Noise Analysis Protocol is required. Please allow four (4) to six (6) weeks to complete the noise study.

Energy and Climate Change

N/A

Biological Environment

The environment of the proposed project is a heavily traveled transportation route in San Joaquin County surrounded by urban fringe, industrial, commercial, and residential buildings, in addition to agricultural fields composed of low row crops, tree crops, and open dry agricultural areas. There are native plants from a previous replanting which may need to be removed and replanted following the completion of construction activities. There are also invasive plants in this area that should be removed, which include star thistle (Centaurea solstitialis) and Russian thistle (Salsola tragus). Adjacent to the roadway are large trees which could provide habitat for Swainson's hawk and other sensitive bird species. There is also the potential for elderberry bushes which could provide habitat for Valley Elderberry Longhorn beetle (VELB). Due to the historical occurrences for Tricolored blackbird and the proximity of agricultural fields, there is potential nesting habitat for this species.

Due to the highly disturbed nature of the project area it is unlikely that sensitive plant species will be found within the project area. Botanical surveys will need to be conducted in the appropriate bloom period (March to October) to determine if any sensitive plant species are present.

Construction Monitoring/Contract Special Provisions/Long-term Mitigation Anticipated:
Biological SSPs 14-6.02 Species Protection and 14-1.02 Environmentally Sensitive Area (ESA) may be required.
Biological monitoring for nesting Swainson's hawk, Tricolored blackbird, and migratory birds may be needed during construction if the required protective buffers cannot be maintained. Monitoring will be needed for a maximum of 24 weeks, depending on the start date of construction.
Bird exclusion may be necessary if birds are observed nesting on Austin Rd Bridge or SR99/ SR120 Connector Bridge.

Cumulative Impacts

N/A

Context Sensitive Solutions

N/A

Section 4(f)

N/A

9. Summary Statement for PSR or PSR-PDS

The anticipated environmental document for the proposed project is an Initial Study/Environmental Assessment. The California Department of Transportation, as assigned by the Federal Highway Administration, would act as the lead agency under the National Environmental Policy Act (NEPA). The California Department of Transportation would also act as the lead agency under the California Environmental Quality Act (CEQA). Estimated time to obtain environmental approval is 24 months from the start of environmental studies. Environmental studies are anticipated to begin in February of 2016. Project approval and environmental document would be expected by October 2018.

10. Disclaimer

This Preliminary Environmental Analysis (PEAR) provides information to support programming of the proposed project. It is not an environmental determination or document. Preliminary analysis, determinations, and estimates of mitigation costs are based on the project description provided in the Project Study Report (PSR). The estimates and conclusions in the PEAR are approximate and are based on cursory analyses of probable effects. A reevaluation of the PEAR will be needed for changes in project scope or alternatives, or in environmental laws, regulations, or guidelines.

11. Preparers

		Date Scoping Complete
Planner	Juan Torres	10/30/2015
Air Specialist	Rajeev Dwivedi	9/21/2015
Noise Specialist	Rajeev Dwivedi	9/21/2015
Water Specialist	Rajeev Dwivedi	9/21/2015
Biologist	Christene Coffman	11/4/2015
Archaeologist	Jeff Delsescaux	9/21/2015
Haz Waste Specialist	Shawn Ogletree	10/22/2015
Paleo Specialist	Shawn Ogletree	10/30/2015

12. Review and Approval

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

Scott Smith
Environmental Branch Chief

11/6/15
Date

for Padda, Jeskrn S
Project Manager

11/9/15
Date

REQUIRED ATTACHMENTS:

Attachment A: PEAR Environmental Studies Checklist
Attachment B: Estimated Resources by WBS Code
Attachment C: Schedule (Gantt Chart)
Attachment D: PEAR Environmental Commitments Cost Estimate (Standard PSR)

Attachment D: Mitigation Compliance Cost Estimate (MCCE)

This MCCE is for: **PEAR**

Dist - Co - Rte - PM: 10-SJ-VAR-0/0 EA: 10-1E740

Project Name: SR 99 and SR 120 Interchange Improvements Alternative #:

Project Description:

Env. Senior: Scott Smith Phone Number: 559-445-6172

Project Manager: Padda, Jeskrn S Phone Number:

MCCE Prepared By: Juan Torres Date: 10/27/2015 Phone Number: 559-445-6479

	PA&ED 232 Dollars	FY	Acres or Credits	ROW 050 Dollars	FY	Construction 042 Dollars	FY
Biological							
Monitoring	$10,800				24/25		
MBTA Exclusionary Fencing				$155,400	24/25		
Hazardous Waste							
ADL study				$30,000	16/17		
PSI - Railroad				$20,000	16/17		
PSI - Bridges				$20,000	16/17		
Lead Compliance Plan						$3,000	24/25
Permit Fees							
CDFW Document Filing Fee				$2,210	17/18		
TOTAL	**$10,800**			**$227,610**		**$3,000**	

