

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	LEVEL 2 - RISK REGISTER				Project Name:	Broken-Down Bridge		DIST- EA	13-12345	Project Manager	PM Person						
2	Risk Identification							Risk Assessment					Risk Response				
3	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
4	Active	1	Threat	Environmental	Access for studies	As a result of property owners denying access to the State and/or their consultants for the purpose of completing environmental or engineering studies, delays finalizing the DED and FED may occur which would lead to increased support costs and schedule delays.	Additional studies are needed for the next stage of this project which will require access to properties. PTEs will need to be requested.	3-Moderate	4 -Moderate	12	8 -High	24	Landowners of properties located within environmental study limit boundary could delay the State and/or their consultants from completing the required preliminary environmental studies.	Accept	Coordinate with Environmental, R/W and Legal to obtain entry on private property for preliminary studies, surveys, borings, and similar related activities. Continued dialogue with landowners regarding access to their property for the purpose of completing preliminary studies.	Environmental / ROW / Legal / PM	6/20/2017
5	Active	2	Threat	Environmental	Environmental constraints	As a result of unexpected environmental constraints that impact bridge construction, an increase in the number of working days may occur which would lead to an increase in construction support costs, increased construction capital costs, and delay construction contract acceptance.	The PDT to initiate early consultation with resource agencies in an effort to determine all feasible environmental constraints early in the process and to develop a realistic project schedule.	3-Moderate	4 -Moderate	12	8 -High	24	Random Creek provides critical habitat for federally listed coho salmon, chinook salmon, and steelhead trout. Bridge construction will require pile driving in close proximity to Random Creek, requiring special noise attenuation.	Accept	Consultation with regulatory agencies on anticipated construction scenario and potential impacts from construction activities to minimize uncertainty with conditions of approval that could impact bridge construction activities. Include Supplemental Work item to cover risk.	Structures Construction / Environmental / Structures OE	6/20/2017
6	Active	3	Threat	Environmental	Public Opposition	As a result of public opposition to project alternatives that propose to replace the existing bridge, a significant number of comments following circulation of the DED and/or permit appeals prior to RTL may occur which would lead to increased support costs and schedule delays.	PDT to initiate public outreach with the community in an effort to gain broad support for preferred alternative.	4-High	4 -Moderate	16	4 -Moderate	16	Communication from the public stating opposition to the project is likely to be expressed during the public comment period and during Coastal Permit review.	Mitigate	PDT members to meet with the community in an effort to gain broader support for preferred alternative.	Environmental / PM	6/20/2017
7	Active	4	Opportunity	Environmental	Avoid Environmental Resources	There is an opportunity to adjust the project footprint to avoid resources. Wetland impacts are currently close to the acreage required for an Individual Permit from the USACE. Reducing these impacts would allow the project to obtain a NWP.	Current assumption is that design can be adjusted in order to reduce wetland impacts.	4-High	1 -Very Low	4	8 -High	32	An Individual Permit could become a critical path item and require a LEDPA. Reducing impacts to obtain a NWP will result in moderate to substantial time savings.	Exploit	Design and Environmental to work together to determine if wetland impacts can be reduced.	Environmental / Design	6/20/2017
8	Active	5	Threat	Environmental	Challenge to EIR	As a result of legal challenges to elements of the environmental document, it may become necessary to revise and recirculate the EIR which may delay PA&ED, permit submittals and R/W acquisition delaying RTL milestone.	There are currently no lawsuits pending for this project.	3-Moderate	4 -Moderate	12	4 -Moderate	12	Challenges by environmental groups, local citizens and government bodies to all or part of environmental documents on other Caltrans projects that call into question either the project's purpose and need, impacts, or amount of mitigation agreed upon with regulatory agencies.	Mitigate	Public outreach to the community to discuss full range of alternatives being considered, potential environmental impacts from those alternatives, and potential mitigation strategies being discussed with various regulatory agencies. Continued dialog with those opposed to replacing existing bridge. Legal review of document.	Environmental / Legal	6/20/2017
