

STAFF REPORT

SUBJECT: Project Study Report Work Program for FYs 15/16 to 17/18

MEETING DATE: May 7, 2015

AGENDA ITEM: 7

STAFF CONTACT: Sarkes Khachek

RECOMMENDATION:

Recommend approval of Three-Year Project Study Report Work Program for period FY 15/16 to 17/18.

SUMMARY:

SBCAG's regional Project Study Report work program policy requires that our work program be updated and adopted each year for inclusion in the statewide Three-Year Project Initiation Document Work plan administered by Caltrans. This will allow our PSR needs to be integrated into the statewide program scheduled to be updated annually by Caltrans. The current regional work program, covering FYs 14/15 to 16/17, must roll forward one fiscal year and cover the period FYs 15/16 to 17/18. Projects in the current work program that have not been initiated in 14/15 will be rolled over by a year to FY 15/16 in the updated work program.

The Work Program will be presented to the SBCAG Board for approval at their May 21 meeting. Upon approval by the Board, the Work Program will be submitted to Caltrans District 5 for inclusion in the statewide Project Initiation Document work plan.

BACKGROUND:

A Project Initiation Document is the first stage in the Caltrans project development process of identifying a solution for a specific transportation deficiency. The most commonly prepared Project Initiation Document is the Project Study Report. A PSR is required before using state or federal funds for capital improvements on or near the State Highway System or for any major work affecting the state highway system that will require Caltrans approvals, whether publicly or privately funded. As the owner and operator of the state highway system Caltrans is responsible for PSR development and oversight of PSRs developed by resources outside the agency. A PSR is a pre-programming document that provides preliminary information on a project's scope, schedule, and cost before funds are committed for subsequent phases of development (environmental, design, right-of-way and construction). Since the PSR is the first stage in project development, it is an important place to implement financial constraint and begin assessment of timed project delivery by determining when the PSR process should begin.

The SBCAG Board adopted a PSR Work Program policy in 2010 to determine when PSRs should be initiated to help ensure that an appropriate shelf of PSRs is created for the region's

Member Agencies

Buellton ■ Carpinteria ■ Goleta ■ Guadalupe ■ Lompoc ■ Santa Barbara ■ Santa Maria ■ Solvang ■ Santa Barbara County

highest priority projects that have a reasonable chance of being funded in the near term while the PSR is still valid. The work program includes all PSR needs that SBCAG foresees for the next three years that meet the PSR work program eligibility criteria as prescribed in the regional policy. The work program is submitted annually to Caltrans District 5 to enable it to forecast the staff and financial resources it will need to prepare or oversight the preparation of our PSRs. Because the request for Caltrans PID resources typically exceeds the resources available, the work program prioritizes for Caltrans where they should apply the resources they do have available. The work program is an important tool in managing our “shelf” regionally to have a variety of projects ready when and if additional funding becomes available.

Update and Adoption of Work Program for FYs 15/16 to 17/18

Since SBCAG must adopt the three year work program to identify any PSR needs for the next three years, SBCAG staff will present the draft work program in May to TTAC to receive input from local agencies on potential new projects that could be added to the work program.

On Attachment 1, the PSR need is prioritized according to the policies in Attachment 2 the board has adopted for setting PSR priorities. Attachment 1 provides the updates to the work program with a note on each PSR need. The current regional work program, covering FYs 14/15 to 16/17, must roll forward one fiscal year and cover the period FYs 15/16 to 17/18. Projects in the current work program in 14/15 will be rolled over by a year to FY 15/16 in the updated work program.

Two new PSR needs have been identified for the work program for the Olive Mill \ US 101 Interchange and for the San Ysidro \ US 101 interchange. The SBCAG board has directed that these projects, plus the Cabrillo Boulevard Railroad Bridge\Pedestrian Improvement Project, be developed parallel to the South Coast 101 HOV Lane Project. The city of Santa Barbara is the lead agency for feasibility studies at Cabrillo Blvd. and Olive Mill Road. After the feasibility studies are completed, SBCAG, the City and Caltrans will sign an MOU to assign roles and responsibilities for the project development stage, including a PSR. The County of Santa Barbara has been the lead agency for a feasibility study for the San Ysidro interchange. An MOU between SBCAG, the County and Caltrans, defining roles and responsibilities for project development, including a PSR, is expected to be developed within the next 3-6 months.

SBCAG staff recommends the deletion of the Clark Ave/Highway 101 Interchange PSR since the project has been completed. Staff also recommends the deletion of the Hollister Ave/State St Improvement’s PSR since there has not been any activity on the project.

