



U.S. Department
of Transportation

Transportation Management Area Planning Certification Review

Federal Highway
Administration

Federal Transit
Administration

Santa Barbara County Association of Governments



September 18, 2020

Summary Report





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1.0 EXECUTIVE SUMMARY

From May 2020 to August 2020, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) conducted the certification review of the transportation planning process for the Santa Barbara, California urbanized area. FHWA and FTA are required to jointly review and evaluate the transportation planning process for each urbanized area over 200,000 in population at least every four years to determine if the process meets the Federal planning requirements. The Santa Barbara, California urbanized area do not have a population of 200,000 people or more. However, the Governor officially requested that the region be designated as a TMA, and the area's TMA status is codified in the current transportation bill.

1.1 Previous Findings and Disposition

The first certification review for the Santa Barbara urbanized area was conducted in 2008. The second and third certification reviews were conducted in 2012 and 2016, respectively. The previous Certification Review findings and their disposition are provided in Appendix B and summarized as follows.

Finding	Action	Corrective Actions/ Recommendations	Disposition
	Corrective Action Recommendation		
TIP Documentation	Recommendation	Remove deleted and completed projects from the FTIP in a reasonable timeframe to reflect accurately during the FTIP amendment update process.	Completed
Travel Demand Forecasting	Recommendation	Update TDM base year data.	Completed
Procurement Procedures	Recommendation	Update procurement procedures.	Completed
Staff Capacity	Recommendation	Participate in transportation planning and programming training.	Ongoing
Planning agreements	Recommendation	Update outdated planning agreements	Complete
Tribal Consultation	Recommendation	Document/update the process	Ongoing

1.2 Summary of Current Findings

The current review found that the metropolitan transportation planning process conducted in the Santa Barbara urbanized area meets Federal planning requirements.

As a result of this review, FHWA and FTA are certifying the transportation planning process conducted by the California Department of Transportation, Santa Barbara County Association of Governments, and the metropolitan planning area's public transportation operators. There are



recommendations in this report that warrant close attention and follow-up, as well as commendations for areas that the MPO is performing very well.

Review Area	Finding	Action	Corrective Actions/ Recommendations/ Commendations	Resolution Due Date
Unified Planning Work Program 23 CFR 450.308	SBCAG OWP meets the requirements of 23 CFR 450.308.	Recommendation	SBCAG should include a discussion of the MPO's transportation planning priorities in the fiscal years 2021/2022 OWP.	July 1, 2021.
Transit Planning 49 U.S.C. 5303 23 U.S.C. 134 23 CFR 450.314	SBCAG's transportation planning process complies with 49 U.S.C. 5303 and 23 U.S.C. 134.	Recommendation	SBCAG should document how transit is represented in the MPO's metropolitan planning process and include directly or by reference in the SBCAG Bylaws. SBCAG and the California Department of Transportation should document the SBCAG/State's transit performance management coordination, including the deposition of transit data, targets, and reports.	December 31, 2021
Transportation Improvement Program 23 U.S.C. 134(c)(h)& (j) 23 CFR 450.326	SBCAG's Transportation Improvement Program complies with 23 U.S.C. 134(c),(h) & (j) and 23 CFR 450.326.	Recommendation	SBCAG and the California Department of Transportation should coordinate to develop strategies for documenting PM2 work types.	December 31, 2022
Public Participation 23 U.S.C. 134(i)(6) 23 CFR 450.316 & 450.326(b)	SBCAG's Public Participation Plan complies with Sections 134(i)(5), 134(j)(1)(B) of Title 23, Section 5303(i)(5) and 5303(j)(1)(B) of Title 49, and 23 CFR 450.316(a) and (b).	Recommendation	Continue to coordinate with the local Indian Tribal Government in evaluating, improving, and document the tribal consultation process.	September 1, 2023



Consultation and Coordination 23 U.S.C. 134(g) & (i) 23 CFR 450.316, 23 CFR 450.324(g)	SBCAG's consultation and coordination process complies with 23 U.S.C. 134(g) & (i)(5)-(6), 23 CFR 450.316(b-e), 23 CFR 450.324(g)(1-2), and 23 CFR 450.324(f)(10).	Recommendation & Commendation	SBCAG should continue to improve the documentation of the tribal consultation process. SBCAG is commended for its consultation and coordination with the MPO's many partnering organizations and agencies. Throughout the review, SBCAG demonstrated the positive impact the consultation and coordination process has had on the metropolitan planning area and adjoining areas' metropolitan planning and programming processes.	On-going
Nonmotorized Planning/Livability 23 U.S.C. 134(h) 23 U.S.C. 217(g) 23 CFR 450.306 23 CFR 450.3224f)(2)	SBCAG'S nonmotorized planning/livability process complies with 23 U.S.C. 217(g), 23 U.S.C. 134, and 23 CFR 450.306.	Commendation	Both SBCAG and District Five are commended for their 3Cs approach to nonmotorized planning. Both have demonstrated a dedication to improving the livability of Santa Barbara County through comprehensive strategies and the leverage of local, State, and Federal-aid.	

Details of the certification findings for each of the above items are contained in this report.



2.0 INTRODUCTION

2.1 Background

Pursuant to 23 U.S.C. 134(k) and 49 U.S.C. 5303(k), the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) must jointly certify the metropolitan transportation planning process in Transportation Management Areas (TMAs) at least every four years. A TMA is an urbanized area, as defined by the U.S. Census Bureau, with a population of over 200,000. After the 2010 Census, the Secretary of Transportation designated 183 TMAs – 179 urbanized areas over 200,000 in population plus four urbanized areas that received special designation. In general, the reviews consist of three primary activities: a site visit, a review of planning products (in advance of and during the site visit), and preparation of a Certification Review Report that summarizes the review and offers findings. The reviews focus on compliance with Federal regulations, challenges, successes, and experiences of the cooperative relationship between the MPO(s), the State DOT(s), and public transportation operator(s) in the conduct of the metropolitan transportation planning process. Joint FTA/FHWA Certification Review guidelines provide agency field reviewers with latitude and flexibility to tailor the review to reflect regional issues and needs. As a consequence, the scope and depth of the Certification Review reports will vary significantly.

