

California Transportation Commission
Application for Toll Facility

STATE ROUTE 37 TOLL FACILITY
Sears Point to Mare Island Improvement Project

SUBMITTED BY:

BAY AREA INFRASTRUCTURE FINANCING AUTHORITY



IN PARTNERSHIP WITH:

CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS) DISTRICT 4



PREPARED FOR:

CALIFORNIA TRANSPORTATION COMMISSION



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ACRONYMS AND ABBREVIATIONS

AB.....	California Assembly Bill
ABAG.....	Association of Bay Area Governments
AET.....	All-Electronic Tolling
BAIFA.....	Bay Area Infrastructure Financing Authority
BATA.....	Bay Area Toll Authority
Caltrans.....	California Department of Transportation
CAPTI.....	Climate Action Plan for Transportation Infrastructure
CCTV.....	Closed Circuit Television
CEQA.....	California Environmental Quality Act
CHP.....	California Highway Patrol
CMCP.....	Comprehensive Multimodal Corridor Plan
CM/GC.....	Construction Manager/General Contractor
CTC.....	California Transportation Commission
DED.....	Draft Environmental Document
DMV.....	Department of Motor Vehicles
DPR.....	Draft Project Report
EIR.....	Environmental Impact Report
EA.....	Environmental Assessment
ESC.....	Executive Steering Committee
ETC.....	Electronic Toll Collection
FHWA.....	Federal Highway Administration
FSP.....	Freeway Service Patrol
GHG.....	Greenhouse Gas
HOV.....	High Occupancy Vehicle
ITS.....	Intelligent Transportation Systems
LPR.....	License Plate Recognition
MOE.....	Measures of Effectiveness
MOU.....	Memorandum of Understanding
NEPA.....	National Environmental Policy Act
NVTA.....	Napa Valley Transportation Authority
ORT.....	Open Road Tolling
PA/ED.....	Project Approval / Environmental Document
PBA.....	Plan Bay Area
PDT.....	Project Development Team
PLT.....	Program Leadership Team
PS&E.....	Plans, Specifications, and Estimate
PSR/PDS.....	Project Study Report / Project Development Support
RCSC.....	Regional Customer Service Center
RIAG.....	Regional Infrastructure Accelerator Grant
RTP.....	Regional Transportation Plan
R/W.....	Right-of-Way
SCS.....	Sustainable Communities Strategy
SCCP.....	Solutions for Congested Corridors Program
SCTA.....	Sonoma County Transportation Authority
SEA.....	Systems Engineering Analysis

SLR.....	Sea Level Rise
SMART	Sonoma-Marín Area Rail Transit
SolTrans	Solano County Transit
SOV.....	Single Occupancy Vehicle
STA	Solano Transportation Authority
TAM	Transportation Agency of Marin
TIFIA	Transportation Infrastructure Finance and Innovation Act
TIP.....	Transportation Improvement Plan
TSI.....	Toll System Integrator
TOAR	Traffic Operations Analysis Report
TOA	Traffic Operations Systems
USDOT	United States Department of Transportation
VHD	Vehicle Hours of Delay
VMS.....	Variable Message Sign
VMT.....	Vehicle Miles Traveled

Part A. Minimum Eligibility Criteria

The Commission must find, at a minimum, that the criteria identified in AB 194 are met.

Therefore, every application should clearly discuss how it meets the following minimum criteria:

1. *Demonstration of Improvement in Corridor Performance*

A demonstration that the proposed toll facility will improve the corridor's performance by, for example, increasing passenger throughput or reducing delays for freight shipments and travelers, especially those traveling by carpool, vanpool, and transit.

The Resilient State Route (SR) 37 Corridor – Sears Point to Mare Island Improvement Project (Project) will improve traffic flow, reduce peak period travel times, encourage increased vehicle occupancy, support multimodal travel, and improve safety on the SR 37 Corridor by addressing the existing bottlenecks and providing a High Occupancy Vehicle (HOV) lane and toll lane in each direction from just west of SR 121 to the Mare Island interchange.

Corridor performance improvements in the year 2045 resulting from the Project are expected to achieve the following in comparison to the no-build option:

- Improved traffic flow: Increased total peak period vehicle throughput of 55 percent for HOVs and 25 percent for single occupancy vehicles (SOVs) in the eastbound peak, and 102 percent for HOVs and 31 percent for SOVs in the westbound peak.
- Reduced peak-period travel time: Improvement of up to 256 minutes in the eastbound direction, and 173 minutes in the westbound direction.
- Increased average speeds of 43 miles per hour compared to 15 miles per hour in the westbound direction, and 40 miles per hour compared to 18 miles per hour in the westbound direction.
- Reduced freight shipment delays resulting from increased throughput, speed, and reliability.
- Decreased vehicle hours of delay (VHD) of 16,604 hours in the eastbound direction and 22,553 hours in the westbound direction.
- Reduced Greenhouse gas (GHG) emissions through improved travel time and the introduction of bus transit service and carpooling on the corridor.
- Reduced vehicle miles traveled (VMT) and fewer vehicle trips as a result of tolling, while also providing bus transit options and encouraging carpooling and ride sharing.

Additional information on corridor performance is detailed in Part B.3.

2. *Proposed Toll Facility in Conforming Regional Transportation Plan*

A requirement that the proposed toll facility is contained in the constrained portion of a conforming regional transportation plan prepared pursuant to Section 65080 of the Government Code.

Plan Bay Area (PBA) 2050, the Regional Transportation Plan (RTP) and Sustainable Communities Strategy (SCS) for the nine-county San Francisco Bay Area, was adopted in October 2021. The Project is listed in PBA 2050's fiscally constrained transportation project list under RTP ID# 21-T06-035 with the title, "Corridor & Interchange Improvements | SR 37 | Multiple." The scope is listed as follows: "this program includes funding to implement new HOV lanes between Mare Island and Sears Point and toll infrastructure to collect tolls charged to westbound vehicles and express bus service

between Novato and Vallejo (30-minute peak headways) and other transportation demand management strategies, including Park and Ride facilities and bicycle and pedestrian enhancements.”

The Project is included in the 2030, 2040, and 2050 analysis years of the 2023 Transportation Improvement Program (TIP) and Transportation-Air Quality Conformity Analysis for Plan Bay Area 2050. MTC approved the 2023 Transportation Improvement Program (TIP) and Transportation-Air Quality Conformity Analysis for Plan Bay Area 2050 on September 28, 2022. The Project is included in the 2023 TIP as ID VAR210004 and in the California Transportation Improvement Program System (CTIPS) database under the CTIPS ID 20600006799.

3. Cooperation between the Regional Transportation Agency and Caltrans

For projects involving the state highway system, evidence of cooperation between the applicable regional transportation agency and Caltrans. Examples of acceptable evidence of cooperation could be in the form of a completed cooperative agreement or a signed letter between the parties to demonstrate that the parties are working cooperatively on the development of the toll facility.

The SR 37 Corridor has been a concern for the State and the region for many years because of increasing congestion, traffic volumes, and climate change impacts which cause seasonal inundation. In 2015, the Sonoma County Transportation Agency (SCTA), the Transportation Agency of Marin (TAM), the Napa Valley Transportation Authority (NVTA), and the Solano Transportation Agency (STA) formed a partnership through a Memorandum of Understanding (MOU) to develop an expedited funding, financing, and project implementation strategy for the reconstruction of SR 37 to withstand rising seas and storm surges while improving mobility and safety along the route. In February 2019, the partnership was expanded by MOU to include MTC and Caltrans, and again in March 2023 to include the Bay Area Infrastructure Financing Authority (BAIFA) and Sonoma-Marín Area Rail Transit (SMART). To date, SMART has participated in project and program meetings as a public participant or stakeholder. The integration of SMART into the Resilient SR 37 Program as a partner will facilitate better coordination, resulting in multi-modal corridor planning efforts that are more comprehensive. This will allow the agencies to align sea level resiliency planning and project delivery in a way that will expedite the delivery of safe and reliable transportation along SR 37 and optimize ecological restoration of the historic San Pablo Baylands. The MOU is included as Attachment 1.

