

## STAFF REPORT

**SUBJECT:** Project Study Report Policy

**MEETING DATE:** May 20, 2010

**AGENDA ITEM:** 10

**STAFF CONTACT:** Brittany Odermann

**RECOMMENDATION:**

Adopt the PSR policy and three-year work program.

**DISCUSSION:**

At the April 15th SBCAG board meeting, staff presented for discussion and possible action a draft policy for the creation of a Project Study Report (PSR) Three-Year Work Program for Santa Barbara County. TTAC and SBCAG staff had recommended that the board defer action on the policy until the State budget was adopted and Caltrans released its 3-year Project Initiation Document Strategic Plan. The board voted to move forward with a regional PSR Policy and directed staff and TTAC to work on a policy and bring the item back to the board for consideration in May.

The draft policy, included as Attachment 1, was presented to the Board in March and April. The three-year work program that would result from adoption of the policy is included as Attachment 2. The work program has been revised to incorporate the two new PSR requests that the Board approved last month: the Goleta Overpass Project; and the Cottage Hospital Area Circulation Improvements Project. The new PSR's were added to year one of the work program and then prioritized using the criteria in the draft policy.

Adoption of the PSR policy would establish the region's three-year PSR work program for submittal to Caltrans and inclusion into Caltrans' statewide Three-Year Project Initiation Document (PID) Strategic Plan. The work program would be updated and adopted annually. At the April meeting, the SBCAG Board acknowledged that if a regional policy is adopted now, there may be a need to revisit the policy once the state budget and PID Strategic Plan are approved.

**TTAC REVIEW:**

SBCAG staff presented the Project Study Report Policy and work program to TTAC at its May 6<sup>th</sup> meeting. TTAC members added item 7e to the prioritization criteria to include a consideration of the impact on Caltrans' resources (i.e., oversight of a PSR being less of an impact than preparation of a PSR), then voted unanimously to recommend adoption of the PSR policy and three-year work program. They added that if necessary, the item should come back for further consideration once the Caltrans statewide PID 3-year Strategic Plan is approved. TTAC's comments are bolded in Attachment 1, PSR Work Program Policy.

**Member Agencies**

**NORTH COUNTY/SOUTH COAST SUBREGIONAL COMMITTEE REVIEW:**

The North County and South Coast Subregional Committees reviewed the policy on May 12 and provided comments. Their comments are incorporated in the policy and also are bolded for reference. Both subregional committees voted unanimously to recommend adoption of the PSR policy and three-year work program.

**RECOMMENDATION:**

Adopt the PSR policy and three-year work program.

**ATTACHMENTS**

1. PSR Work Program Policy Draft #3
2. PSR Work Program
3. PID Background
4. Project Shelf

SBCAG's PSR Work Program Policy  
[Non-SHOPP Projects]  
Draft #3

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 November 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:
  - a. initiate work on with Caltrans work forces; or
  - b. update with Caltrans work forces; or
  - c. 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. **Existing projects in the work program carried over from a previous year will generally maintain their existing priority unless a project sponsor requests special consideration for reprioritizing SBCAG's PSR work program as outlined in Section 10 of this policy.**
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 **or carryover** 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.
  - e. **By resource demand on Caltrans**
    - 1. **Projects requiring fewer Caltrans resources, i.e. small projects, oversight by Caltrans on PSR's completed by others**
    - 2. **Projects requiring a higher level of Caltrans resources, i.e. larger projects where Caltrans is the lead on PSR development.**
8. The work program, amendment requests, **and special considerations** 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. **The appeal will be heard by the SBCAG Board at the next regularly scheduled meeting.**
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 **financially constrained** 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 **financially constrained** 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 **financially constrained** 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