Comments

Approved By: _____ Date: 11/6/15
Environmental Branch Chief

If mitigation totals more than $1,000,000: _____ Date: _____
Environmental Office Chief

If Right of Way Capital (050) is needed: _____ Date: _____
Right-of-Way Office Chief, Mitigation

ATTACHMENT G

Risk Register

LEVEL 2 - RISK REGISTER		Project Name:	99/120 Connector		DIST- EA	10-1E740	Project Manager	Jes Padda						
Risk Identification					Risk Assessment						Risk Response			
Status	ID #	Type	Category	Title	Risk Statement	Current status/assumptions	Probability	Cost Impact	Cost Score	Time Impact	Time Score	Rationale	Strategy	Response Actions	Risk Owner	Updated
Active	1	Threat	ROW	Unwilling seller	Private landowner may be unwilling seller.		3-Moderate	2 -Low	6	4 -Moderate	12		Accept	Ensure adequate time in the schedule for the R/W process including condemnation. Work with property owners to minimize impacts.	Anthony Dorn	10/2/2015
Active	2	Threat	ROW	Utility Impacts	Unexpected utilities discovered and/or utility relocations take longer than anticpated.		1-Very Low	6 -Low	6	4 -Moderate	4		Mitigate	Pot-holing and other research will mitigate. Projects in the vicinity have recently been completed. Increased contingency will mitigate for R/W delay to the Contractor.	Jes Padda/ Michael Huthcison	10/2/2015
Active	3	Threat	PM	Stakeholders do not support the project	The best engineering alternative may not be acceptable stakeholders.		4-High	8 -High	32	8 -High	32		Accept	Ensure that there is a range of alternatives that will mitigate the concerns of the stakeholders. These alternatives my have cost and time impacts to the project.	Jes Padda	10/2/2015
Active	4	Threat	PM	Funding	Project needs to be programmed. STIP program is under funded.		3-Moderate	16 - Very High	48	2 -Low	6		Accept	Prepare PID and be prepared for funding opportunities. Partner with local agencies. Request SHOPP funding for traffic operational elements.	Jes Padda	10/2/2015
Active	5	Threat	Construction	Buried Objects	Unanticipated buried mad made objects uncovered during construciton require removal and disposal.		3-Moderate	4 -Moderate	12	4 -Moderate	12		Accept	Include a supplmental work item to cover this risk.	Michael Hutchison	10/2/2015
Active	6	Threat	Construction	Hazardous Materials	Hazardous materials encountered during construction will require an on-site storage area and potential additional costs to dispose		2-Low	2 -Low	4	1 -Very Low	2		Accept	Ensure storage space will be available	Jes Padda/ Michael Huthcison	10/2/2015
Active	7	Threat	Construction	Unexpected Geotechnical or Groundwater Issues	Unexpected Geotechnical or Groundwater Issues		2-Low	4 -Low	8	3 -Very Low	6		Mitigate	Increased contingency. Geotechnical report to anticpate potential site issues.	Jes Padda/ Michael Huthcison	10/2/2015
Active	8	Threat	Design	Supplemental ED	A design change that is outside of the parameters contemplated in the Environmental Document triggers a supplemental ED which causes a delay due to the public comment period.		3-Moderate	4 -Moderate	12	8 -High	24		Avoid	Monitor design changes against ED to avoid reassessment of ED unless the opportunity outweighs the threat	Michael Hutchison	10/2/2015
Active	9	Threat	Design	Increase in material costs	Market changes could impact the cost to construct the project.		2-Low	4 -Moderate	8	1 -Very Low	2		Mitigate	Anticipate escalation rates with request for programming. Update project costs yearly. Request additional funding as needed or downscope.	Michael Hutchison	10/2/2015
Active	10	Threat	Design	Stormwater Changes	Changes to stormwater regulations		1-Very Low	2 -Low	2	1 -Very Low	1		Mitigate	Incorporate storm water changes into project or request exception.	Michael Hutchison	10/2/2015
Active	11	Threat	Design	Revised Design Standards	Design standard changes result in changes to the project.		2-Low	5 -Low	10	4 -Very Low	8		Accept	Design changes will improve the project but may result cost impacts. Design exceptions can be processed to avoid these new standards.	Michael Hutchison	10/2/2015
Active	12	Threat	Design	Scope Creep	Added scope results in cost and time impacts.		3-Moderate	4 -Moderate	12	2 -Low	6		Avoid	Focus on prupose and need and stay within programmed amount.	Jes Padda	10/2/2015
Active	13	Threat	Design	Design Exception	Needed for the Austin Road profile to avoid impacting the RR crossing.		3-Moderate	4 -Moderate	12	8 -High	24		Mitigate	C&M Agreement to reconstruct the RR crossing needed if exception is not approved..	PM/DM	11/17/2015
Active	14	Threat	Environmental	New R/W Eligible for NRHP	If acquired property is found eligible for NRHP and project has adverse effect to historic structures.		1-Very Low	4 -Moderate	4	4 -Moderate	4		Mitigate	Mitigate impact.	Scott Smith	11/6/2015
Active	15	Threat	Environmental	Austin Road OC eligible for NRHP	Austin Road Overcrossing is determined to be eligible to the NRHP.		1-Very Low	1 -Very Low	1	1 -Very Low	1		Accept	Accept impact	Scott Smith	11/6/2015
Active	16	Threat	Environmental	Railway segments eligible for NRHP	Railway segments are added to APE and are determined to be eligible to the NRHP.		1-Very Low	4 -Moderate	4	4 -Moderate	4		Mitigate	Mitigate impact.	Scott Smith	11/6/2015
Active	17	Threat	Environmental	Moffat Blvd Overhead eligible for NRHP	Moffet Blvd. Overhead is determined to be eligible to the NRHP.		1-Very Low	1 -Very Low	1	1 -Very Low	1		Mitigate	Mitigate impact.	Scott Smith	11/6/2015
Active	18	Threat	Environmental	Bird Nesting (no exclusion)	If bird exclusion is not installed, there is a risk to the construction schedule if birds are observed nesting on the structures.		2-Low	4 -Moderate	8	16 - Very High	32		Avoid	Include bird exclusion	Scott Smith	11/6/2015
Active	19	Opportunity	Environmental	Swallow Exclusion	If swallow exclusion is installed there is a risk that it will not be necessary.		5-Very High	1 -Very Low	5	1 -Very Low	5		Accept	Accept cost impact into estimate.	Scott Smith	11/6/2015
Active	20	Threat	Environmental	Raptors or other sensitive birds	If raptors or other sensitive brids are observed nesting, biological monitoring may be required.		4-High	8 -High	32	1 -Very Low	4		Accept	Accept cost impact into estimate.	Scott Smith	11/6/2015
Active	21	Threat	Environmental	Swainson hawk	If Swainson's hawk are present during construction, a 600' buffer will be required.		5-Very High	4 -Moderate	20	8 -High	40		Mitigate	Mitigate impact	Scott Smith	11/6/2015
Active	22	Threat	Environmental	Late discovery (Archaeological material)	Geomorphological studies suggest that the souther half of the APE has a high risk of containing archaelogical material.		3-Moderate	8 -High	24	1 -Very Low	3		Mitigate	Studies in PA&ED to confirm.	Scott Smith	11/6/2015