This partnership has led to formation of a Policy Committee consisting of twelve elected officials from the North Bay. The Policy Committee has guided numerous corridor studies, plans, and strategies that include bus and rail transit feasibility, water transit, public access, transportation demand management, highway configuration to address both congestion and sea level rise (SLR), funding sources, tolling legislation, environmental documents, and near- to long-term restoration and enhancement projects in the San Pablo Baylands.

The Project has the full support of Caltrans District 4. A Project Study Report-Project Development Support (PSR-PDS) document was developed and subsequently approved by Caltrans on December 28, 2018, and a formal cooperative agreement (Attachment 2) between the partner agency SCTA and Caltrans was executed on September 24, 2019, to facilitate the preparation of the Project Approval and Environmental Document (PA/ED) and the Plans, Specifications, and Estimate (PS&E). The partner agencies and Caltrans have been working cooperatively to prepare the PA/ED: MTC led

the preparation of the Project Report, and Caltrans served as the Lead Agency for the preparation of the Final Environmental Impact Report/Environmental Assessment. The Project Report and the Final Environmental Impact Report/Environmental Assessment with Finding of No Significant Impact were approved by Caltrans on February 9, 2023. Caltrans and the Project partners are currently working together to amend the existing SCTA and Caltrans cooperative agreement to remove the PS&E phase and establish a new cooperative agreement between MTC and Caltrans for the PS&E and right-of-way (R/W) phases of the Project.

In addition, Caltrans has shown its support by being a co-applicant with MTC in the third cycle of the SB1 Solutions for Congested Corridors Program (SCCP), in its involvement in the development of the Project, in the Resilient SR 37 Corridor partnership with MTC and the North Bay transportation agencies, and with the letter of support provided for this application (Attachment 3).

4. *Requirements of Streets and Highways Code Section 149.7*

A discussion of how the proposed toll facility meets the requirements of Streets and Highways Code Section 149.7.

This tolling application is compliant with Streets and Highways Code Section 149.7, and includes all elements required in the California Transportation Plan Guidelines for Toll Facility Project Applications as described in Parts B.1.1 through B.1.6.

5. *Project Initiation Document*

A complete project initiation document for the proposed toll facility.

A PSR-PDS was completed by MTC and approved by Caltrans on December 28, 2018, which serves as the project initiation document for the Resilient SR 37 Corridor – Sears Point to Mare Island Improvement Project. A copy is included as Attachment 4.

The PSR-PDS evaluated two near-term and two long-term improvements on SR 37 from 0.25 mile west of the SR 121 intersection to 0.25 mile east of the Mare Island interchange to address traffic congestion and the threat of SLR. The near-term alternatives proposed limited improvements at the existing roadway elevation and within the existing roadway footprint to provide additional capacity during peak periods to improve traffic flow while minimizing environmental impacts. The long-term alternatives would serve to further improve traffic flow and provide multimodal facilities, resiliency of SR 37 to SLR and flooding, and ecologic and hydrologic enhancements to facilitate adaptation of the corridor to SLR.

After the completion of the PID phase of the project, the PA/ED phase of the Project was initiated in 2019 and four near-term build alternatives were studied:

- Alternative 1: Three-Lane Contra-Flow with Movable Median Barrier and HOV Lane in the peak direction (westbound a.m., eastbound p.m.)
- Alternative 2: Convert Existing Outside Shoulders to HOV Lane During Peak Periods (Part-Time Use Lane)
- Alternative 3A: Widen to Four Full-Time Lanes, with 4-Foot Shoulders, No Widening at Sonoma Creek Bridge, Begin Eastbound HOV Lane on the Left Side West of SR 121
- Alternative 3B (Preferred): Widen to Four Full-Time Lanes with 8-Foot Shoulders, Begin Eastbound HOV Lane on the Left Side West of SR 121, and Widen Sonoma Creek Bridge

The Project Development Team (PDT) evaluated the four near-term alternatives and identified Alternative 3B as the preferred alternative during PA/ED. Alternative 3B would widen to SR 37 to four full-time lanes with 8-foot outside shoulders, begin the eastbound HOV lane on the left side west of SR 121, and widen Sonoma and Tolay Creek Bridges.

6. Complete Funding Plan

A complete funding plan for development and operation of the toll facility.

MTC has prepared a complete funding plan for the design and construction of the Project, which includes a mix of federal, state, regional, and local funding sources and toll-revenue backed obligations. The funding plan is detailed further in Part B.5.

Part B. Supporting Application Information

In evaluating applications, the Commission will consider all provided information to determine whether to approve the proposed toll facility. Accordingly, in conjunction with responding to the statutorily defined minimum criteria, applications should address the following questions whenever applicable.

1. Compliance with State Law

Has the applicant demonstrated that the proposed project is consistent with the established standards, requirements, and limitations that apply to the toll facilities in Section 149.7 of the Streets and Highways Code as well as all other applicable sections of state law?

BAIFA is applying to the Commission to develop and operate a toll facility on SR 37 from Sears Point to Mare Island in accordance with California Streets and Highways Code Section 149.7.

BAIFA was established in September 2006 as a joint powers authority (JPA) between the Bay Area Toll Authority (BATA) and MTC for the financing of the State contribution to the toll bridge seismic retrofit program and other potential transportation improvement projects. BAIFA is the infrastructure financing arm of MTC, as MTC cannot issue debt. Between 2011 and April 2013, administration of the Regional Express Lanes was added to BAIFA's authority. With that action, BAIFA took on responsibility for a range of policy decisions including project sequencing; toll rates and discounts; violation penalties; and actions necessary to finance the Regional Express Lanes Network. BAIFA also provides operational services for other express lanes in the Bay Area through agreements with the Alameda County Transportation Commission and the San Mateo County Express Lanes Joint Powers Authority.

MTC is the regional transportation planning agency for the San Francisco Bay area pursuant to California Government Code section 66500 et seq., and the BATA was created pursuant to Section 30950 of the Streets and Highways Code of the State of California and is a "public agency" within the meaning of Section 6500 of the Joint Powers Act.

As a JPA, BAIFA exercises the powers of its member agencies, MTC and BATA, as authorized by California Government Code Section 6500 et seq. and satisfies the requirements of Sections 149.7 (a) and 149.7(k)(4) of the California Streets and Highways Code.

Section 149.7(c) requires that guidelines established by the Commission for approval include the following, each of which is addressed in this application as indicated.

1. *A demonstration that the proposed toll facility will improve the corridor's performance by, for example, increasing passenger throughput or reducing delays for freight shipments and travelers, especially those traveling by carpool, vanpool, and transit.*

The Project will improve traffic flow, reduce peak period travel times, encourage increased vehicle occupancy, provide equity and resilience benefits, support multimodal travel, and improve safety on the SR 37 Corridor. Further details can be found in Part A.1 and B.3.

2. *A requirement that the proposed toll facility is contained in the constrained portion of a conforming RTP prepared pursuant to Section 65080 of the Government Code.*

The Project is included in the MTC Plan Bay Area 2050 (Regional Transportation Plan, RTP ID# 21-T06-035).

3. *Evidence of cooperation between the applicable regional transportation agency and the Caltrans.*

This topic is covered in Part A.3.

4. *A discussion of how the proposed toll facility meets the requirements of this section (under Streets and Highways Code Section 149.7).*

Adherence to these requirements is described throughout this document and within this section.

5. *A requirement that a Project initiation document has been completed for the proposed toll facility.*

A project initiation document was completed and approved by Caltrans on December 28, 2018. A copy is included as Attachment 4.

6. *A demonstration that a complete funding plan has been prepared.*

MTC has developed a funding plan as presented in Part 5.A.

Various elements of Section 149.7 provide additional requirements pertinent to the Project:

7. *That the regional transportation agency shall enter into an agreement with the California Highway Patrol (CHP) for enforcement services related to the toll facility and reimbursement to CHP for its costs.*

BAIFA intends to enter into an agreement with CHP for enforcement services related to the toll facility. BAIFA operates express lanes in the region and has agreement with CHP for enforcement on those express lanes. BAIFA plans to use this agreement as the basis for an enforcement agreement.

8. *That the regional transportation agency shall enter into an agreement with Caltrans addressing "all matters related to design, construction, maintenance, and operation*

of the toll facility, including, but not limited to, liability, financing, repair, rehabilitation, and reconstruction” and reimbursement of Caltrans expenses by the regional transportation agency.