<b>DRAFT #3</b>					
<b>SBCAG's PSR Three Year Work Program</b>					
<b>FY 2010/11 – FY 12/13</b>					
Fiscal Year of Work Program	Priority	Project	Sponsor Agency	Work Requested	Scheduled Date - Start of Construction or ROW Purchases
<b>2010-11</b>					
	1	Ekwill\Fowler	Goleta	Carryover- Continue oversight of PSR update	2013 (CON)
	2	Las Positas – Cliff Drive Intersection (Hwy 225)	Santa Barbara	Oversight PSR Update	2013 (CON)
	3	Hwy 166 Safety Improvement	SBCAG	Oversight new PSR\Prepare PSR	2014 (CON)
*	4	Goleta Overpass Project	Goleta	Oversight new PSR	2023 (ROW)
*	5	Cottage Hospital Area Circulation Improvements	Santa Barbara	Oversight new PSR	2015 (CON)
	6	San Jose Creek Bikeway \ Highway 217	Goleta	Oversight new PSR	2013 (CON)
<b>2011-12</b>					
	1	Las Positas – Cliff Drive Intersection (Hwy 225)	Santa Barbara	Carryover- continue oversight of PSR update	2013 (CON)
	2	Hwy 166 Safety Improvement	SBCAG	Carryover – continue oversight\preparation of new PSR	2014 (CON)
*	3	Goleta Overpass Project	Goleta	Carryover -- Continue oversight of new PSR	2023 (ROW)
*	4	Cottage Hospital Area Circulation Improvements	Santa Barbara	Carryover -- Continue oversight of new PSR	2015 (CON)
	5	San Jose Creek Bikeway \ Highway 217	Goleta	Carryover -- Continue oversight of new PSR	2013 (CON)

**Attachment 2**

Fiscal Year of Work Program	Priority	Project	Sponsor Agency	Work Requested	Scheduled Date - Start of Construction or ROW Purchases
2012-13					
*	1	Goleta Overpass Project	Goleta	Carryover -- Continue oversight of new PSR	2023 (ROW)
*	2	Cottage Hospital Area Circulation Improvements	Santa Barbara	Carryover -- Continue oversight of new PSR	2015 (CON)

\* Projects are assumed to be “grandfathered” into year 1 of the work program by the SBCAG Board’s action in April; then prioritized according to the PSR policy.

## Background on Project Initiation Documents

- PID guidelines (1991)

The “Guidelines for the Preparation of Project Study Reports” were adopted by the CTC in September 1991 to prescribe the standard project initiation process.

- SB45 (1997)

They were updated again in 1999 following passage of SB 45, which established the framework for project development support components to be programmed prior to the programming of right-of-way and construction capital components

- Annual Call for New Projects

Call for Projects Process – 3 years beyond current STIP Cycle

- LAO Audit and Report (2009)

In February 2009, the Legislative Analyst Office’s Budget Analysis report made recommendations relating to PID management. (In particular, the management of “Shelf” PIDs.)

- PID Strategic Plan (initiated 2009, still in progress)

A taskforce was formed in response to the LAO’s findings and is focused on the efficient fiscal management of state highway projects. Caltrans HQ, the statewide RTPA group, and local partners collaborated to develop a Strategic Plan. The Taskforce is still in process of developing the PID Strategic Plan that outlines a streamlined process for the development of PIDs to be more in tune with the current fiscal climate.