ATTACHMENTS:

1. Work Program with recommended amendment (FYs 15/16 to 17/18)
2. Work Program Policy

Attachment 1

SBCAG Project Initiation Document/Project Study Report Three Year Work Program - Fiscal Years 2015/16 to 2017/18

Priority	Project	Sponsor Agency	Work Requested	Scheduled Date - Start of Construction or ROW Purchases	Work Program Status
FY 15/16					
1	Highway 166 Safety/Operational Improvements	SBCAG	Varies depending on location in corridor.	2014 – 2017 (CON)	Rolled over from FY 14/15
2	Cabrillo Blvd Railroad Bridge/Pedestrian Improvements	TBD	Oversight PSR	TBD	Rolled over from FY 14/15
7	U.S. 101/San Ysidro Interchange	TBD	Oversight PSR	TBD	New
8	U.S. 101/Olive Mill Interchange	TBD	Oversight PSR	TBD	New
2	Clark Avenue/Highway 101 Interchange	County of Santa Barbara	Oversight New PSR	2014 (CON)	Removed - completed
5	Hollister Avenue/State Street Improvements	County of Santa Barbara	Oversight New PSR		Removed – No recent activity
FY 16/17					
	Goleta Overpass Project	Goleta	Oversight New PSR	2023 (ROW)	Delayed
	Cottage Hospital Area Circulation Improvements	Santa Barbara	Oversight New PSR	2015 (CON)	Delayed
FY 17/18					
No projects at this time.					

SBCAG's PID/PSR Work Program Policy
[Non-SHOPP Projects]

1. In order for SBCAG to request that Caltrans work on a PSR in Santa Barbara County, the project must be in the PSR work program adopted by the SBCAG Board.
2. The work program will be adopted in August of each year so that Caltrans can consider it for inclusion in the statewide PSR work program that will go into effect July 1 of the following year.
3. Consistent with the statewide PSR work program, SBCAG's work program will be a three fiscal year, rolling horizon work program. It will include all PSR needs that SBCAG foresees for the next three years that meet the PSR work program eligibility criteria that are part of this policy.
4. The work program will include PSRs that SBCAG is requesting Caltrans:
initiate work on with Caltrans work forces; or
update with Caltrans work forces; or
oversight (if a PSR is prepared by local or private work forces)
5. All PSR needs that meet the eligibility criteria will be included in the work program and prioritized by fiscal year. SBCAG's work program will take into consideration, but not be constrained by, Caltrans' estimated work force availability.
6. Local project sponsors can request that a PSR be included in SBCAG's work program by submitting a request to SBCAG. If the agency will have more than one project in the work program, including carryover projects, and privately funded projects, the requesting agency's policy body must rank the request relative to its other PSRs.
7. PSRs in SBCAG's work program will be prioritized by fiscal year to assist Caltrans in applying its resources. General guidance in prioritizing PSR work requests will be:
 - a. By work request:
 1. Updates of PSRs for currently programmed projects
 - a. The older the PSR needing an update, the higher the priority.
 2. New PSRs

- b. By funding source:
 - 1. Measure A funded projects
 - 2. Other publicly funded projects
 - 3. privately funded projects
 - c. By project type
 - 1. Safety
 - 2. Operational
 - 3. Capacity increasing
 - 4. Transportation enhancement
 - d. By priority within a local jurisdiction
 - 1. If a sponsor agency has more than one PSR work request in the work program, by the priority the agency's policy body gives to its own PSR requests.
8. The work program, or amendment requests, will be voted on by TTAC before being brought to the SBCAG board for adoption.
 9. If more resources become available for the upcoming fiscal year at Caltrans than anticipated when the work program is being developed, Caltrans may work on PSRs in year two (or three) of the work program. This will not require an amendment to the work program. If Caltrans has fewer resources than anticipated, Caltrans may not be able to work on all PSRs in the first fiscal year of the work program. SBCAG will request that Caltrans provide notice of the "cut line" each fiscal year as soon as it is established.
 10. A project sponsor that believes its project deserves special consideration for SBCAG's PSR work program that should override the eligibility criteria or alter the prioritization ranking in the work program may submit a written appeal to the SBCAG board.
 11. The PSR work program can be amended at any time by a majority vote of the SBCAG board.
 12. The Executive Director will be authorized to sign off on the Caltrans PSR initiation request form and PSR charter for all projects in the work program.

SBCAG's PSR WORK PROGRAM ELIGIBILITY CRITERIA

- A. On-system, publicly funded capacity increasing projects (includes AB 1600 projects)
 - 1. The project is itemized in the Regional Transportation Plan (RTP)
 - 2. It has an adopted feasibility study by a local policy body or SBCAG that includes a financing plan and delivery schedule based on the cash flow and schedule of the Measure A Strategic Plan.
 - 3. Start of construction date or scheduled right of way capital purchases are within 12 years of the respective year that the project would be included in the three year PSR work program.

- B. Publicly funded, on system, operational or safety projects that are non-capacity increasing, and publicly funded off system projects (includes AB 1600 projects)
 - 1. The project is itemized in the RTP or supported by a policy or project category in the RTP.
 - 2. The local policy body or SBCAG has adopted a financing plan and delivery schedule based on the cash flow and schedule of the Measure A Strategic Plan.
 - 3. Start of construction date or right of way capital purchases are within 12 years of the respective year that the project would be included in the three year PSR work program.

- C. Privately funded on system projects
 - 1. The project is itemized in the RTP or supported by a policy or project category in the RTP.
 - 2. Start of construction date is within 12 years of the respective year that the project would be included in the three year PSR work program