Caltrans and SCTA have entered into a Cooperative Agreement for the environmental and design phases of the Project. Caltrans and the Project partners are currently working together to amend the existing SCTA and Caltrans cooperative agreement to remove the PS&E phase and establish a new cooperative agreement between MTC and Caltrans for the PS&E and R/W phases of the Project.

The other items listed will be addressed in an Operations and Maintenance Agreement between BAIFA and Caltrans, which will be developed and executed before the Project is open to traffic.

9. That the sponsoring agency shall be responsible for activities related to toll collection.

BAIFA currently manages toll collection activities on the I-680 and I-880 express lanes and will be responsible for all activities related to toll collection.

10. That the revenue generated by the tolls will be used to cover debt obligations of the toll facility and “development, maintenance, repair, rehabilitation, improvement, reconstruction, administration, and operation of the toll facility” and a reserve fund with all remaining funds used in the corridor pursuant to an expenditure plan developed by the sponsoring agency.

BAIFA is committed to managing the revenue generated by the tolls in accordance with the requirements of Streets and Highways Code Section 149.7 and in a manner consistent with BAIFA’s accepted toll revenue policies, roles and responsibilities, reserve funding, and the expenditure plan to be adopted by BAIFA.

11. That “[f]or any project under this section involving the conversion of an existing high-occupancy vehicle lane to a high-occupancy toll lane, the sponsoring agency shall demonstrate that the project will, at a minimum, result in expanded efficiency of the corridor in terms of travel time reliability, passenger throughput, or other efficiency benefit.”

This requirement is not applicable, as an existing high-occupancy vehicle lane will not be converted to a high-occupancy toll lane.

12. That the sponsoring agency will provide information to the Commission or Legislative Analyst upon request.

BAIFA will provide information as requested by the Commission or Legislative Analyst.

13. That a regional transportation agency may issue bonds to finance construction and construction-related expenditures but that the bond must not pledge the full faith and credit of the State of California.

The construction of the current facility is planned to be financed through a combination of federal, state, and regional funds, and toll revenue backed bonds.

14. That a regional transportation agency will consult with local transportation authorities and congestion management agencies whose jurisdictions include the toll facility.

MTC continues to closely consult with the local transportation authorities and congestion management agencies along the SR 37 Corridor regarding this Project and the Resilient SR 37 Program.

Improvements to SR 37, including this Project, are developed and delivered in partnership with MTC, Caltrans, and the partner transportation agencies of STA, SCTA, TAM, NVTA, and SMART.

Over the last seven years, MTC and its partners have cooperated to plan for and implement SR 37 Corridor improvements to address congestion, equity, SLR adaptation, multimodal transportation, equity, ecology, and public access.

Clean Air Vehicle Requirements

Sections 21655.9 and 5205.5 of the California Vehicle Code provide for use of exclusive or preferential HOV lanes to vehicles displaying stickers issued by the Department of Motor Vehicles for vehicles meeting specified low and zero emissions standard regardless of vehicle occupancy. Both Sections are to be repealed as of September 30, 2025, by their own provisions. Because the Project is scheduled to open to traffic in the summer of 2027, the referenced California Vehicle Code sections would no longer be applicable: single occupant, low and zero emissions standard vehicles would not be permitted in the HOV lane.

Privacy of Personal Information

Consistent with the existing practices and procedures for express lanes operated by BAIFA, BAIFA will, and will require its contractors to, process toll transactions during operations on the SR 37 Toll Facility in compliance with applicable state and federal statutes related to the protection of personally identifiable information.

2. *System Compatibility*

If on the state system, has the applicant demonstrated that the project is consistent with State Highway System requirements? Does this project propose improvements that are compatible with the present and planned transportation system? Does the project provide continuity with existing and planned state and local facilities?

The Project is consistent with State Highway System requirements and is documented in the [State Route 37 Comprehensive Multimodal Corridor Plan](#) (CMCP), which was developed with MTC and its partners and is consistent with the requirements of the California Transportation Commission's CMCP Guidelines and addresses congestion reduction, comprehensiveness, collaboration, regional plan consistency, and evaluation criteria.

The SR 37 CMCP was developed in alignment with the goals, strategies, and objectives outlined in Caltrans Strategic Management Plan 2020-2024, the California Transportation Plan 2050, and the Climate Action Plan for Transportation Infrastructure (CAPTI). It also follows the corridor planning process described in Caltrans Corridor Planning Process Guide, adopted in 2020.

The SR 37 CMCP establishes goals and performance metrics consistent with PBA 2050. The CMCP includes an overview of the corridor, demographics and land use, major traffic generators, Native American Tribal coordination, public outreach, broadband needs, and environmental issues. The CMCP describes the multimodal transportation system, such as rail and bus transit services, park-and-ride facilities, private shuttle services, and bicycle and pedestrian facilities. It evaluates the existing conditions of the freeway and projects future conditions based on the regional travel-demand model. The CMCP proposes a variety of strategies/projects to address the needs, deficiencies, and gaps in the SR 37 Corridor.

The SR 37 CMCP incorporates an integrated approach for managing congestion, improving safety and public access, addressing SLR, and preserving and protecting surrounding ecosystems. Key CMCP multi-modal strategies to be implemented by this Project include the addition of HOV lanes and the development of transit services, which will increase throughput, velocity, and reliability for commuters, freight operators, and other motorized users.

The Resilient SR 37 Corridor – Sears Point to Mare Island Improvement Project is discussed throughout the CMCP. The Project has been determined by partner agencies as a priority project. The Project is in Chapter 7 “Recommended Strategies of the CMCP” and rated the highest of CMCP goals.

The Project also provides continuity with PBA 2050, the RTP and SCS for the nine-county San Francisco Bay Area that was developed by MTC and the Association of Bay Area Governments (ABAG). PBA 2050 strongly supports projects and programs such as this Project, which restores and improves the existing highway system, improves the quality and availability of local bus service, supports community-led transportation enhancements, and incorporates an integrated approach to manage congestion. PBA 2050 includes a suite of long-term solutions to the region’s congestion challenges—including road pricing, transit-supportive land use, and transit improvements—that have all been shown to succeed across a variety of future conditions. The Project is included in PBA 2050’s Map 4-1 “Highway and Pricing Investments” as a new toll corridor and in Map 4-4 “Express Bus Investments” as a new Express Bus route. The Project also improves safety and public access, addresses SLR, and preserves and protects surrounding ecosystems. The PBA 2050 encourages multi-modal transportation planning to meet the needs of the 2050 projected population and employment while limiting VMT and achieving greenhouse gas-reduction targets. This Project is included in PBA 2050 as “RTP ID# 21-T06-035.”

Plan Bay Area 2050 documents are available at <https://www.planbayarea.org/plan-bay-area-2050>.

3. Corridor Improvement

AB 194 specified the Legislature's intent that highway tolling should be employed for the purpose of optimizing the performance of the transportation system on a transportation corridor and should not be employed strictly as a revenue generating facility. Has the applicant provided compelling evidence that demonstrates that the proposed toll facility will significantly improve the corridor's performance?

The proposed toll facility will significantly improve the SR 37 Corridor's performance by reconfiguring the existing roadway to provide an HOV lane and a tolled lane in each direction; prioritizing transit and other HOV solutions; and providing equity and climate change resiliency benefits. The Project will reduce travel times, increase vehicle occupancy, reduce VMT, and improve traffic flow and safety, while minimizing environmental impacts.