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- General

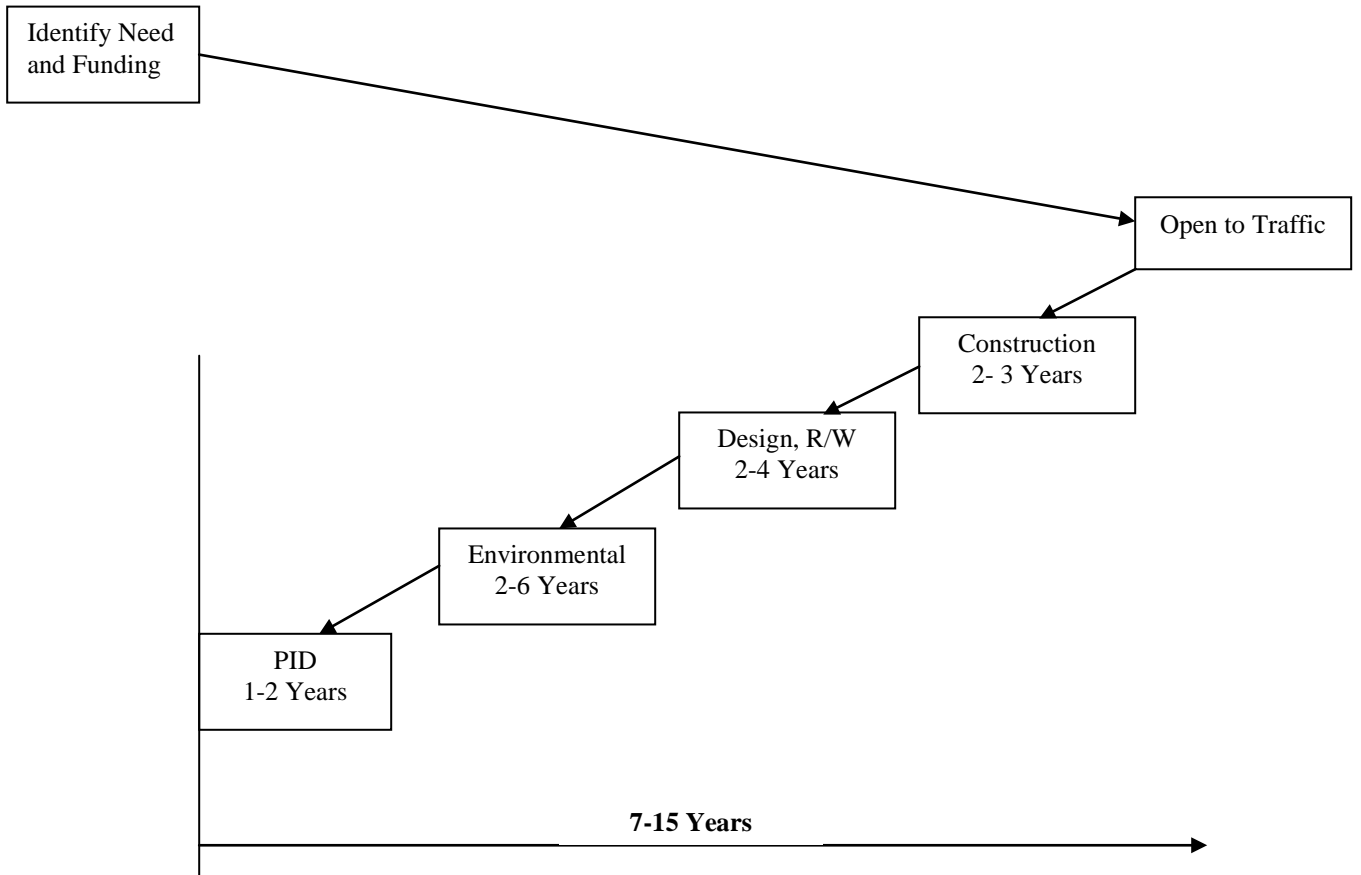
All projects on the State Highway System require an approved PID or equivalent document to construct with the State right-of-way. Caltrans and CTC guidelines require preparation of a PID or equivalent document to be eligible for State and Federal Funding (STIP and SHOPP)

The PID guidelines were established to assure a consistent approach in the development of transportation projects on the state highway system

The PID achieves conceptual approval of proposed improvement.

## When Do You Start a PID

- **Identify Need**
- **Determine when it's needed**
- **Work backwards**



# Caltrans Resources, Then and Now

## Statewide PID Resources

07/08: 432 PYs

08/09: 431 PYs

09/10: 302 PYs (funded at 75% of actual expenditure rate)