The Certification Review process is only one of several methods used to assess the quality of a regional metropolitan transportation planning process, compliance with applicable statutes and regulations, and the level and type of technical assistance needed to enhance the effectiveness of the planning process. Other activities provide opportunities for this type of review and comment, including Unified Planning Work Program (UPWP) approval, the MTP, metropolitan and statewide Transportation Improvement Program (TIP) findings, air-quality (AQ) conformity determinations (in nonattainment and maintenance areas), as well as a range of other formal and less formal contact provide both FHWA/FTA an opportunity to comment on the planning process. The results of these other processes are considered in the Certification Review process.

While the Certification Review report itself may not fully document those many intermediate and ongoing checkpoints, the “findings” of Certification Review are, in fact, based upon the cumulative findings of the entire review effort.

The review process is individually tailored to focus on topics of significance in each metropolitan planning area. Federal reviewers prepare Certification Reports to document the results of the review process. The reports and final actions are the joint responsibility of the appropriate FHWA and FTA field offices, and their content will vary to reflect the planning process reviewed, whether or not they relate explicitly to formal “findings” of the review.

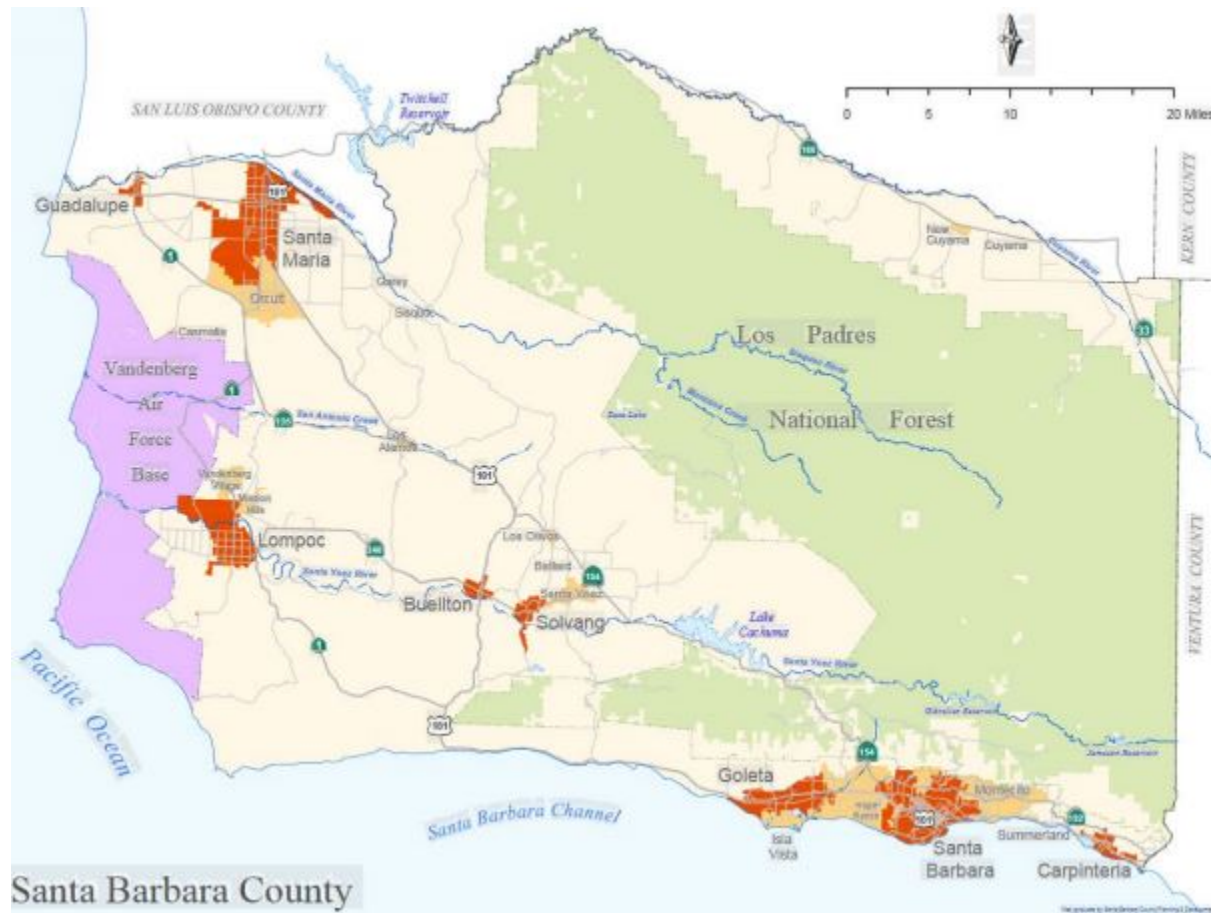
To encourage public understanding and input, FHWA/FTA will continue to improve the clarity of the Certification Review reports.



2.2 Purpose and Objective

Since the enactment of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, the FHWA and FTA, are required to jointly review and evaluate the transportation planning process in all urbanized areas over 200,000 population to determine if the process meets the Federal planning requirements in 23 U.S.C. 134, 40 U.S.C. 5303, and 23 CFR 450. The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), extended the minimum allowable frequency of certification reviews to at least every four years.

The Santa Barbara County Association of Governments (SBCAG) is the designated MPO for the Santa Barbara urbanized area. The California Department of Transportation (Caltrans) is the responsible State agency and nine public transportation operators are responsible for transit in the metropolitan planning area. Current membership of the SBCAG consists of elected officials and citizens from the political jurisdictions in Santa Barbara County. The study area includes all of Santa Barbara County with the City of Santa Barbara as the largest population center.