Corridor Performance Improvements

Existing Conditions:

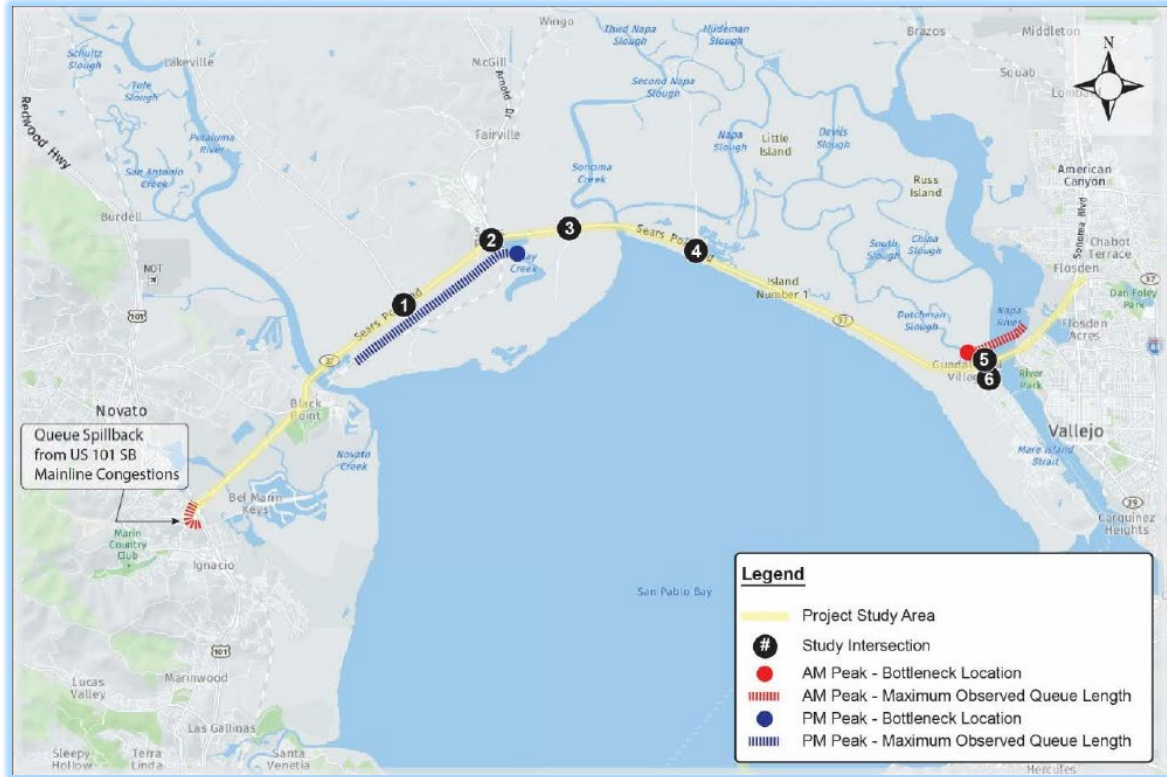
The 21-mile-long SR 37 Corridor follows the northern shore of San Pablo Bay, linking US 101 in Novato, Marin County, with I-80 in Vallejo, Solano County. The western section of the corridor from US 101 to SR 121 is a four-lane expressway, and the eastern section from Mare Island to I-80 is a four-lane freeway. The middle section, the location of this Project, is a two-lane conventional highway. Two bottlenecks form where the existing two lanes merge into one lane in both the eastbound and westbound directions:

- During the a.m. peak period, westbound is the peak direction of travel. The westbound SR 37 bottleneck is located at the mainline lane drop west of the Mare Island Interchange. The queue from this bottleneck extends about 2.1 miles to the Wilson Avenue interchange during the AM peak period.
- During the p.m. peak period, eastbound is the peak direction of travel. The eastbound SR 37 bottleneck is located east of the SR 121 intersection at the mainline lane drop, just before the at-grade railroad crossing. The queue from this bottleneck extends about 4.7 miles, which is close to the Railroad Avenue (Sears Point Road) intersection.

Motorists experience significant recurring traffic congestion and delays at the bottlenecks. In addition, within the Project limits, unsignalized intersections experience high delays during the peak periods and operate at unacceptable conditions at Noble Road. Existing conditions and forecast traffic growth indicate the SR 37 Corridor infrastructure is inadequate to meet current and future demand.

The existing congestion impacts commuters from the surrounding communities, goods movement, and the viability of transit services on the corridor. Figure 1 shows the existing bottleneck locations and queue lengths.

Figure 1 – Existing Bottleneck Locations and Queue Length

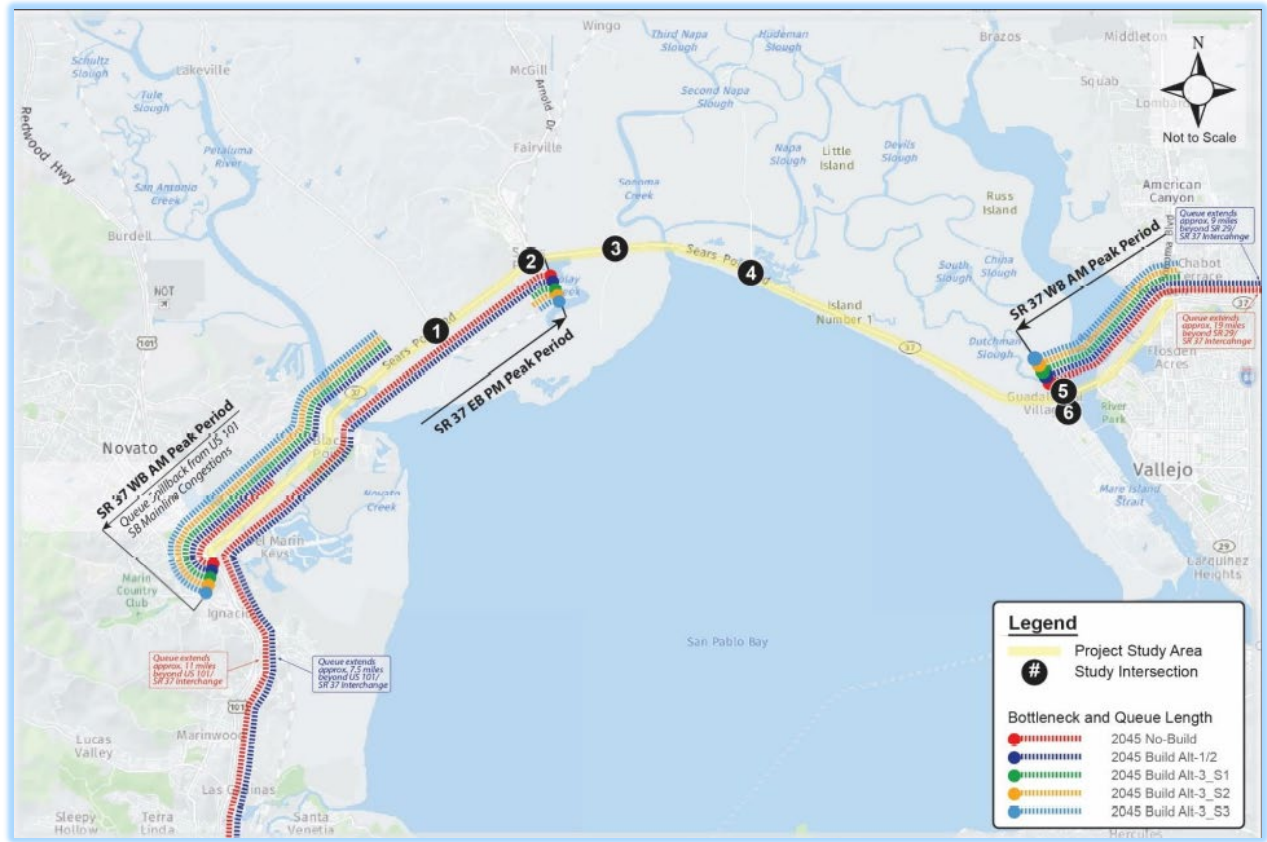


2045 Forecast Conditions

The Project Traffic Operations Analysis Report (TOAR) forecast future conditions in the year 2045. The peak directions eastbound p.m. and westbound AM operations are forecast to be much worse compared to 2025 No-Build conditions as shown in Figure 2.

- During the a.m. peak period, No-Build westbound queues extend up to 23.4 miles beyond the SR 29 interchange (outside of the project study limits) as compared to 5.9 miles with the Project.
- During the p.m. peak period, No-Build eastbound queues extend 19.4 miles beyond the US 101 interchange (outside of the project study limits) as compared to 4.3 miles with the Project.

Figure 2 – 2045 Conditions Comparison of Alternatives



The Project will improve traffic conditions along the SR 37 Corridor by eliminating the lane reductions and providing an HOV and toll lane in each direction. The implementation of bus transit services on the corridor between Vallejo and Novato would not be feasible without improved traffic flow and the addition of the HOV lane. The Project would also reduce VMT and GHG emissions on the corridor through tolling and the addition of the HOV lane.