9	Active	6	Threat	Design	Supplemental EIR	As a result of design changes that are outside of what was addressed in the Environmental Document, a supplemental EIR may be required which would lead to a delay for public comment period, delay in meeting the PA&ED milestone, increased support cost, delay R/W acquisition, RWC, and RTL milestones.	A rigorous alternatives analysis will be performed to accurately determine temporary and permanent impacts from full range of project alternatives under consideration. The geotechnical investigation and preliminary geotechnical design report is expected to be completed in the PA&ED phase which should serve to minimize design changes during the PS&E phase.	2-Low	2 -Low	4	2 -Low	4	Design changes during PS&E phase may occur as a result of final engineering reports which could result in changes to temporary and permanent impacts affecting the alternatives analysis requiring a supplemental EIR.	Accept	Close communication between Environmental, Design, Structures Design, Structures Construction, and Construction to accurately assess temporary and permanent impacts for alternatives analysis.	Environmental / Design / Structures Design / Structures Construction / Construction / PM	6/20/2017
10	Active	7	Threat	Environmental	Coastal Permits	As a result of the project falling within the State and Local coastal jurisdictions, coastal development permits are required, and a delay in application for and/or receipt of permits or appeals may occur, which would lead to a delay in the project and possible project changes to comply with permit conditions.	Environmental impacts from current alternatives under consideration cannot be determined until completion of preliminary studies. A consolidated permit is anticipated for the project.	4-High	4 -Moderate	16	8 -High	32	Past CCC staff reports have included permit conditions that have required contractor and Caltrans Construction to develop innovative solutions to construct projects.	Accept	Conduct early coordination with CCC staff and Anywhere County Planning Department to ensure that permit conditions are reasonable and biddable.	Environmental / PM	6/20/2017

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	LEVEL 2 - RISK REGISTER				Project Name:	Broken-Down Bridge		DIST- EA	13-12345	Project Manager	PM Person						
2	Risk Identification							Risk Assessment					Risk Response				
3	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
11	Active	8	Threat	Environmental	Nesting birds	As a result of construction activities beginning during seasonal restrictions for removal of trees and shrubs under the Migratory Bird Treaty Act, a delay in construction activities to allow a biologist to conduct a bird survey prior to tree and shrub removal may occur which would lead to a delay in start of work and potential claims by contractor.	Although the preferred alternative has yet to be selected, all of the project alternatives under consideration will need tree and shrub removal.	2-Low	2 -Low	4	2 -Low	4	The State has a number of options available to remove trees and shrubs outside of seasonal restrictions.	Avoid	If the construction contract is approved in the fall, the contractor would be responsible for tree and shrub removal; if the construction contract is approved and the contractor is expected to begin work when seasonal restrictions for tree and shrub removal are in force, execute a task order under the on-call contract managed by Landscape Architecture to have trees and shrubs removed outside of the seasonal restrictions.	Environmental / Construction / PM	6/20/2017
12	Active	9	Threat	Environmental	Endangered Species	As a result of new listings to the Endangered Species Act, decisions by regulatory agencies to perform additional environmental studies and consultation may occur which would lead to increased support costs, potential increase in capital costs, delay meeting DED and PA&ED, R/W acquisition, RWC, and RTL milestones.	Environmental is currently not aware of any new or impending additions to the endangered species.	2-Low	4 -Moderate	8	8 -High	16	Potential for new listings to the Endangered Species Act.	Accept	Monitor agencies actions towards identifying endangered species.	Environmental / PM	6/20/2017
13	Active	10	Threat	Environmental	Consultation with Regulatory agencies	As a result of numerous regulatory agencies having permitting authority during some or all phases of the project (NOAA, USFWS, CDFW, CCC, DPR), the need for extended consultation for approvals, permits, certifications and mitigation may occur which would lead to schedule delays and increased support costs.	Environmental to initiate consultation with regulatory agencies having permit authority over the project.	3-Moderate	4 -Moderate	12	8 -High	24	Regulatory agencies with permitting authority over this project have different goals, the expectation is that permit conditions by the various regulatory agencies may be in conflict.	Mitigate	Coordinated consultation with various regulatory agencies that include formal presentations on project purpose and need, project alternatives, temporary and permanent impacts, proposed mitigation, etc.	Environmental / PM	6/20/2017
14	Active	11	Threat	Environmental	Section 4(f)	As a result of the project alternatives for rehabilitation or replacement of the existing structure being subject to 4(f) requirements , the need for extended consultation may occur which would lead to increased support costs, potential for increased capital costs and schedule delays.	Proposed project alternatives to rehabilitate or replace the existing structure require a Section 4(f) determination due the existing structures eligibility for National Register of Historic Places listing.	5-Very High	8 -High	40	8 -High	40	Extent of mitigation requirements unknown at this time.	Mitigate	Caltrans currently treats the existing structure as being listed and will work with SHPO to determine appropriate mitigation for the rehabilitation or replacement of the existing structure.	Environmental / Design	6/20/2017