Certification of the planning process is a prerequisite to the approval of Federal funding for transportation projects in such areas. The certification review is also an opportunity to provide assistance on new programs and to enhance the ability of the metropolitan transportation



planning process to provide decision makers with the knowledge they need to make well-informed capital and operating investment decisions.

3.0 SCOPE AND METHODOLOGY

3.1 Review Process

The initial certification review was conducted in 2008. Subsequent certification reviews were conducted in 2012 and 2016. A summary of the status of findings from the last review is provided in Appendix B. This report details the fourth review, which consisted of a desk review, a formal virtual site visit, and virtual public involvement opportunity, that kicked off on July 13, 2020 and ended on August 12, 2020. The site visit and public involvement opportunity was conducted virtually due to California’s Governor Executive Order N-33-20 which was executed on March 19, 2020 and ordered “all individuals living in the State of California to stay home or at the place of residence.”



Participants in the review included representatives of FHWA, FTA, Caltrans, public transportation operators, and SBCAG staff. A full list of participants is included in Appendix A.

A desk audit of current documents and correspondence was completed prior to the site visit. In addition to the formal review, routine oversight mechanisms provide a major source of information upon which to base the certification findings.



The certification review covers the transportation planning process conducted cooperatively by the MPO, State, and public transportation operators. Background information, current status, key findings, and recommendations are summarized in the body of the report for the following subject areas selected by FHWA and FTA staff for on-site review:

- Unified Planning Work Program
- Metropolitan Transportation Plan (MTP)
- Transit Planning
- Transportation Improvement Program (TIP)
- Public Participation
- Consultation and Coordination
- Nonmotorized Planning/Livability

3.2 Documents Reviewed

The following MPO documents were evaluated as part of this planning process review:

- Bylaws: Santa Barbara County Association of Governments
- Central Coast Origin-Destination Survey
- COVID-19 Commute Survey (See <https://www.surveymonkey.com/r/SBCAGsb>)
- COVID-19 Surveys: Teleworking Webinar Series and Public Outreach Coordination (See SBCAG Traffic Solutions: <http://www.trafficsolutions.org/HTGT-Telecommute>)
- Draft Transportation Emergency Preparedness Plan
- Eligibility List
- Fast Forward 2040 Regional Transportation Plan-Sustainable Communities Strategy
- Final Regional Housing Needs Allocation Plan 2014-2022
- Final Santa Ynez Valley Bicycle Master Plan
- FY 2018-19 Overall Work Program and Budget
- FY 2020-21 Overall Work Program and Budget
- Measure A Funding and Project List (See <http://www.measurea.net/>)
- Nondiscrimination Policy
- One Room, Many Voices Workshop: Planning for Cross-Language Communication (See Just Communities: <https://www.just-communities.org/lji>)
- Ordinance No. 3
- Public Participation Plan
- Regional Active Transportation Plan
- Regional Growth Forecast 2050 Santa Barbara County
- Regional Housing Need Allocation Supplemental Report



- Santa Barbara County Age Characteristics
- Santa Barbara County Employment Characteristics
- Santa Barbara County Region Transportation Safety Factsheet
- Santa Barbara County State of the Commute
- Santa Barbara County Teleworking Survey
- Santa Barbara U.S. 101 Multimodal Corridor
- SBCAG Appropriations Limit Calculation
- SBCAG Financial Audit for FY 18/19
- SBCAG Scooter Summit (See <https://www.youtube.com/watch?v=EuwF0ldITyM>)
- SBCAG Title VI Program, with Limited English Proficiency Plan
- SBCAG Triennial Performance Audit for FY 16/18
- SMAT-SBCAG MOU
- Strategic Plan
- U.S. 101 Central Coast California Freight Strategy
- VCTC MOU
- 2019 FSTIP
- 2020 Transit Needs Assessment



4.0 PROGRAM REVIEW

4.1 Unified Planning Work Program

4.1.1 Regulatory Basis

23 CFR 450.308 sets the requirement that planning activities performed under Titles 23 and 49 U.S.C. be documented in a Unified Planning Work Program (UPWP). The MPO, in cooperation with the State and public transportation operator, shall develop a UPWP that includes a discussion of the planning priorities facing the MPA and the work proposed for the next one- or two-year period by major activity and task in sufficient detail to indicate the agency that will perform the work, the schedule for completing the work, the resulting products, the proposed funding, and sources of funds.

4.1.2 Current Status

SBCAG's UPWP is known as the Official Work Program (OWP), and to assess the OWP compliance with 23 CFR 450.308, the Review Team reviewed OWPs from fiscal years 2018/2019 and 2020/2021. SBCAG's OWPs document the metropolitan planning activities annually for all activities performed by the MPO regardless of funding source. Activities included in the OWPs were documented in sufficient detail and indicated which agencies/organizations would perform the work. Activities and tasks included schedules, potential products, and funding sources, including matching funds. The OWP development process included the SBCAG Policy Board, Caltrans Headquarters and District Five, transit operators, and the Santa Ynez Band of Chumash Indians.

SBCAG's total budget for fiscal years 2020/2021 is approximately \$42,916,400 of which approximately \$25,289,469 or 58.9 percent is local funds, approximately \$16,404,505 or 38.2 percent is state of California funding, and approximately \$1,222,426 or 2.8 percent is Federal-aid. The total budget was documented in the OWP and included an itemized breakdown of the tasks/activities, estimated cost, and funding sources. Before Federal approval of the OWP in June 2020, FHWA and FTA reviewed the proposed (Draft) OWP and concluded that SBCAG's OWP complied with federal regulations.

SBCAG's OWP does not explicitly discuss the priorities of the MPO. However, the OWP's activities/tasks aligned with California planning emphasis areas and federal initiatives and were easily identified by the Review Team.

To improve OWP development coordination and the review and approval process, Caltrans District Five streamlined the District's process. Per the interviews with SBCAG and Caltrans



Planning staff, the streamlining efforts have improved coordination, stewardship, and OWP delivery.