ATTACHMENT H

Storm Water Data Report (SWDR) Cover Sheet

Dist-County-Route: 10–SJ-99,120
Post Mile Limits: 4.6/6.30, 6.42/T7.15
Project Type: Operational Improvement
Project ID (EA): 1016000038 (10-1E740K)
Program Identification: 400.100
Phase: ☒ PID
☐ PA/ED
☐ PS&E

Regional Water Quality Control Board(s): Region 5, Central Valley, Sacramento Office

Is the Project required to consider Treatment BMPs? Yes ☐ No ☒
If yes, can Treatment BMPs be incorporated into the project? Yes ☐ No ☐
If No, a Teachnical Data Report must be submitted to the RWQCB at least 30 days prior to the projects RTL date. List RTL Date:_____

Total Disturbed Soil Area: over 1.0 Acres Risk Level: RL 1 or WPCP
Estimate Construction Start Date: 5/9/2024 Construction Completion Date: 7/19/2028
Notification of Construction (NOC) Date to be submitted: SMARTS Input Attached at PS&E

Erosivity Waiver	Yes ☐		No ☒
Notification of ADL reuse (if Yes, provide date)	Yes ☐	Date:_____	No ☒
Separate Dewatering Permit (if yes, permit number)	Yes ☐	Permit #_____	No ☒

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

Manuel Palatino, Registered Project Engineer — 10/22/15 Date

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

Jes Padda, Project Manager — 10/22/15 *Date*

Mike Barrington, Maintenance Stormwater Coordinator — 10/29/15 *Date*

for *Brad Cole, Landscape Architecture* — 10/27/15 *Date*

for *James Espinosa, Environmental NPDES SW Branch Manager* — Ethan A. Heilman for 11/2/2015 *Date*

ATTACHMENT I

Cooperative Agreement

COOPERATIVE AGREEMENT
State Independent Quality Assurance (IQA)

This Agreement, effective on May 13, 2015, is between the State of California, acting through its Department of Transportation, referred to as CALTRANS, and:

San Joaquin Council of Governments, a California joint powers authority, referred to hereinafter as SJCOG.

RECITALS

1. PARTNERS are authorized to enter into a cooperative agreement for improvements to the state highway system (SHS) per the California Streets and Highways Code sections 114 and 130.

2. For the purpose of this Agreement, improvements to the NB 99 to WB 120 connector will be referred to hereinafter as PROJECT.

3. All responsibilities assigned in this Agreement will be referred to hereinafter as OBLIGATIONS.

4. This Agreement includes the following PROJECT COMPONENTS:

   - Project Initiation Document (PID)
   - Project Approval and Environmental Document (PA&ED)

5. This Agreement is separate from and does not modify or replace any other cooperative agreement or memorandum of understanding between PARTNERS regarding the PROJECT.