The Project improves the operational performance of the corridor in comparison to the no-build as shown in Tables 1 and 2 which compares the Measures of Effectiveness (MOE) of the no build to build in 2045 in the directional peak period.

Table 1 – Eastbound a.m. Peak Period

Measure of Effectiveness	Units	Future No Build	Alt 3B	Change
<i>Bottleneck Location--Mainline Lane drop west of Mare Island IC</i>				
Duration of Congestion	Hours	5:00 – 11:00 a.m. (6+ Hours)	6:00 – 11:00 a.m. (5+ Hours)	1 hour decrease
Hourly Flows	vehicles per hour (vph)	1,250 (1 lane)	1,750 (1 toll / 1 HOV)	500 vph increase
Total Peak Period Throughput	vehicles (veh)	7,470 (6,450 SOV, 1,020 HOV)	10,530 (8,470 SOV, 2,060 HOV)	3,060 veh increase 2,020 SOV increase 1,040 HOV increase
Max. Queue Length	miles (mi)	23.4	5.9	17.5 mile decrease
Max. Travel Time	minutes (min)	274	101 mins SOV 97 mins HOV	173 min SOV decrease 177 min HOV decrease

Measure of Effectiveness	Units	Future No Build	Alt 3B	Change
VISSIM Network Results				
Average Delay	seconds per vehicle (sec/veh)	1,518	387	1,131 sec/veh decrease
Average Speed	miles per hour (mph)	18	40	22 mph increase
Vehicle Hours of Travel [VHT]	hours (hrs)	32,131	17,234	9,638 hrs decrease
Vehicle Hours of Delay [VHD]	hours (hrs)	22,493	5,889	16,604 hrs decrease

Table 2 – Westbound p.m. Peak Period

Measure of Effectiveness	Units	Future No Build	Alt 3B	Change
<i>Bottleneck Location—Mainline Lane drop east of SR 121</i>				
Duration of Congestion	Hours	2:00 – 9:00 p.m. (7+ Hours)	2:30 – 8:00 a.m. (5.5 Hours)	1.5 hour decrease
Hourly Flows	vehicles per hour (vph)	1,250 (1 lane)	1,750 (1 toll / 1 HOV)	500 vph increase
Total Peak Period Throughput	vehicles (veh)	8,660 (7,160 SOV, 1,500 HOV)	11,300 (8,970 SOV, 2,330HOV)	2,640 veh increase 1,810 SOV increase 830 HOV increase
Max. Queue Length	miles (mi)	19.4	4.3	15.1 mile decrease
Max. Travel Time	minutes (min)	323	58 mins SOV 42 mins HOV	265 min SOV decrease 281 min HOV decrease
VISSIM Network Results				
Average Delay	seconds per vehicle (sec/veh)	1,574	268	1,306 sec/veh decrease
Average Speed	miles per hour (mph)	15	43	28 mph increase
Vehicle Hours of Travel [VHT]	hours (hrs)	36,085	14,697	21,388 hrs decrease
Vehicle Hours of Delay [VHD]	hours (hrs)	27,249	4,696	22,553 hrs decrease

Cal B/C Performance Measures

A benefit cost analysis was recently performed for the Project using Caltrans Benefit Cost (Cal B/C) Model. The analysis estimates a Benefit-Cost Ratio of 4.11 for the Project, which indicates that the future benefits of the Project greatly exceed its cost. As a result, the Project represents a highly cost-effective investment. Performance metric results for congestion, throughput, and system reliability are presented in Table 3.

Table 3 - Congestion Reduction, Throughput, and System Reliability Performance Measures

Measure	Metric	Unit	Annual or Daily	Future Build	Future No Build	Change (Build - No Build)	Increase/Decrease
Congestion Reduction	Change in Daily Vehicle Miles Traveled (VMT)	miles	daily	1,038,462	1,128,847	(90,385)	decrease in VMT
	Person Hours of Travel Time Saved	person-hours	daily	34,299	73,891	(39,592)	decrease in Hours
	(Optional) Change in Daily Vehicle Hours of Delay	vehicle-hours	daily	26,325	57,259	(30,934)	decrease in hours

Measure	Metric	Unit	Annual or Daily	Future Build	Future No Build	Change (Build - No Build)	Increase/Decrease
	Total Person Hours of Delay per Year	person-hours	annual	12,519,198	26,970,235	(14,451,037)	decrease in delay
Throughput	Peak Period Person Throughput	person-trips	daily	123,420	151,422	(28,002)	decrease in trips
System Reliability	Peak Period Travel Time Reliability Index	index	daily	n/a	1.96	n/a	n/a

Safety

A safety analysis of the Project was conducted using historical crash data (2016 through 2018) from Caltrans' database. There were 502 recorded crashes during this three-year study period.

The Project design is expected to reduce crashes by the following measures:

- Lane and shoulder width changes will decrease all crashes by 12 to 18 percent (16-22 crashes per year) compared to No Build.
- Guardrail installation will reduce one hit object and overturn crash per year.
- Improved lighting will reduce one dark area crash per year.
- Implementation of wider edge lines will reduce one fatal and injury crash each per year.

An incident management plan developed in cooperation with partner agencies as well as Intelligent Transportation Systems (ITS) improvements will help reduce clearance times for incidents.

The safety analysis concluded the Project could lower the expected average crash frequency by 18 percent, based on Crash Modification Factors (CMF) for lane widths and shoulder widths that can apply to all crashes. There are also several additional design elements being considered such as pull-out areas, dynamic speed message signs, rumble strips, wider shoulder widths at curves with sight distance issues, and limiting lane changes using solid striping. While these elements are included to improve safety performance, they cannot be analyzed quantitatively. Therefore, they are not reflected in the concluded impacts.

The Project is estimated to lower the expected average crash frequency on Sonoma Creek Bridge by 47.5 percent, based on CMFs for lane widths and shoulder widths that can apply to all crashes. This analysis also evaluates the safety impact of intersection designs at Noble Road, Skaggs Island Road, and Cullinan Ranch Access Road. Converting Noble Road and SR 37 to a signal control is expected to lower crash severity at the location.

Table 4 - Safety Performance Measures

Measure	Metric	Build	Future No Build	Change	Increase/Decrease
Safety	Number of Fatalities	0.311	0.363	(0.052)	decrease
	Rate of Fatalities per 100 Million VMT	0.004	0.005	(0.001)	decrease
	Number of Serious Injuries	3.57	4.17	(0.60)	decrease
	Rate of Serious Injuries per 100 Million VMT	0.052	0.061	(0.009)	decrease
	(Optional) Number or Rate of Property Damage Only Collisions	86	100	(14)	decrease
	(Optional) Number or Rate of Non-Serious Injury Collisions	30	35	(5)	Decrease

By providing safer, reliable, uninterrupted, and unhindered roadway access, the Project performance improvements will facilitate the efficient and reliable movement of people and goods and improve accessibility and mobility to employment centers, job opportunities, services, healthcare, and other critical destinations.