4.1.3 Findings

SBCAG OWP meets the requirements of 23 CFR 450.308.

Recommendations: SBCAG should include a discussion of the MPO's transportation planning priorities in the fiscal years 2021/2022 OWP.

Schedule for Process Improvement: The Recommendation should be completed by July 1, 2021.

Proposed FHWA/FTA Technical Assistance: If Technical Assistance is needed, SBCAG should request FHWA/FTA assistance by December 31, 2020.

4.2 Metropolitan Transportation Plan

4.2.1 Regulatory Basis

23 U.S.C. 134(c), (h) & (i) and 23 CFR 450.324 set forth requirements for the development and content of the Metropolitan Transportation Plan (MTP). Among the requirements are that the MTP address at least a 20 year planning horizon and that it includes both long and short range strategies that lead to the development of an integrated and multi-modal system to facilitate the safe and efficient movement of people and goods in addressing current and future transportation demand.

The MTP is required to provide a continuing, cooperative, and comprehensive multimodal transportation planning process. The plan needs to consider all applicable issues related to the transportation systems development, land use, employment, economic development, natural environment, and housing and community development.

23 CFR 450.324(c) requires the MPO to review and update the MTP at least every four years in air quality nonattainment and maintenance areas and at least every 5 years in attainment areas to reflect current and forecasted transportation, population, land use, employment, congestion, and economic conditions and trends.

Under 23 CFR 450.324(f), the MTP is required, at a minimum, to consider the following:

- Projected transportation demand
- Existing and proposed transportation facilities
- Operational and management strategies
- Congestion management process



- Capital investment and strategies to preserve transportation infrastructure and provide for multimodal capacity
- Design concept and design scope descriptions of proposed transportation facilities
- Potential environmental mitigation activities
- Pedestrian walkway and bicycle transportation facilities
- Transportation and transit enhancements
- A financial plan

4.2.2 Current Status

SBCAG Policy Board adopted FAST Forward 2040: SBCAG Regional Transportation Plan and Sustainable Communities Strategy (Fast Forward 2040) or RTP-SCS on August 17, 2017. In California, the RTP-SCS serves as the metropolitan transportation plan (MTP) for the metropolitan planning area. Fast Forward 2040 covers a 20 plus years forecast period and is scheduled to be updated in 2022.

The RTP-SCS was completed in cooperation with Caltrans and local transit providers. Fast Forward 2040 builds on past efforts to move the region toward achieving a broader range of goals related to the environment, mobility, social equity, health and safety, and economic vitality. The plan was shaped using a performance-based approach required by federal transportation law that measures progress toward these plan goals. From the range of integrated land use and transportation planning options studied, Fast Forward 2040 designates a preferred future land use and transportation scenario that, applying quantifiable performance measures, best achieves the plan goals and meets the region's transportation needs. The preferred scenario represents the updated version of the scenario embraced by the adopted 2013 RTP-SCS.

Fast Forward 2040 provides short-term and long-term multimodal strategies to continue developing an integrated transportation system in Santa Barbara County, California. To accomplish this, SBCAG's travel demand model incorporates a multimodal network, including roads and highways, the transit system and bike routes, and walking trips. This approach resulted in strategies that prioritized:

- Maintenance and rehabilitation of existing and future facilities;
- Operation and strategic expansion of public transit;
- Strategic road and highway expansion and operational improvements that focus on alleviating major bottlenecks and congestion points;
- Bicycle and pedestrian retrofits and new facilities; and
- Programs and planning (e.g., programs and transportation system management strategies, including technology and demand management programs, which allow for more significant optimization of existing transportation infrastructure).



To ensure consistency with regional land-use, Fast Forward 2040 through its SCS section of the plan, identified a preferred land-use scenario strategy. The strategy proposed the intensification of residential and commercial land uses in urban areas proximate to existing transit. The strategies were carried forward through the development and implementation of the following RTP-SCS policies:

- Make land-use decisions that adequately address regional transportation issues and are consistent with the RTP-SCS.
- Promote a better balance of jobs and housing to reduce long-distance commuting by means of traditional land-use zoning, infill development¹²¹, and other unconventional land-use tools, such as employer-sponsored housing programs, economic development programs, commercial growth management ordinances, average unit size ordinances, and parking pricing policies.
- Plan for transit-oriented development consistent with the RTP-SCS by:
 - concentrating residences and commercial centers in urban areas near rail stations, transit centers, and transit development corridors.
 - designing and building “complete streets” serving all transportation modes that connect high-usage origins and destinations.
 - Preserve open space, agricultural land, and sensitive biological areas.
 - Identity, minimize and mitigate adverse environmental impacts and, in particular, require mitigation of traffic impacts of new land development through on-site and related off-site improvements for all modes of transportation, including incentives to encourage the use of alternative transportation modes.

The RTP-SCS includes all of the requirements of 23 CFR 450.324(f) and was developed in consultation with agencies responsible for land-use management and environmental protection. SBCAG is currently updating the RTP-SCS and has consulted Caltrans, local transit providers, a local tribal community, and other regional stakeholders.

4.2.3 Findings

Fast Forward 2040 meets the requirements of 23 U.S.C. 134(c), (h) & (i) and 23 CFR 450.324.

4.3 Transit Planning

4.3.1 Regulatory Basis

49 U.S.C. 5303 and 23 U.S.C. 134 require the transportation planning process in metropolitan areas to consider all modes of travel in the development of their plans and programs. Federal regulations cited in 23 CFR 450.314 state that the MPO in cooperation with the State and



operators of publicly owned transit services shall be responsible for carrying out the transportation planning process.