15	Active	12	Threat	Environmental	Work Windows	As a result of permit conditions restricting construction work windows, the need for three construction seasons may occur which would lead to an increase in support and capital costs and schedule delays.	Typical work windows allowed by regulatory agencies are often restrictive and vary in start and end dates. Due to the complex nature and location of project, permit conditions may contain more restrictive work windows.	4-High	4 -Moderate	16	8 -High	32	Complex environmental issues, project location, and construction methodology will influence regulatory agencies decisions on appropriate work windows.	Mitigate	Detailed project description and construction scenario for determination of temporary and permanent impacts necessary for negotiating environmental commitments on work windows.	Design / Environmental	6/20/2017
16	Active	13	Threat	Environmental	Consultant Task Order	As a result of delays executing consultant task orders, delays completing environmental studies may occur which would lead to schedule delays.	Environmental has not yet executed a consultant task order for this project.	3-Moderate	4 -Moderate	12	4 -Moderate	12	Executing task orders for environmental studies may be delayed due to differences in level of effort estimates with consultants estimate, assumptions made by consultant on scope of work or project deliverables, potential for additional unforeseen work that would require task order amendments.	Mitigate	Close coordination with Consultant Services Unit on scope of work and level of effort estimate to minimize Consultant's uncertainty for project deliverables. Environmental, Project Management and Consultant Services Unit should meet with environmental consultant to clarify expectations and accurately define assumptions needed to execute task order.	Environmental / Consultant Services / PM	6/20/2017
17	Active	14	Threat	Environmental	Aesthetic requirements	As a result of California Coastal Commission's permit conditions requiring unforeseen aesthetic treatments, an increase in the scope of work may occur which would lead to an increase in support costs, capital costs and schedule delays.	Environmental to begin discussions with resource agencies.	3-Moderate	4 -Moderate	12	4 -Moderate	12	Coastal Commission and commission staff are sensitive to stakeholders suggestions and recommendations for context sensitive solutions when deciding conditions of approval.	Mitigate	Work with stakeholders and public during environmental process. Schedule additional public outreach. Share photo renderings of the bridge from various vantage points.	DES / Environmental / PM	6/20/2017

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	LEVEL 2 - RISK REGISTER				Project Name:	Broken-Down Bridge		DIST- EA	13-12345	Project Manager	PM Person						
2	Risk Identification							Risk Assessment					Risk Response				
3	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
18	Active	15	Threat	Environmental	Anticipated Environmental Document Type for Geotechnical Drilling	As a result of geotechnical drilling needs, a higher level environmental document type for the drilling may be required, which would lead to a longer environmental review process, project delays, and higher costs.	Previous geotech studies exist from 13-98765. Full environmental studies will be required for additional geotechnical drilling.	4-High	8 -High	32	8 -High	32	Environmentally sensitive areas exist within the project limits which will require environmental studies for any additional drilling.	Mitigate	Communicate with Structures, Geotech and Environmental. Continue Focused PDTs.	Environmental / Geotechnical / Structures	6/20/2017
19	Active	16	Threat	Environmental	Staging Areas	As a result of staging areas being identified on State Parks land or culturally/biologically sensitive areas, the need for extended consultation for approvals, permits, certifications and mitigation may occur which would lead to schedule delays and increased support costs.	Staging areas are in the process of being identified by design.	4-High	8 -High	32	8 -High	32	Section 4(f) for State Parks will be impacted if staging occurs on State Parks land. Culturally and Biologically sensitive areas need to be identified before staging can occur.	Mitigate	Constant and early communication between Design, Environmental, and the PDT to help identify suitable staging areas.	Environmental	6/20/2017
20	Active	17	Threat	Environmental	Environmental Studies	As a result of the Random Creek Bridge providing potential bat roosting habitat, the need for avoiding bats may arise, leading to installing bat exclusions, and mitigating for loss of bat habitat.	The Random Creek Bridge may provide suitable bat roosting habitat.	3-Moderate	4 -Moderate	12	4 -Moderate	12	There is the potential for the presence for bat species and their suitable habitat.	Accept	Environmental will plan accordingly to conduct bat surveys. If bats are present, there are options for bridge demolition such as installing bat exclusions prior to demolition or demolishing the bridge outside of bat season. If suitable roosting habitat is present, Environmental will work with agencies to develop mitigation plan.	Environmental	6/20/2017