Additional Corridor Benefits

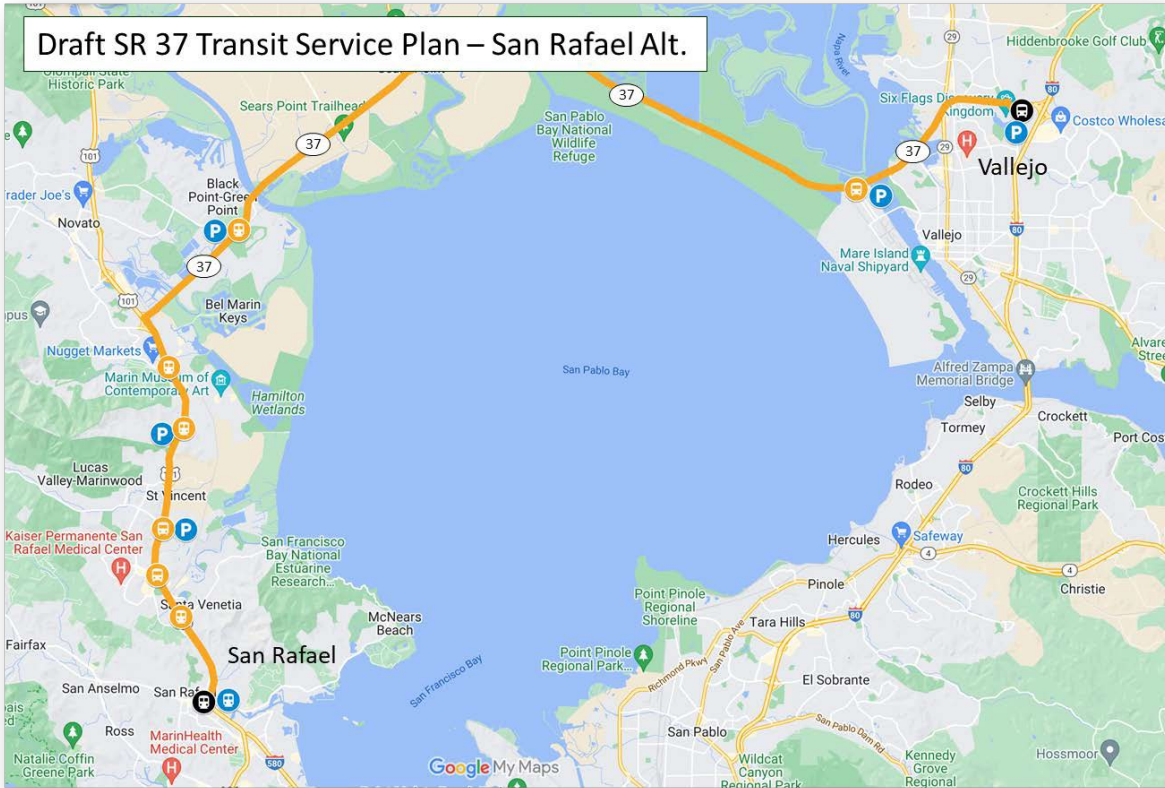
In addition to the corridor performance improvements, the Project provides equity, resilience, public access, and multimodal benefits on the corridor.

Multimodal Benefits

The Project encourages mode shift from Single Occupancy Vehicles (SOV) to HOVs with the addition of an HOV lane and transit bus service. The Solano Transportation Authority (STA), in cooperation with Solano County Transit (SolTrans), prepared the Draft California State Route 37 Express Bus Plan in November 2022 to promote alternative transportation options, promote mode-shift, and reduce GHG emissions along the SR37 corridor. In 2019, the [SR37 Travel Behavior and Transit Feasibility Study](#), completed by the Napa Valley Transit Authority (NVTa), utilized trip pairs to showcase the feasibility of transit service along the corridor. The Draft SR 37 Express Bus Plan builds on the previous feasibility study by recommending a preferred transit route, conceptual service plan, stop locations, and estimating operating and capital cost.

The current proposal is for a new SolanoExpress SR 37 Transit Service with service focused on the corridor from Vallejo to the junction with U.S. 101, and the U.S. 101 segment from the SR 37 junction to the San Rafael Transit Center. This fixed route transit service will connect with the existing regional and local transit networks in Vallejo and San Rafael, as well as with transit connections at intermediate points in Novato. This SR 37/U.S. 101 express route, together with connected mobility, local fixed route, microtransit, and park and ride, will provide both home and destination end access that is reliable and convenient at community mobility hubs. The two principal mobility hubs anchoring the fixed route corridor are as follows:

- Vallejo Fairgrounds Hub – this planned facility will provide a linkage between SolanoExpress, SolTrans, Napa Vine and First/Last Mile microtransit. This hub, which is part of the development plan to repurpose the Fairgrounds, will also have a park & ride facility to further attract potential riders. The capital cost of the hub will be funded by the Project.
- San Rafael Hub – at this existing hub, SolanoExpress would connect with Golden Gate Transit, Marin Transit, SMART, Greyhound, Marin Airporter, and Sonoma County Airport Express. Access and amenity enhancements are planned for this hub with an estimated cost of \$1 million which will be funded by the Project.



Service is planned to operate all day on weekdays and connect seamlessly with the rest of the SolanoExpress intercity bus network, Golden Gate Transit, SMART, and the local transit services in Vallejo, Novato, and San Rafael. The service is being planned to coincide with the opening of the SR 37 HOV lane, which will allow for improved travel times and reliability.

Table 5 – Proposed SR 37 Express Bus Operating Schedule

Weekday Service	Frequency	Hours of Operation
Peak Period	30 minutes	5:00 a.m. – 9:00 a.m.; 3:00 p.m. – 6:00 p.m.
Off-Peak Period	60 minutes	9:00 a.m. – 3:00p; 6:00 p.m. – 9:00 p.m.

Climate Change Resilience and Adaptation Benefits

The Project supports climate change resilience and adaptation through planned strategies to be implemented with the Project. Examples of these strategies include:

- Providing expanded throughput and transportation options in the SR37 Corridor to support emergency evacuation.
- Roadway warning systems for extreme weather events.
- Raising the roadbed infrastructure that is currently impacted by SLR related inundation.
- Treating existing roadway subsidence areas through installation of sheet piles and other treatments.
- Implementation of green erosion control solutions to mitigate flooding impacts.

- Transit shelters to provide shade for users as a means of cooling to address expected temperature increases.
- Replacing or installing metal post guard rail systems to reduce wildfire risk.
- Conservation of roadside fire-resistant native plant species to potentially expand fuel breaks and as adaptation to fire risk.
- Fire-resistant native vegetation, rocks, and other inert hardscaping features, to limit or slow fire spread along the corridor and to the adjacent habitat areas.

In addition to the above strategies, the Project sponsors are committed to ecological improvements identified by resource agency stakeholders which include:

- Enhancements to the Strip Marsh East, which is located south of SR 37 in Solano County, to improve sensitive marsh habitat which is currently degrading due to drainage issues. The potential enhancements are nature-based solutions which maintain a shoreline erosion buffer and attenuate wave energy for the existing highway.
- Consideration of a new or lengthened Tolay Creek bridge which would enhance the Tolay Creek tidal prism where it is currently highly restrained and support the Sonoma Creek Baylands Strategy Restoration planned to the North side of highway 37.

Public Access Benefits

Corridor improvement plans also include elements that would improve coastal access, and access to multimodal choices. Several studies have been conducted by the Project partners and stakeholders to identify public access improvement opportunities along the corridor.

- The Bay Trail Sears Point Connector Feasibility Study was conducted by Sonoma County Regional Parks (2018)
- SR 37 Public Access Opportunities – 2021 Community Input Report conducted by the City of Vallejo (2021)
- Public Access Opportunities Memo conducted by STA in partnership with staff from the Bay Area Ridge Trail, City of Vallejo, County of Solano Resource Management (Planning Division), County of Solano Parks and Recreation Department, Greater Vallejo Recreation District, Napa Valley Vine Trail, Solano Land Trust, Solano Resource Conservation District, San Francisco Bay Trail, San Francisco Bay Area Water Trail, and Vallejo Flood and Wastewater District. (2021)

Approximately \$18 million is included in the Project funding plan for public access improvements, which may include constructing a bike path as part of the Bay Trail to meet BCDC’s regulatory mandate to provide “maximum feasible access consistent with the proposed project” for development projects in their shoreline band jurisdiction. Details of the public access improvements will be determined during the design phase of the Project.

Equity Benefits and Considerations

One of, if not the most important benefit of the Project is the peak period travel time reduction to low-income SR 37 users. Due to a lack of affordable housing, low-income communities, primarily in Napa and Solano counties, rely heavily on SR 37 to access jobs in Sonoma, Napa, and Marin counties. In a recent study, MTC found that 85 percent of SR 37 users’ household income was less than the area median income of \$126,187 for the Bay Area using 2019 data from the American Community Survey and a Travel Diary Survey conducted by MTC. Comparing this to the 38 percent

of all Bay Area freeway users with household incomes less than the average median income indicates that low-income SR 37 users are disproportionately impacted by the congestion on SR 37 compared to other Bay Area freeways.

Based on field data collected for the SR 37 Corridor Plan, these commuters suffer from the existing heavy peak period congestion on the corridor with maximum travel times between US 101 and SR 29 of 60 minutes in the westbound a.m. peak period commute and 100 minutes in the eastbound p.m. peak period commute. These commute times are forecast to become progressively worse by 2045 without the Project, with commuters experiencing maximum travel times of 274 minutes in the eastbound morning commute and 323 minutes in the westbound evening commute. The Project would provide substantial benefit to SR 37 users by reducing maximum peak period travel times. With the Project, maximum peak period travel times are reduced to less than current levels in the near-term (2025) and are forecast to be 64 to 82 percent less (depending on direction of travel) than the No-Build condition in the long-term (2045).