4.3.2 Current Status

The Statewide and Nonmetropolitan Transportation Planning; Metropolitan Transportation Planning Final Rule was published to the Federal Register on May 27, 2016, with an effective date of June 27, 2016. With the passage of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and the publication of this Rule, additional requirements were incorporated into the metropolitan planning process. In respect to transit planning, this Rule added 23 CFR 450.310(d)(3), which requires that representation by operators of public transportation be added to this list of officials. This Final Rule establishes that every MPO that serves an area designated as a TMA must include an official (or officials) who is formally designated to represent the collective interests of the operators of public transportation in the MPA and will have equal decision-making rights and authorities as other officials on its policy board. 23 CFR 450.310(d)(3) states representation "shall be determined by the MPO according to the bylaws or enabling statute of the organization."

The Review Team believes, and the reviewed documentation and staff interviews support the finding that transit planning is an intricate part of SBCAG's metropolitan planning and programming process. Transit operators are members of the technical advisory committee, and SBCAG has an official memorandum of understanding with the region's transit providers. Programming of transit funds includes coordination between the MPO and the transit operators, and SBCAG conducts an assessment of transit needs annually. In the review of Fast Forward 2040 and the current Federal Transportation Improvement Program, transit-related goals, objectives, strategies, and project funding are included. However, in the review of the SBCAG's Bylaws, the Review Team concluded that transit representation is not defined. It is important to note; the regulatory change to the MPO structure and metropolitan planning process was done to support the effective implementation of a performance-based approach to planning and programming. As such, the Review Team encourages SBCAG to document how transit is represented in the decision-making process.

Transit performance management is an official element of the metropolitan planning and programming process. To date, SBCAG has implemented transit performance management in the MPO's transportation planning process as required by law. The MPO and the California Department of Transportation coordinate target setting, reporting, and other related activities and tasks. All of which support the Review Team's finding that SBCAG is performing transit performance management as required by law. Associated processes and or procedures are documented through MOUs between the MPO and the transit operators. The Review Team encourages SBCAG and Caltrans to document the MPO/State coordination, including the deposition of transit data, targets, and reports.



4.3.3 Findings

SBCAG's transportation planning process complies with 49 U.S.C. 5303 and 23 U.S.C. 134.

Recommendations: SBCAG should document how transit is represented in the MPO's metropolitan planning process and include directly or by reference in the SBCAG Bylaws.

SBCAG and the California Department of Transportation should document the SBCAG/State's transit performance management coordination, including the deposition of transit data, targets, and reports.

Schedule for Process Improvement: The recommendations should be completed by December 31, 2021.

Proposed FHWA/FTA Technical Assistance: If Technical Assistance is needed, SBCAG should request FHWA/FTA assistance by December 31, 2020.

4.4 Transportation Improvement Program

4.4.1 Regulatory Basis

23 U.S.C. 134(c),(h) & (j) set forth requirements for the MPO to cooperatively develop a Transportation Improvement Program (TIP). Under 23 CFR 450.326, the TIP must meet the following requirements:

- Must cover at least a four-year horizon and be updated at least every four years.
- Surface transportation projects funded under Title 23 U.S.C. or Title 49 U.S.C., except as noted in the regulations, are required to be included in the TIP.
- List project description, cost, funding source, and identification of the agency responsible for carrying out each project.
- Projects need to be consistent with the adopted MTP.
- Must be fiscally constrained.
- The MPO must provide all interested parties with a reasonable opportunity to comment on the proposed TIP.

4.4.2 Current Status

SBCAG adopted the MPO's current transportation improvement program (FTIP) on September 20, 2018, for fiscal years 2019 through 2022. The MPO developed the FTIP with the California Department of Transportation, local government agencies, local operators of public transportation, and the local Air Pollution Control District. As stipulated in the SBCAG Public



Involvement Plan, interested parties were given reasonable opportunities to comment on the proposed FTIP before official MPO Policy Board adoption.

The FTIP included capital and non-capital surface transportation projects, including transit totaling approximately one billion dollars of collectively local, State, and federal funding. The FTIP provided documentation of the total projected revenues totaling enough to fund the proposed projects. Per the requirements of performance-based planning and programming discussed in the earlier section, SBCAG's FTIP included a description of the anticipated effect of the FTIP toward achieving the performance targets identified in Fast Forward 2040, linking investment priorities to those performance targets. Based on the guidance or lack thereof in 2018, SBCAG designed the FTIP in a way to ensure that, once implemented, the MPO would make progress toward achieving the established performance targets.

All regionally significant projects proposed for the metropolitan planning area were included in the FTIP. Each FTIP project included a sufficient description, estimated cost, the amount of Federal-aid recommended to be obligated by each fiscal year, and agencies responsible, and were consistent with Fast Forward 2040.

Since the adoption of the FTIP and the State's transportation improvement program (FSTIP) Federal approval, the California Department of Transportation Asset management (PM2) team has reviewed California MPO's FTIPs, including SBCAG. The review's purpose was to assess if the FTIPs included enough information to determine the National Highway System (NHS) five federal work types for projects that would improve the California statewide pavement and bridge conditions. Based on the reviews, the PM2 team determined that the FTIPs did not provide sufficient documentation for the State to assess work types for the project proposed to address bridge and pavement conditions. As such, the Review Team encourages SBCAG to partner with the California Department of Transportation to develop strategies for documenting the work types.

MAP-21 and subsequent federal rulemaking established federal regulation that requires the development of a Transportation Asset Management Plan (TAMP) and requires that annually each State Department of Transportation demonstrates progress on implementation. To demonstrate this progress, the FHWA requested that all transportation expenditures on pavement and bridges specific to the National Highway System (NHS) be reported in accordance with the Code of Federal Regulations 23 CFR 515.13.