6. No PROJECT deliverables have been completed prior to this Agreement.

7. In this Agreement capitalized words represent defined terms and acronyms.

8. PARTNERS hereby set forth the terms, covenants, and conditions of this Agreement, under which they will accomplish OBLIGATIONS.

RESPONSIBILITIES

9. SJCOG is SPONSOR for 100% of PROJECT.

10. SJCOG is the only FUNDING PARTNER for this Agreement. SJCOG will fund work activities using local fund sources. PARTNERS agree to amend this Agreement prior to the expenditure of state or federal funds.

11. SJCOG is the IMPLEMENTING AGENCY for:

    - Project Initiation Document (PID)
    - Project Approval and Environmental Document (PA&ED)

12. SJCOG is responsible for all WORK except any other responsibilities specifically assigned to CALTRANS in this Agreement.

13. CALTRANS is the CEQA lead agency for PROJECT.

14. CALTRANS is the NEPA lead agency for PROJECT.

15. SJCOG will prepare the environmental documentation for the PROJECT.

16. CALTRANS will provide Independent Quality Assurance (IQA) for the portions of WORK within existing and proposed SHS right-of-way. Per NEPA assignment and CEQA statutes, CALTRANS will perform its QC/QAP process review for environmental documentation.

SCOPE

General

17. SJCOG will perform all OBLIGATIONS in accordance with federal and California laws, regulations, and standards; FHWA STANDARDS; and CALTRANS STANDARDS.

18. CALTRANS retains the right to reject noncompliant WORK, protect public safety, preserve property rights, and ensure that all WORK is in the best interest of the SHS.

19. SJCOG will ensure that personnel participating in OBLIGATIONS are appropriately qualified or licensed to perform the tasks assigned to them.

20. PARTNERS will invite each other to participate in the selection of any consultants who participate in OBLIGATIONS.

21. CALTRANS will issue, upon proper application, the encroachment permits required for WORK within SHS right-of-way. Contractors and/or agents, and utility owners will not perform activities within the SHS right-of-way without an encroachment permit issued in their name.

22. If SJCOG discovers unanticipated cultural, archaeological, paleontological, or other protected resources during WORK, all WORK in that area will stop and SJCOG will notify CALTRANS within 24 hours of discovery. WORK may only resume after a qualified professional has evaluated the nature and significance of the discovery and a plan is approved for its removal or protection.

23. PARTNERS will hold all administrative drafts and administrative final reports, studies, materials, and documentation relied upon, produced, created, or utilized for PROJECT in confidence to the extent permitted by law and where applicable, the provisions of California Government Code section 6254.5(e) shall protect the confidentiality of such documents in the event that said documents are shared between PARTNERS.

    PARTNERS will not distribute, release, or share said documents with anyone other than employees, agents, and consultants who require access to complete PROJECT without the written consent of the PARTNER authorized to release them, unless required or authorized to do so by law.

24. If a PARTNER receives a public records request pertaining to OBLIGATIONS, that PARTNER will notify PARTNERS within five (5) working days of receipt and make PARTNERS aware of any disclosed public documents. PARTNERS will consult with each other prior to the release of any public documents related to the PROJECT.

25. If HM-1 or HM-2 is found during any PROJECT COMPONENT, SJCOG will immediately notify CALTRANS.

26. CALTRANS, independent of PROJECT, is responsible for any HM-1 found within the existing SHS right-of-way. CALTRANS will undertake, or cause to be undertaken, HM MANAGEMENT ACTIVITIES related to HM-1 with minimum impact to PROJECT schedule.

27. If HM-1 is found within PROJECT limits and outside the existing SHS right-of-way, responsibility for such HM-1 rests with the owner(s) of the parcel(s) on which the HM-1 is found. SJCOG, in concert with the local agency having land use jurisdiction over the parcel(s), will ensure that HM MANAGEMENT ACTIVITIES related to HM-1 are undertaken with minimum impact to PROJECT schedule.

28. If HM-2 is found within PROJECT limits, the public agency responsible for the advertisement, award, and administration (AAA) of the PROJECT construction contract will be responsible for HM MANAGEMENT ACTIVITIES related to HM-2.

29. CALTRANS' acquisition or acceptance of title to any property on which any HM-1 or HM-2 is found will proceed in accordance with CALTRANS' policy on such acquisition.

30. PARTNERS will comply with all of the commitments and conditions set forth in the environmental documentation, environmental permits, approvals, and applicable agreements as those commitments and conditions apply to each PARTNER's responsibilities in this Agreement.

31. Upon OBLIGATION COMPLETION, ownership or title to all materials and equipment constructed or installed for the operations and/or maintenance of the SHS within SHS right-of-way as part of WORK become the property of CALTRANS.

    CALTRANS will not accept ownership or title to any materials or equipment constructed or installed outside SHS right-of-way.

32. SJCOG will accept, reject, compromise, settle, or litigate claims of any non-Agreement parties hired to do WORK in that component.