21	Active	18	Threat	Environmental	Hazardous Waste	As a result of Random Creek State Park being on the Cortese List due to an underground storage tank leak on park property, impacts to this area may occur, which would lead to the requirement of mitigation.	The underground storage tank is not near the bridge but if a large/deep shaft is excavated for an arch bridge and the groundwater around the shaft needs to be removed (pumped out), that pumping could pull in a contaminant plume.	2-Low	2 -Low	4	2 -Low	4	The underground storage tank is not near the bridge and is not likely to be affected but the risk still exists.	Accept	Acquire more information from State Parks and the Water Board on the underground storage tank to avoid impacts.	Environmental	6/20/2017
22	Active	19	Threat	Construction	Unanticipated Archaeological Discoveries	The project area has known historic resources and should be considered high sensitivity for prehistoric cultural resources as well.	Archeological surveys will need to be required for the project and a DPR permit will be required for any archeological surveys on State Parks land. There is no fee associated with this permit. However, during construction, additional unanticipated archeological resources could be discovered, requiring further evaluations and possibly recovery.	4-High	8 -High	32	8 -High	32	There are known historic resources within the project area and Anywhere County has a high sensitivity for prehistoric cultural resources.	Accept	Archaeological monitoring may be required during construction depending on the outcome of the archaeological investigations during PA&ED.	Environmental	6/20/2017
23	Active	20	Threat	Environmental	Wetlands	As a result of Coastal Commission definition of wetlands, additional wetlands meeting CCC definition may be impacted resulting in additional wetland mitigation, which could lead to additional delays, mitigation costs and scheduling.	Potential wetland impact areas have been identified on the project; however detailed field studies have not been conducted to confirm these areas or determine if other areas meet CCC wetland definition that is not already apparent.	3-Moderate	4 -Moderate	12	4 -Moderate	12	Wetland mitigation credits have been included in the project but more may be necessary.	Accept	Early wetland delineation and anticipated availability of mitigation credits that would be purchased in advance of construction will minimize risk.	Environmental	3/23/2017
24	Active	21	Threat	Environmental	Mini PEAR	As a result of preparing a Mini-PEAR in lieu of a PEAR for this project, there may be additional unforeseen environmental costs and delays that were not anticipated during the programming phase.	A Mini-PEAR was provided for this project.	3-Moderate	4 -Moderate	12	4 -Moderate	12	A PEAR is recommended for LEVEL 3 projects. Due to time and resource constraints a Mini-PEAR was prepared in lieu of a PEAR.	Accept	Verify estimates provided in the Mini-PEAR at the beginning of the PA&ED phase and adjust resource needs and schedule as appropriate.	Environmental	4/20/2017
25	Active	22	Threat	Design	Stormwater Treatment	As a result of Stormwater Treatment requirements greater than anticipated additional BMPs may need to be incorporated and additional R/W acquired, which could result in increased costs and project delays.	Eliminate scuppers if practical, incorporate vegetated slopes and vegetated swales where possible, other mitigation measures early in design process.	3-Moderate	1 -Very Low	3	2 -Low	6	Notification of greater requirements from latest Statewide NPDES permit, or during 401 or Coastal Permit process. Stormwater mitigation credits may not be available or used by other projects.	Mitigate	Project will need to incorporate additional features if requirements change or if stormwater mitigation credits are unavailable. Early and close coordination with stormwater coordinator and regulatory agencies will continue throughout design process.	Design / Stormwater	3/23/2017
26	Active	23	Threat	Design	Storm Water Mitigation Credits	Stormwater Mitigation Credits may not be available.	Current stormwater mitigation assumes purchase of stormwater mitigation credits for impacts that cannot be mitigated onsite (treatment and hydromodification).	3-Moderate	2 -Low	6	2 -Low	6	Stormwater mitigation credits may not be available or used by other projects.	Mitigate	Early and close coordination with environmental coordinator will continue throughout design process. Potential for advance mitigation credits to offset on-site impact may serve to minimize this risk.	Design / Stormwater	3/23/2017

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	LEVEL 2 - RISK REGISTER				Project Name:	Broken-Down Bridge		DIST- EA	13-12345	Project Manager	PM Person						
2	Risk Identification							Risk Assessment					Risk Response				
3	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
27	Active	24	Threat	DES	Agency or Landowner	As a result of a delay obtaining a coastal development permit from the California Coastal Commission or obtaining permits to enter from landowners, rescheduling subcontractors to perform drilling, tree removal and grading would lead to schedule delays.	Environmental to begin discussions with resource agencies.	2-Low	2 -Low	4	2 -Low	4	Planned removal of trees and earthwork needed to commence geotech investigation predicated on obtaining coastal development permit from California Coastal Commission (CCC) by February 2017.	Accept	Ongoing consultation with Anywhere County Building and Planning and California Coastal Commission regarding temporary and permanent impacts of planned geotechnical investigation to negotiate conditions for approval of CDP.	DES / Environmental / PM	3/23/2017