NHS expenditures for pavement and bridges are reported by combining total State and locally-owned NHS expenditures segregated into five federal work types. California's five working types are:

1. Initial (New) Construction
2. Maintenance
3. Preservation



4. Rehabilitation
5. Reconstruction

FHWA 2 & 4-Year Targets

- Requirements set forth in 23 CFR 490
- 1st 4-year Performance Period (Jan 2018 – Dec 2021)
- 2-year Mid-Performance Point
- Pavement and bridge only
- NHS inventory
- Targets are fiscally constrained
- Caltrans to set 2 & 4-yr targets by May 2018

California Transportation Commission Benchmarks

- Each year over the 10-year TAMP period
- Required for primary asset classes – pavement, bridge, drainage, TMS
- SHS inventory
- Updated every 2 years
- Approved March 2018

4.4.3 Findings

SBCAG's Transportation Improvement Program complies with 23 U.S.C. 134(c),(h) & (j) and 23 CFR 450.326.

Recommendations: SBCAG and the California Department of Transportation should coordinate to develop strategies for documenting PM2 work types.

Schedule for Process Improvement: PM2 work type strategies should be developed and implemented by December 31, 2022.

Proposed FHWA/FTA Technical Assistance: If Technical Assistance is needed, SBCAG should request FHWA/FTA assistance by December 31, 2020.

4.5 Public Participation

4.5.1 Regulatory Basis

Sections 134(i)(5), 134(j)(1)(B) of Title 23 and Section 5303(i)(5) and 5303(j)(1)(B) of Title 49, require a Metropolitan Planning Organization (MPO) to provide adequate opportunity for the public to participate in and comment on the products and planning processes of the MPO. The requirements for public involvement are detailed in 23 CFR 450.316(a) and (b), which require the MPO to develop and use a documented participation plan that includes explicit procedures and strategies to include the public and other interested parties in the transportation planning process.

Specific requirements include giving adequate and timely notice of opportunities to participate in or comment on transportation issues and processes, employing visualization techniques to



describe metropolitan transportation plans and TIPs, making public information readily available in electronically accessible formats and means such as the world wide web, holding public meetings at convenient and accessible locations and times, demonstrating explicit consideration and response to public input, and a periodically reviewing of the effectiveness of the participation plan.

4.5.2 Current Status

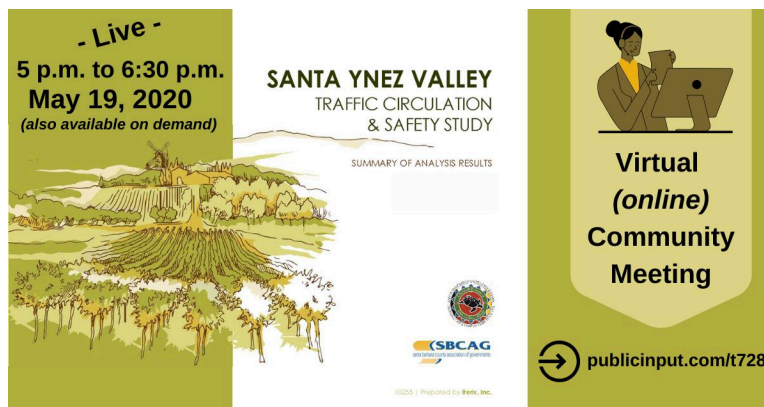
The MPO's Policy Board approved SBCAG's public participation plan in 2015. This plan documents the SBCAG process for providing individuals, affected public agencies, and other interest parties with reasonable opportunities to be involved in the metropolitan planning process. The 2015 plan was developed in consultation with interest parties. Included in the 2015 plan are descriptions of the public participation procedures, strategies, and desired outcome for:

- Providing adequate public notice of public participation activities and time for public review and comment at key decision points, including a reasonable opportunity to comment on the proposed metropolitan transportation plan and the TIP;
- Providing timely notice and reasonable access to information about transportation issues and processes;
- Employing visualization techniques to describe metropolitan transportation plans and TIPs;
- Making public information (technical information and meeting notices) available in electronically accessible formats and means, such as the World Wide Web;
- Holding any public meetings at convenient and accessible locations and times;
- Demonstrating explicit consideration and response to public input received during the development of the metropolitan transportation plan and the TIP;
- Seeking out and considering the needs of those traditionally underserved by existing transportation systems, such as low-income and minority households, who may face challenges accessing employment and other services;
- Providing an additional opportunity for public comment, if the final metropolitan transportation plan or TIP differs significantly from the version that was made available for public comment by the MPO and raises new material issues that interested parties could not reasonably have foreseen from the public involvement efforts;
- Coordinating with the statewide transportation planning public involvement and consultation processes under subpart B of this part; and
- Periodically reviewing the effectiveness of the procedures and strategies contained in the participation plan to ensure a full and open participation process.



SBCAG's public participation strategies have been implemented in the metropolitan planning process. One example of this is the "One Room, Many Voices Workshop: Planning for Cross-Language Communication." The One Room, Many Voices workshop was offered as part of the Sustainable Communities Strategy public participation and engagement contract with the Community Environmental Council. The workshop explores best practices for working with interpreters and translators to plan inclusive and effective multilingual events. The workshop was facilitated by Just Communities through the Language Justice Initiative. This workshop promoted best practices for creating inclusive multilingual spaces where all languages are valued equally. It was part of educating around language access that ensures that everyone's voices are genuinely heard and included in community change. Attendees that were invited and participated included many City and County partners, Air Pollution Control District, Transit Agencies, and Caltrans.

SBCAG is currently in the process of evaluating the MPO's public participation process, including tribal consultation. The evaluation will be used to improve the process and document the tribal consultation process in Santa Barbara County. Because the metropolitan planning area includes tribal land, the MPO shall appropriately involve the Indian Tribal government and or their designee in the development and or documenting of the tribal consultation process. The approved tribal consultation process, regardless if it is a standalone plan or incorporated into the updated public participation plan, should include concurrence from the Indian Tribal government.



4.5.3 Findings

SBCAG's Public Participation Plan complies with Sections 134(i)(5), 134(j)(1)(B) of Title 23, Section 5303(i)(5) and 5303(j)(1)(B) of Title 49, and 23 CFR 450.316(a) and (b).

Recommendations: Continue to coordinate with the local Indian Tribal Government in evaluating, improving, and document the tribal consultation process.