33. If WORK stops for any reason, SJCOG will place PROJECT right-of-way in a safe and operable condition acceptable to CALTRANS.

34. If WORK stops for any reason, SJCOG will continue to implement all of its applicable commitments and conditions included in the PROJECT environmental documentation, permits, agreements, or approvals that are in effect at the time that WORK stops, as they apply to SJCOG's responsibilities in this Agreement, in order to keep PROJECT in environmental compliance until WORK resumes.

35. SJCOG will furnish CALTRANS with all relevant deliverables and history files related to PROJECT facilities on the SHS within one hundred eighty (180) days following the completion of each PROJECT COMPONENT.

Environmental Permits, Approvals and Agreements

36. PARTNERS have determined that there are no environmental permits, approvals or agreements necessary for the PROJECT WORK covered under this Agreement. If PARTNERS later determine that an environmental permit, approval or agreement is necessary PARTNERS will amend this Agreement to reflect the appropriate details.

Project Approval and Environmental Document (PA&ED)

California Environmental Quality Act (CEQA)

37. CALTRANS will determine the type of environmental documentation required and will cause that documentation to be prepared.

38. CEQA environmental documentation will follow the CALTRANS STANDARDS that apply to the CEQA process including, but not limited to, the guidance provided in the Standard Environmental Reference available at www.dot.ca.gov/ser.

39. SJCOG will prepare the appropriate CEQA environmental documentation to meet CEQA requirements.

40. Any portion of the CEQA environmental documentation prepared by SJCOG, including any studies and reports, will be submitted to CALTRANS for review, comment, and approval at appropriate stages of development prior to public availability.

41. SJCOG will prepare, publicize, and circulate all CEQA-related public notices and will submit said notices to CALTRANS for review, comment, and approval prior to publication and circulation.

42. SJCOG will plan, schedule, prepare materials for, and host all CEQA-related public meetings and will submit all materials to CALTRANS for review, comment, and approval at least 10 working days prior to the public meeting date.

43. The CEQA lead agency will attend all CEQA-related public meetings.

National Environmental Policy Act (NEPA)

44. Pursuant to Chapter 3 of title 23, United States Code (23 U.S.C. 326) and 23 U.S.C. 327, CALTRANS is the NEPA lead agency for the PROJECT and is responsible for NEPA compliance.

45. Any NEPA environmental documentation prepared by SJCOG will follow FHWA and CALTRANS STANDARDS that apply to the NEPA process including, but not limited to, the guidance provided in the FHWA Environmental Guidebook (available at www.fhwa.dot.gov/hep/index.htm) and the Standard Environmental Reference (SER available at http://www.dot.ca.gov/ser/).

46. SJCOG will prepare the appropriate NEPA environmental documentation to meet NEPA requirements.

47. NEPA environmental documentation prepared by SJCOG (including, but not limited to, studies, reports, public notices, and public meeting materials, determinations, administrative drafts, and final environmental documents) will be submitted to CALTRANS for review, comment, and approval prior to public availability.

48. SJCOG will prepare, publicize, and circulate all NEPA-related public notices, except Federal Register notices. SJCOG will submit all notices to CALTRANS for CALTRANS' review, comment, and approval prior to publication and circulation.

    CALTRANS will work with the appropriate federal agency to publish notices in the Federal Register.

49. The NEPA lead agency will attend all NEPA-related public meetings.

50. If SJCOG holds a public meeting about PROJECT, SJCOG must clearly state its role in PROJECT and identify the CEQA and NEPA lead agencies on all meeting publications. All meeting publications must also inform the attendees that public comments collected at the meetings are not part of the CEQA or NEPA public review process.

    SJCOG will submit all meeting advertisements, agendas, exhibits, handouts, and materials to the appropriate lead agency for review, comment, and approval at least 10 working days prior to publication or use. If SJCOG makes any changes to the materials, it will allow the appropriate lead agency to review, comment on, and approve those changes at least three (3) working days prior to the public meeting date.

    CALTRANS maintains final editorial control with respect to text or graphics that could lead to public confusion over CEQA-related roles and responsibilities. CALTRANS has final approval authority with respect to text or graphics that could lead to public confusion over NEPA-related roles and responsibilities.

51. Any PARTNER preparing environmental documentation, including the studies and reports, will ensure that qualified personnel remain available to help resolve environmental issues and perform any necessary work to ensure that PROJECT remains in environmental compliance.

COST

Cost: General

52. All costs associated with completing the PROJECT, except where otherwise noted in this agreement, are the responsibility of SJCOG including, but not limited to:

- Public meetings.
- Environmental commitments and compliance.
- Obtaining, implementing and renewing resource agency permits.
- Preparing, publicizing, and circulating all CEQA and NEPA related public notices.
- Planning, scheduling, and hosting all CEQA and NEPA related public hearings.

53. Legal challenges, awards, judgments, settlements, fines, interest, or penalties levied against a PARTNER will be paid, independent of OBLIGATIONS cost, by the PARTNER whose actions or lack of action caused the levy.