The Project proactively addresses equity and barriers to opportunity by providing reduced travel time, improved travel time reliability, as well as the planned implementation of new bus transit service on the corridor and the development of an equity discount program. MTC will evaluate toll exemptions and discounts, including an equity discount program (similar to other regional equity initiatives sponsored by MTC), as part of the Concept of Operations process to be conducted in the PS&E phase as discussed in Section 4c, Toll Exemptions and Discounts. Toll rates are anticipated to be consistent with the other state-owned toll bridges in the region.

Details of the transit implementation and operations are being developed by the Project partners in the Final SR 37 Express Bus Implementation plan. It is recognized by the Project partners that reliable and sufficient transit will need to be available on the corridor as an alternative to paying tolls.

Additional equity considerations by the Project partners include;

- continuing community engagement efforts on the corridor and developing a well-defined public communication plan on tolling and,
- if at the time of the toll facility opening, the implementation of an equity discount program and bus transit service on the corridor have not yet occurred, the Project will consider implementing a phased tolling approach for a period of time, including a toll-free option for all travelers to assist with the transition to the proposed tolling.

4. *Technical Feasibility*

a. *Project Definition*

Has the applicant described the proposed facility in sufficient detail to determine the type and size of the project, the location, all proposed interconnections with other transportation facilities, the communities that may be affected, and alternatives (e.g. alignments) that may need to be evaluated?

The Project is located in Sonoma, Napa, and Solano Counties on California SR 37, from 1.0 mile west of SR 121 at Sears Point, to the Napa River Bridge in Vallejo, as shown in Figure 3 below.

Figure 3 – Project Location Map



The SR 37 Corridor links US 101 in Novato and I-80 in Vallejo along the northern shore of the San Pablo Bay. As the primary regional east-west connection in the North Bay serving commuters and visitors, SR 37 carried an annual average of over 98,000 daily trips in 2022, which is projected to increase to over 117,000 daily trips by 2050.

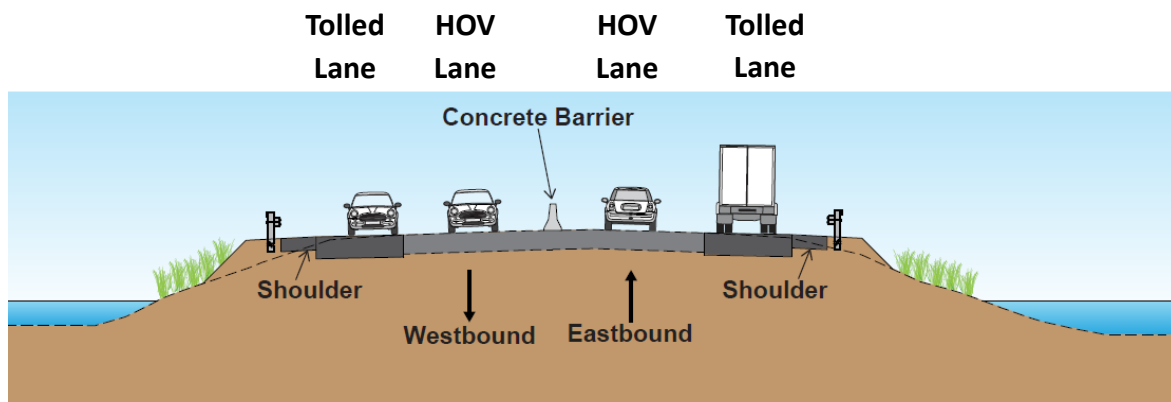
The Project is the first step toward implementing an integrated approach to improving traffic flow and peak travel times, increasing vehicle occupancy, while also supporting multimodal travel, improving safety and public access, and providing environmental enhancements on the corridor.

The four build alternatives studied in the development of the Draft Project Report (DPR) and Draft Environmental Document (DED) are as follows:

- Alternative 1: Three-Lane Contra-Flow with Movable Median Barrier and HOV Lane in the peak direction (westbound a.m., eastbound p.m.)
- Alternative 2: Convert Existing Outside Shoulders to HOV Lane During Peak Periods (Part-Time Use Lane)
- Alternative 3A: Widen to Four Full-Time Lanes, with 4-Foot Shoulders, No Widening at Sonoma Creek Bridge, Begin Eastbound HOV Lane on the Left Side West of SR 121
- Preferred Alternative 3B: Widen to Four Full-Time Lanes with 8-Foot Shoulders, Begin Eastbound HOV Lane on the Left Side West of SR 121, and Widen Sonoma Creek and Tolay Creek Bridges

After completion of the DPR and circulation of the DED, the PDT identified Build Alternative 3B as the Preferred Alternative. This decision was made after a series of PDT meetings conducted in March and April 2022 that involved review of the environmental impacts associated with each alternative: safety, design criteria and concerns, traffic benefits and performance of the alternatives, maintenance, and consideration of public and agency comments and concerns.

The preferred Project alternative will reconfigure the existing roadway to provide an HOV lane and toll lane in each direction from just west of SR 121 to the Mare Island interchange, widen the existing bridge over Tolay Creek, and implement interregional and local public transit.



The Project will increase opportunities for carpools and bus transit, improve public access, implement corridor-wide ITS, promote mode shift, reduce VMT, introduce means-based tolling, and make SR 37 more sustainable by reducing near term flooding.

Project features include:

- A new tolled lane in each direction.
- Conversion of the existing lane to an HOV lane in each direction.
- Tolling infrastructure, which includes toll gantries, overhead readers, and cameras.
- Corridor wide ITS implementation, which includes fiber optic/broadband communications, variable message signs (VMS), closed-circuit television (CCTV) with video analytics, vehicular detection throughout the corridor, tolling system, transit signal priority, traffic operations system (TOS), and ramp metering.
- Implementation of bus transit service between Vallejo, Novato, and San Rafael to be operated by Solano County Transit (SolTrans).
- New signs, including toll-related overhead, roadside, and exit ramp signs.
- California Highway Patrol (CHP) observational areas for CHP vehicles to park, monitor, and enforce compliance with the HOV lanes and tolling.
- Lighting at tolling gantries, CHP observational areas, and as needed at local road intersections to improve safety for vehicles entering or exiting the highway.
- Vehicle pullout areas to improve traffic flow and safety.
- HOV transition lanes where HOV lanes begin.
- Slope protection and reinforcement where settlement has occurred or minor widening of the existing cross section of the highway is needed to accommodate the proposed improvements, including sheet piles, rock slope protection, and engineered slopes.
- Widening Sonoma Creek Bridge and Tolay Creek Bridge to accommodate additional lanes.
- New traffic signals at Noble Road and signal modifications at SR 121.
- Reconstruction of the existing at-grade crossing at the SMART tracks to accommodate the roadway widening.
- Extension of existing culverts to accommodate shoulder widening.

b. *Proposed Project Timeline*

Is the time frame for project completion clearly outlined? Is the proposed schedule reasonable given the scope and complexity of the project? Does the proposal contain adequate assurances that the project will be completed on time?

Table 6 below provides the current Project schedule leading to the opening of the toll facility in 2027.

Table 6 – Project Schedule

Project Schedule	Dates
Existing Project Study Report Approved	12/28/2018
Begin Environmental (PA&ED) Phase	07/22/2020
Circulate Draft Environmental Document (EIR/S)	01/13/2022
Draft Project Report	12/31/2021
End Environmental Phase (PA&ED Milestone)	02/09/2023
Begin Design (PS&E) Phase	04/15/2023
End Design Phase (Ready to List for Advertisement Milestone)	04/20/2025
Begin Right of Way Phase	03/06/2023
End Right of Way Phase (Right of Way Certification Milestone)	03/20/2025
Begin Construction Phase (Construction Contract Award Milestone)	12/20/2025
End Construction Phase (Construction Contract Acceptance Milestone)	12/01/2027
Begin Closeout Phase	12/02/2027
End Closeout Phase (Closeout Report)	06/01/2029

The Resilient SR 37 MOU (Attachment 1) establishes the roles and responsibilities of the partner agencies and organization to deliver the Resilient SR 37 Program, including the Project, which is identified as the highest priority corridor segment.