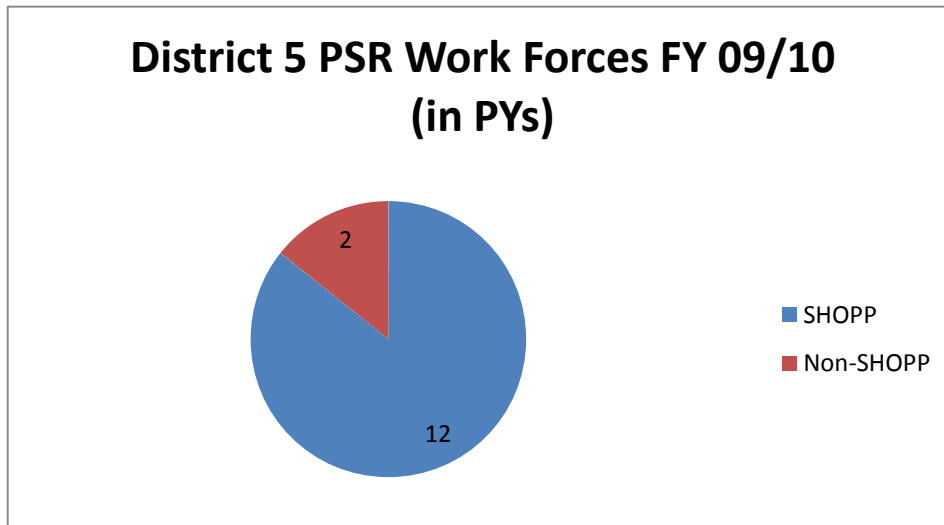
## District 5 Resources to Develop PIDs

07/08: 25 PYs

08/09: 24 PYs

09/10: 14 PYs (= 11 PYs at actual expenditure rate)

- STIP resources are identified as needed for Caltrans to develop or oversight PIDs for fundable projects.
- In general, 85% of resources are used for SHOPP, 15% for STIP.
- Currently, the majority of SHOPP resources are expended on Safety and Mandates only.



In general, 85% of District 5's PYs are being directed to SHOPP PSRs. The other 15% of resources are spread across the district. District 5 covers San Benito, Santa Cruz, Monterey, San Luis Obispo and Santa Barbara counties.

**Project Shelf**

Projects with PSRs	Matching Fund Needs/Shortfall (\$ millions)	Project Status
Linden/Casitas, Interchange Improvements	\$44,000	Environmental completion May 2010; Construction scheduled 2015/16
Las Positas & Cliff Dr Intersection Improvs	\$1,750	PSR being updated by city of SB.
Summerland Operational Improvements	\$3,000	Ready for construction.
Cabrillo Pedestrian Undercrossing (Phase II Milpas)	\$6,000	Environmental completed; final design pending UPRR approval of project concept.
Rt 166 Widening Guadalupe-Santa Maria	\$50,000	PSR complete, may need to be updated. Environmental funding (STIP) programmed in FY 11/12.
Hwy 101 Santa Maria River Bridge Widening	\$32,000	Ready for construction
Hwy 101 Union Valley Parkway Interchange (new int.)	\$8,000	Environmental complete, ROW acquisition started, final design started. Scheduled for construction in FY 11/12.
Highway 246 Passing Lanes Phase I	\$3,000	Environmental completion April 2010. Scheduled for constuction in FY 13/14.
Highway 101 HOV Widening - Phase 4 Segment 1	\$73,000	Environmental underway. Scheduled for construction in FY 16/17
Highway 101 HOV Widening - Phase 4 Segment 2	\$54,400	Environmental underway. Scheduled for construction in FY 18/19
Highway 101 HOV Widening - Phase 4 Segment 3	\$54,400	Environmental underway. Scheduled for construction in FY 20/21
Highway 101 HOV Widening - Phase 4 Segment 4	\$54,400	Environmental underway. Scheduled for construction in FY 22/23
Highway 101 HOV Widening - Phase 4 Segment 5	\$54,400	Environmental underway. Scheduled for construction in FY 24/25
Highway 246 Passing Lanes Phase II	\$30,000	Environmental completion April 2010. Construction scheduled FY 30/31
Hwy 101/135 Interchange Improvement	\$21,000	Environmental initiated.
Hwy 101/Betteravia Road Interchange Improvement	\$4,600	Project has a draft Project Study Report.
Hwy 101/McCoy Lane Interchange (new Int.)	\$18,000	Project has a signed/completed Project Study Report.
<b>Total</b>	<b>\$493,950</b>	