54. CALTRANS, independent of PROJECT, will pay, or cause to be paid, all costs for HM MANAGEMENT ACTIVITIES related to HM-1 found within the existing SHS right-of-way.

55. Independent of PROJECT, all costs for HM MANAGEMENT ACTIVITIES related to HM-1 found within PROJECT limits and outside the existing SHS right-of-way will be the responsibility of the owner(s) of the parcel(s) where the HM-1 is located.

56. Independent of OBLIGATIONS cost, CALTRANS will fund the cost of its own IQA for WORK done within existing or proposed future SHS right-of-way.

Independent of OBLIGATIONS cost, CALTRANS will fund the cost of its QC/QAP process review for environmental documentation.

57. CALTRANS will provide encroachment permits to PARTNERS, their contractors, consultants and agents, at no cost.

SCHEDULE

58. SJCOG will manage the schedule for OBLIGATIONS through the work plan included in the PROJECT MANAGEMENT PLAN.

GENERAL CONDITIONS

59. PARTNERS understand that this Agreement is in accordance with and governed by the Constitution and laws of the State of California. This Agreement will be enforceable in the State of California. Any PARTNER initiating legal action arising from this Agreement will file and maintain that legal action in the Superior Court of the county in which the CALTRANS district office that is signatory to this Agreement resides, or in the Superior Court of the county in which PROJECT is physically located.

60. All OBLIGATIONS of CALTRANS under the terms of this Agreement are subject to the appropriation of resources by the Legislature, the State Budget Act authority, and the allocation of funds by the California Transportation Commission.

61. When CALTRANS performs IQA activities it does so for its own benefit. No one can assign liability to CALTRANS due to its IQA activities.

62. Neither SJCOG nor any officer or employee thereof is responsible for any injury, damage or liability occurring by reason of anything done or omitted to be done by CALTRANS, its contractors, sub-contractors, and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon CALTRANS under this Agreement. It is understood and agreed that CALTRANS, to the extent permitted by law, will defend, indemnify, and save harmless SJCOG and all of its officers and employees from all claims, suits, or actions of every name, kind, and description brought forth under, but not limited to, tortious, contractual, inverse condemnation, or other theories and assertions of liability occurring by reason of anything done or omitted to be done by CALTRANS, its contractors, sub-contractors, and/or its agents under this Agreement.

63. Neither CALTRANS nor any officer or employee thereof is responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by SJCOG, its contractors, sub-contractors, and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon SJCOG under this Agreement. It is understood and agreed that SJCOG, to the extent permitted by law, will defend, indemnify, and save harmless CALTRANS and all of its officers and employees from all claims, suits, or actions of every name, kind, and description brought forth under, but not limited to, tortious, contractual, inverse condemnation, or other theories and assertions of liability occurring by reason of anything done or omitted to be done by SJCOG, its contractors, sub-contractors, and/or its agents under this Agreement.

64. PARTNERS do not intend this Agreement to create a third party beneficiary or define duties, obligations, or rights in parties not signatory to this Agreement. PARTNERS do not intend this Agreement to affect their legal liability by imposing any standard of care for fulfilling OBLIGATIONS different from the standards imposed by law.

65. PARTNERS will not assign or attempt to assign OBLIGATIONS to parties not signatory to this Agreement.

66. PARTNERS will not interpret any ambiguity contained in this Agreement against each other. PARTNERS waive the provisions of California Civil Code section 1654.

67. A waiver of a PARTNER's performance under this Agreement will not constitute a continuous waiver of any other provision. An amendment made to any article or section of this Agreement does not constitute an amendment to or negate all other articles or sections of this Agreement.

68. A delay or omission to exercise a right or power due to a default does not negate the use of that right or power in the future when deemed necessary.

69. If any PARTNER defaults in its OBLIGATIONS, a non-defaulting PARTNER will request in writing that the default be remedied within 30 calendar days. If the defaulting PARTNER fails to do so, the non-defaulting PARTNER may initiate dispute resolution.

70. PARTNERS will first attempt to resolve Agreement disputes at the PROJECT team level. If they cannot resolve the dispute themselves, the CALTRANS district director and the executive officer of SJCOG will attempt to negotiate a resolution. If PARTNERS do not reach a resolution, PARTNERS' legal counsel will initiate mediation. PARTNERS agree to participate in mediation in good faith and will share equally in its costs.

71. Neither the dispute nor the mediation process relieves PARTNERS from full and timely performance of OBLIGATIONS in accordance with the terms of this Agreement. However, if any PARTNER stops fulfilling OBLIGATIONS, any other PARTNER may seek equitable relief to ensure that OBLIGATIONS continue.

    Except for equitable relief, no PARTNER may file a civil complaint until after mediation, or 45 calendar days after filing the written mediation request, whichever occurs first.