Schedule for Process Improvement: SBCAG's public participation plan and tribal consultation process should be evaluated and updated by September 1, 2023.



Proposed FHWA/FTA Technical Assistance: If Technical Assistance is needed, SBCAG should request FHWA/FTA assistance by December 31, 2020.

4.6 Consultation and Coordination

4.6.1 Regulatory Basis

23 U.S.C. 134(g) & (i)(5)-(6) and 23 CFR 450.316(b-e) set forth requirements for consultation in developing the MTP and TIP. Consultation is also addressed specifically in connection with the MTP in 23 CFR 450.324(g)(1-2) and in 23 CFR 450.324(f)(10) related to environmental mitigation.

In developing the MTP and TIP, the MPO shall, to the extent practicable, develop a documented process that outlines roles, responsibilities, and key decision points for consulting with other governments and agencies as described below:

- Agencies and officials responsible for other planning activities (State, local, economic development, environmental protection, airport operations, or freight)
- Other providers of transportation services
- Indian Tribal Government(s)
- Federal land management agencies

4.6.2 Current Status

SBCAG consult and coordinate extensively with regional partners in every aspect of the metropolitan planning process. The partners include both city and county governments, Caltrans, Air Pollution District, and many more organizations affected by the metropolitan planning process. Most of the consultation and coordination are documented using memorandums of understanding or agreements, Board resolutions, and meeting notes and or minutes.

One example of this is the MPO's partnership with Ventura County Transportation Commission (VCTC). SBCAG and VCTC has coordinated for years. In-fact, their relationship has yielding coordination of funding to deliver projects, programs, and services. An example of this is the MPO and VCTC's long-term partnership to fund and operate the Coastal Express bus service connecting Ventura and Santa Barbara counties which proved to be a vital link between the two regions when U.S. 101 was shut down in January 2018.

Within days of the closure, VCTC, and SBCAG, in collaboration with Santa Barbara Metropolitan District (Santa Barbara MTD), worked together to arrange for a California Highway Patrol (CHP) escort of transit services. At the same time, the freeway continued to be closed to the public. The transit service provided first responders, teachers, medical, public safety, and other critical employees travel between their home in Ventura County to Santa Barbara. Although some



commuters traveled a five-hour trip through the Central Valley to Goleta and Santa Barbara, the transit service proved to be a reliable, daily service that was provided free-of-charge to critical employees. Ultimately, the coordination provided a vital transportation option for many employees, giving a sense of stability and support for the community and the local economy throughout the closure.

4.6.3 Findings

SBCAG's consultation and coordination process complies with 23 U.S.C. 134(g) & (i)(5)-(6), 23 CFR 450.316(b-e), 23 CFR 450.324(g)(1-2), and 23 CFR 450.324(f)(10).

Commendation: SBCAG is commended for its consultation and coordination with the MPO's many partnering organizations and agencies. Throughout the review, SBCAG demonstrated the positive impact the consultation and coordination process has had on the metropolitan planning area and adjoining areas' metropolitan planning and programming processes.

Recommendations: SBCAG should continue to improve the documentation of the tribal consultation process.

Schedule for Process Improvement: The tribal consultation process is an on-going process that is subject to change depending on the metropolitan planning and programming processes and the desires of the tribal community. As such, when it is appropriate, the process should be evaluated and updated.

Proposed FHWA/FTA Technical Assistance: If Technical Assistance is needed, SBCAG should request FHWA/FTA assistance by December 31, 2020.

4.7 Nonmotorized Planning/Livability

4.7.1 Regulatory Basis

23 U.S.C. 217(g) states that bicyclists and pedestrians shall be given due consideration in the comprehensive transportation plans developed by each MPO under 23 U.S.C. 134. Bicycle transportation facilities and pedestrian walkways shall be considered, where appropriate, in conjunction with all new construction and reconstruction of transportation facilities.

23 CFR 450.306 sets forth the requirement that the scope of the metropolitan planning process "will increase the safety for motorized and non-motorized users; increase the security of the transportation system for motorized and non-motorized users; and protect and enhance the environment, promote energy conservation, improve the quality of life.



4.7.2 Current Status

SBCAG's metropolitan planning and programming processes are multifaceted. The processes include the assessment of and strategies to improve or construct bicycle transportation facilities and pedestrians' walkways. Evidence of this is the 2015 Regional Active Transportation Plan, which was developed to enhance bicycle and pedestrian infrastructure in Santa Barbara County.

The plan's purpose was to create a regional vision for improving the bicycle and pedestrian network by integrating the bike and pedestrian planning of the region's nine-member governments. The plan was also used to advance and complement the region's planning goals, as stated in Fast Forward 2040. Caltrans and District Five, have a transportation planning process that includes an assessment of and strategies to improve or construct bicycle transportation facilities and pedestrians' walkways. District Five stretches along California's central coast and encompasses the Counties of Santa Barbara, San Luis Obispo, Monterey, San Benito, and Santa Cruz. District Five Active Transportation Plan is currently under development. The plan will focus on prioritizing bicycle and pedestrian needs on, across, and parallel to, the State Highway System throughout the California Central Coast. Both SBCAG's process and District Five's process includes coordination with each other to ensure consistency throughout the region.

The goals and strategies of these plans are implemented through the programming process. For instance, in 2018, several improvements were funding including, \$590,400 safety improvements at the intersection of Bath Street and Victoria Street and Bath Street and Sola Street. These improvements provided enhanced crosswalk features at the uncontrolled crossings adjacent to a high school. This is just one of the many projects programmed that increases the safety and security for non-motorized users, protect and enhance the built environment, promote energy consumption, and improve the quality of life. None of which would be possible without the metropolitan and transportation planning of SBCAG and District Five.

SBCAG's metropolitan planning process also considers livability. As part of the development of Fast Forward 2040, the MPO explored the region's land use and travel patterns and the demographic growth that is associated with demands on both. In response to the findings, the MPO developed a vision for how the regional partners could work together to satisfy the goals important to Santa Barbara County, the Central Coastal region, and the State of California.