    PARTNERS will file any civil complaints in the Superior Court of the county in which the CALTRANS district office signatory to this Agreement resides or in the Superior Court of the county in which PROJECT is physically located. The prevailing PARTNER will be entitled to an award of all costs, fees, and expenses, including reasonable attorney fees as a result of litigating a dispute under this Agreement or to enforce the provisions of this article including equitable relief.

72. PARTNERS maintain the ability to pursue alternative or additional dispute remedies if a previously selected remedy does not achieve resolution.

73. If any provisions in this Agreement are found by a court of competent jurisdiction to be, or are in fact, illegal, inoperative, or unenforceable, those provisions do not render any or all other Agreement provisions invalid, inoperative, or unenforceable, and those provisions will be automatically severed from this Agreement.

74. PARTNERS intend this Agreement to be their final expression and supersedes any oral understanding or writings pertaining to OBLIGATIONS.

75. If during performance of WORK additional activities or environmental documentation is necessary to keep PROJECT in environmental compliance, PARTNERS will amend this Agreement to include completion of those additional tasks.

76. If the work performed on this Project is done under contract and falls within the Labor Code section 1720(a)(1) definition of "public works" in that it is construction, alteration, demolition, installation, or repair; or maintenance work under Labor Code section 1771 SJCOG must conform to the provisions of Labor Code sections 1720 through 1815, and all applicable provisions of California Code of Regulations found in Title 8, Chapter 8, Subchapter 3, Articles 1-7. SJCOG agrees to include prevailing wage requirements in its contracts for public works. Work performed by SJCOG's own forces is exempt from the Labor Code's Prevailing Wage requirements.

    SJCOG shall require its contractors to include prevailing wage requirements in all subcontracts funded by this Agreement when the work to be performed by the subcontractor is "public works" as defined in Labor Code Section 1720(a)(1) and Labor Code Section 1771. Subcontracts shall include all prevailing wage requirements set forth in CITY/COUNTY's contracts.

77. Except as otherwise provided in the Agreement, PARTNERS will execute a formal written amendment if there are any changes to OBLIGATIONS.

78. PARTNERS agree to sign a COOPERATIVE AGREEMENT CLOSURE STATEMENT to terminate this Agreement. However, all indemnification, document retention, audit, claims, environmental commitment, legal challenge, maintenance and ownership articles will remain in effect until terminated or modified in writing by mutual agreement.

DEFINITIONS

CALTRANS STANDARDS – CALTRANS policies and procedures, including, but not limited to, the guidance provided in the *Guide to Capital Project Delivery Workplan Standards* (previously known as WBS Guide) available at www.dot.ca.gov/hq/projmgmt/guidance.htm.

CEQA (California Environmental Quality Act) – The act (California Public Resources Code, sections 21000 et seq.) that requires state and local agencies to identify the significant environmental impacts of their actions and to avoid or mitigate those significant impacts, if feasible.

CONSTRUCTION CAPITAL – See PROJECT COMPONENT.

COOPERATIVE AGREEMENT CLOSURE STATEMENT – A document signed by PARTNERS that verifies the completion of all OBLIGATIONS included in this Agreement and in all amendments to this Agreement.

FHWA – Federal Highway Administration

FHWA STANDARDS – FHWA regulations, policies and procedures, including, but not limited to, the guidance provided at www.fhwa.dot.gov/topics.htm.

FUNDING PARTNER – A PARTNER that commits funds to fulfill OBLIGATIONS. Each FUNDING PARTNER accepts responsibility to provide the funds it commits in this Agreement.

HM-1 – Hazardous material (including, but not limited to, hazardous waste) that may require removal and disposal pursuant to federal or state law whether it is disturbed by PROJECT or not.

HM-2 – Hazardous material (including, but not limited to, hazardous waste) that may require removal and disposal pursuant to federal or state law only if disturbed by PROJECT.

HM MANAGEMENT ACTIVITIES – Management activities related to either HM-1 or HM-2 including, without limitation, any necessary manifest requirements and disposal facility designations.

IMPLEMENTING AGENCY – The PARTNER is responsible for managing the scope, cost, and schedule of a PROJECT COMPONENT to ensure the completion of that component.

IQA (Independent Quality Assurance) – CALTRANS' efforts to ensure that another PARTNER's quality assurance activities are in accordance with the applicable standards and the PROJECT's Quality Management Plan (QMP). When CALTRANS performs IQA it does not develop, produce, validate, verify, re-check, or quality control another PARTNER's work products.

NEPA (National Environmental Policy Act of 1969) – This federal act establishes a national policy for the environment and a process to disclose the adverse impacts of projects with a federal nexus.

OBLIGATION COMPLETION – PARTNERS have fulfilled all OBLIGATIONS included in this Agreement, and all amendments to this Agreement, and have signed a COOPERATIVE AGREEMENT CLOSURE STATEMENT.

OBLIGATIONS – All responsibilities to complete the PROJECT COMPONENTS in this Agreement.

PA&ED (Project Approval and Environmental Document) – See PROJECT COMPONENT.

PARTNER – Any individual signatory party to this Agreement.

PARTNERS – The term that collectively references all of the signatory agencies to this Agreement. This term only describes the relationship between these agencies to work together to achieve a mutually beneficial goal. It is not used in the traditional legal sense in which one PARTNER's individual actions legally bind the other PARTNER.

PROJECT COMPONENT – A distinct portion of the planning and project development process of a capital project as outlined in California Government Code, section 14529(b).

- **PID (Project Initiation Document)** – The activities required to deliver the project initiation document for PROJECT.
- **PA&ED (Project Approval and Environmental Document)** – The activities required to deliver the project approval and environmental documentation for PROJECT.
- **PS&E (Plans, Specifications, and Estimate)** – The activities required to deliver the plans, specifications, and estimate for PROJECT.
- **R/W (Right-of-way) SUPPORT** –The activities required to obtain all property interests for PROJECT.
- **R/W (Right-of-way) CAPITAL** – The funds for acquisition of property rights for PROJECT.
- **CONSTRUCTION SUPPORT** – The activities required for the administration, acceptance, and final documentation of the construction contract for PROJECT.
- **CONSTRUCTION CAPITAL** – The funds for the construction contract.

PROJECT MANAGEMENT PLAN – A group of documents used to guide a project's execution and control throughout that project's lifecycle.

QMP (Quality Management Plan) – An integral part of the PROJECT MANAGEMENT PLAN that describes IMPLEMENTING AGENCY's quality policy and how it will be used.

QC/QAP (QUALITY CONTROL/QUALITY ASSURANCE PROGRAM) – Per NEPA assignment CALTRANS will review all environmental documents as described in the Jay Norvell Memos dated October 1, 2012 (available at http://www.dot.ca.gov/ser/memos.htm). This also includes the independent judgment, analysis, and determination under CEQA that the environmental documentation meets CEQA requirements.

SHS (State Highway System) – All highways, right-of-way, and related facilities acquired, laid out, constructed, improved, or maintained as a state highway pursuant to constitutional or legislative authorization.

SPONSOR – Any PARTNER that accepts the responsibility to establish scope of PROJECT and the obligation to secure financial resources to fund PROJECT. SPONSOR is responsible for adjusting the PROJECT scope to match committed funds or securing additional funds to fully fund the PROJECT scope. If a PROJECT has more than one SPONSOR, funding adjustments will be made by percentage (as outlined in Responsibilities). Scope adjustments must be developed through the project development process and must be approved by CALTRANS as the owner/operator of the SHS.

WORK – All efforts to complete the PROJECT COMPONENTS included in this Agreement as described by the activities in the Caltrans Workplan Standards Guide for the Delivery of Capital Projects (previously known as the WBS Guide) available at http://www.dot.ca.gov/hq/projmgmt/guidance.htm.

CONTACT INFORMATION

The information provided below indicates the primary contact information for each PARTNER to this Agreement. PARTNERS will notify each other in writing of any personnel or location changes. Contact information changes do not require an amendment to this Agreement.

CALTRANS:

Jes Padda, Project Manager
1976 E. Charter Way
Stockton, CA 95205

Office Phone: (209) 948-7765
Mobile Phone: (209) 351-4432
Email: jes_padda@dot.ca.gov

SAN JOAQUIN COUNCIL OF GOVERNMENTS

Kevin Sheridan, Project Manager
555 East Weber Avenue
Stockton, CA 95202

Office Phone: 209-235-0577
Fax Number: 209-468-1084
Email: sheridan@sjcog.org

SIGNATURES

PARTNERS declare that:

1. Each PARTNER is an authorized legal entity under California state law.
2. Each PARTNER has the authority to enter into this Agreement.
3. The people signing this Agreement have the authority to do so on behalf of their public agencies.

STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

By: _____
Dennis T. Agar
District 10 Director

CERTIFIED AS TO FUNDS:

By: _____
Athena J. Cline
District 10 Budget Manager

SAN JOAQUIN COUNCIL OF GOVERNMENTS

By: _____
Andrew Chesley
Executive Director

APPROVED AS TO FORM AND PROCEDURE:

By: _____
Steve Dial
Deputy Executive Director/Chief Finance Officer

ROUTE SLIP
SIGNATURES FOR EXECUTION

Date: May 6, 2015

EA No. : 10 – 1E740
Cooperative Agreement No. 10 – 449
FILE NUMBER 10 – SJ – 99/120 – 5.8/6.9

Documents: Cooperative Agreement 10-449

1. _____ May 6, 2015
ATHENA J. CLINE — DATE
District 10 Budget Manager

2. _____ 5/11/15
SAMUEL JORDAN — DATE
Deputy District Director, PPM

3. _____ 5/12/15
ZELIE NOGUEIRA — DATE
Deputy District Director, Admin.

4. _____ 3/13/15
DENNIS T. AGAR — DATE
District 10 Director

Please distribute to next signee and at completion return to:
April Ogo-Poblador – Cooperative Agreements Coordinator 948-7911

Notes: Two (2) copies for signature