4.7.3 Findings

SBCAG'S nonmotorized planning/livability process complies with 23 U.S.C. 217(g), 23 U.S.C. 134, and 23 CFR 450.306.

Commendation: Both SBCAG and District Five are commended for their 3Cs approach to nonmotorized planning. Both have demonstrated a dedication to improving the livability of



Santa Barbara County through comprehensive strategies and the leverage of local, State, and Federal-aid.



5.0 CONCLUSION AND RECOMMENDATIONS

The FHWA and FTA review found that the metropolitan transportation planning process conducted in the Santa Barbara urbanized area meets Federal planning requirements as follows.

5.1 Commendations

The following are noteworthy practices that SBCAG is doing well in the transportation planning process:

1. SBCAG is commended for its consultation and coordination with the MPO's many partnering organizations and agencies. Throughout the review, SBCAG demonstrated the positive impact the consultation and coordination process has had on the metropolitan planning area and adjoining areas' metropolitan planning and programming processes.
2. Both SBCAG and District Five are commended for their 3Cs approach to nonmotorized planning. Both have demonstrated a dedication to improving the livability of Santa Barbara County through comprehensive strategies and the leverage of local, State, and Federal-aid.

5.2 Corrective Actions

The following are corrective actions that SBCAG must take to comply with Federal Regulations:

The Review Team would like to congratulate SBCAG for not receiving any Corrective Action findings during this review period.

5.3 Recommendations

The following are recommendations that would improve the transportation planning process:

1. SBCAG should include a discussion of the MPO's transportation planning priorities in the fiscal years 2021/2022 OWP.
2. SBCAG should document how transit is represented in the MPO's metropolitan planning process and include directly or by reference in the SBCAG Bylaws.
3. SBCAG and the California Department of Transportation should document the SBCAG/State's transit performance management coordination, including the deposition of transit data, targets, and reports.



4. SBCAG and the California Department of Transportation should coordinate to develop strategies for documenting PM2 work types.
5. Continue to coordinate with the local Indian Tribal Government in evaluating, improving, and document the tribal consultation process.
6. SBCAG should continue to improve the documentation of the tribal consultation process.

5.3 Training/Technical Assistance

The following training and technical assistance is recommended to assist the MPO with improvements to the transportation planning process:

At this time, the Review Team does not recommend any training or technical assistance. However, If SBCAG would like training and or technical assistance, SBCAG should make the request by contacting the MPO's FHWA California Division and FTA Region Nine Liaisons.



APPENDIX A - PARTICIPANTS

The following individuals were involved in the Santa Barbara urbanized area virtual on-site review:

1. Johnson, Antonio, FHWA California Division
2. Tellis, Ray, FTA Region Nine
3. Matley, Ted, FTA Region Nine
4. Lucinda Eagle, FTA Region Nine
5. Corniel, Anna, FTA HQ
6. Hana Mengsteab, Caltrans
7. Jacqueline Kahrs, Caltrans
8. Jelani Young, Caltrans
9. Terri Persons Caltrans, Caltrans
10. Muhaned Aljabiry, Caltrans
11. Brian Travis, Caltrans
12. Jennifer Calate, Caltrans
13. Albert Soares, Caltrans
14. Lea Simpson, Caltrans
15. Erin Thomson, Caltrans
16. Martha Gibbs, SBCAG
17. Dave Troutner, SBCAG
18. Michael Becker, SBCAG
19. Sarkes Khachek, SBCAG
20. Marjie Kirn, SBCAG
21. Lauren Bianchi Klemann, SBCAG
22. Scott Spaulding, SBCAG
23. Terry Contreras, SBCAG



APPENDIX B - STATUS OF FINDINGS FROM LAST REVIEW

One of the priorities of each certification review is assessing how well the planning partners in the area have addressed corrective actions and recommendations from the previous certification review. This section identifies the corrective actions and recommendations from the previous certification and summarizes discussions of how they have been addressed.

Recommendation 1: Remove deleted and completed projects from the FTIP in a reasonable timeframe to reflect accurately during the FTIP amendment update process.

Disposition: Completed

Recommendation 2: Update TDM base year data.

Disposition: Completed

Recommendation 3: Update procurement procedures.

Disposition: Completed

Recommendation 4: Participate in transportation planning and programming training.

Disposition: On-going

Recommendation 5: Update outdated planning agreements

Disposition: Completed



APPENDIX C – PUBLIC COMMENTS

There were two comments received from the public. Both were unrelated to the metropolitan transportation planning process.



APPENDIX D - LIST OF ACRONYMS

ADA: Americans with Disabilities Act
AMPO: Association of Metropolitan Planning Organizations
CAA: Clean Air Act
CFR: Code of Federal Regulations
CMP: Congestion Management Process
CO: Carbon Monoxide
DOT: Department of Transportation
EJ: Environmental Justice
FAST: Fixing America's Surface Transportation Act
FHWA: Federal Highway Administration
FTA: Federal Transit Administration
FY: Fiscal Year
HSIP: Highway Safety Improvement Program
ITS: Intelligent Transportation Systems
LEP: Limited-English-Proficiency
M&O: Management and Operations
MAP-21: Moving Ahead for Progress in the 21st Century
MPA: Metropolitan Planning Area
MPO: Metropolitan Planning Organization
MTP: Metropolitan Transportation Plan
NAAQS: National Ambient Air Quality Standards
NO₂: Nitrogen Dioxide
O₃: Ozone
PM₁₀ and PM_{2.5}: Particulate Matter
SHSP: Strategic Highway Safety Plan
STIP: State Transportation Improvement Program
TDM: Travel Demand Management
TIP: Transportation Improvement Program
TMA: Transportation Management Area
U.S.C.: United States Code
UPWP: Unified Planning Work Program
USDOT: United States Department of Transportation





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