The SR 37 Policy Committee—composed of elected officials from Sonoma, Marin, Napa, and Solano counties and is supported by the Executive Directors representing MTC/BAIFA, Caltrans, STA, SCTA, TAM, NVTA, and SMART—provides policy oversight and dispute resolution to the respective staffs. The Executive Directors of MTC/BAIFA, Caltrans, STA, SCTA, TAM, NVTA, and SMART serve on the Executive Steering Committee (ESC) to provide strategic direction to the Policy Committee and Program Leadership Team (PLT). The MOU establishes a Corridor Director who serves as staff to the ESC, represents all ESC members, and works directly with member agency Executive Directors and their staffs. The Directors and their staffs of MTC/BAIFA, Caltrans, STA, SCTA, TAM, NVTA, and SMART participate in the PLT to vet technical, policy, and other related project issues and elevate them as appropriate to the ESC.

The Project delivery team regularly reports to the PLT, which meets monthly on project delivery matters and has the responsibility of reviewing project status, scope and budgets, expenditures, and staffing and contractor services. In addition, the team identifies, evaluates, and reports any

project issues to the Corridor Director. Presentations on Project status and issues are regularly provided by the Project delivery team and the PLT to the ESC and SR 37 Policy Committee.

The Project delivery team will continue to use several project management tools to assure the Project is controlled and completed on time through the remaining design and construction phases, as summarized below.

Project Management and Reporting

Reports are currently being prepared to assess status and track progress on costs, budgets, schedules, quality, and many other items for the Project. Additionally, special reports concerning particular topics are prepared when necessary or as requested. Project cost, schedule, and status report are produced and reviewed monthly with the PLT.

Status Meetings

The PLT representatives attend a regular status meeting. The purpose of the meetings is to discuss costs, schedules, quality issues, compliance with federal and State requirements, and other status items with enough detail to allow all involved parties to be fully aware of significant issues and actions planned to mitigate any adverse impacts. The project managers prepare a monthly status report for discussion at the meeting. The format of the report may change over time as the Project proceeds and new topics are identified. The monthly Project status report will include the following:

- Activities and deliverables
- Risk management
- Action items/outstanding issues
- Schedule adherence
- Cost adherence
- Quality adherence
- Safety summary

Risk Register

In accordance with Caltrans Deputy Directive (PD-09), project risk management (PRM) shall be applied throughout the various phases of the project. PRM is a process for planning for, identifying, analyzing, communicating, managing, and responding to project risks through all phases of project delivery. A risk register has been prepared for the Project and is regularly updated by the Project delivery team. The risk register includes a list of all identified risks, the risk owners, and an agreed upon risk response strategy.

c. Operation

Has the applicant presented a reasonable statement setting forth plans for operation of the facility?

The operation of the SR 37 Toll Facility between Mare Island and SR 121 will require both tolling infrastructure and clearly defined business rules. A Concept of Operations for the proposed Project will be prepared in concert with the PS&E phase. The Concept of Operations shall describe the design and operational characteristics of the toll facility, enforcement, incident management, and agency and stakeholder coordination.

Currently, two methods of toll collection are being considered. The first is westbound-only tolling in the project corridor, like the seven state-owned tolled bridges in the Bay Area. The second is eastbound (EB) and westbound (WB) tolling at half of the toll rate for each direction.

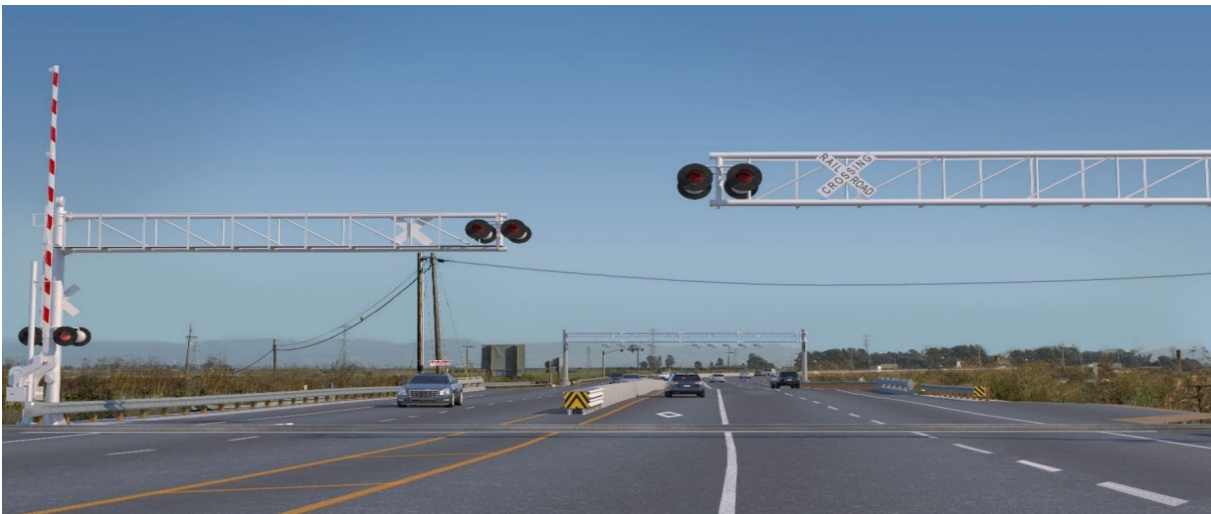
To further incentivize carpooling, HOVs would not be charged a toll when travelling in the HOV lane. Tolls would be collected through Open Road Tolling (ORT) and All-Electronic Tolling (AET) for vehicles travelling in the toll lane, which involves cashless, free flow tolling; therefore, toll booths would not be required. Tolls would be collected electronically using transponders carried in the vehicles, and vehicles without transponders would be billed by identifying the owner of the vehicle through images of the license plates.

Up to two overhead gantries would be needed for tolling. An overhead gantry would be installed on SR 37, spanning both directions west of the Mare Island overcrossing for westbound only tolling. If the Concept of Operations process conducted during final design determines that directional tolling (eastbound and westbound) is necessary and a second gantry is needed, it would span both directions just east of Tolay Creek Bridge and east of the SR 121 intersection. Overhead readers and cameras would be installed on the gantries that would read vehicle transponders and photograph vehicle license plates. Visual simulations of the toll gantries are provided below.

Figure 4 – Visual simulation of gantry near Mare Island overcrossing



Figure 5 – Visual simulation of gantry near SR 121



In summary, BAIFA expects that operation of the SR 37 Toll Facility to include the following:

1. ORT with single point toll gantries with the means to read transponders and high-speed digital cameras to verify transactions, read license plates, and automatically collect tolls from customers as part of an ETC program.
2. Observational areas for CHP vehicles to park, monitor, and enforce compliance with the HOV lanes and tolling installed at the beginning of the HOV lane and toll gantries.
3. Observation areas within the toll facility to verify occupancy and enforce violations.
4. Signs along the side of the highway notifying drivers of the upcoming HOV lane to include information on the number of occupants for a qualifying HOV user, the hours of operation of the HOV lane, and penalties for single-occupant vehicles using the HOV lane.
5. Overhead and roadside signs to notify and inform drivers of the upcoming tolling zone and the applicable toll, and penalties for enforcement of the toll.
6. CCTV coverage of the Corridor to provide security and video surveillance for tolling equipment and to enable quick response to breakdowns and other incidents.
7. A fiber optic network linking the electronic infrastructure to a centralized toll operations office.
8. Dedicated CHP enforcement and Freeway Service Patrol (FSP) incident management.

The framework for specific business rules under which the SR 37 Toll Facility will be operated will be developed as part of the Concept of Operations process.

Toll Rate Setting

BAIFA shall develop and maintain a toll schedule specifying the tolls to be charged on vehicles traveling on the toll facility, the direction(s) of traffic for which those tolls will be charged, and the times of day during which those tolls shall be charged. In the development of the toll schedule, BAIFA will consider:

- WB only tolling and directional tolling (EB and WB).
- Rates consistent with the other toll bridges in the region.
- An equity discount program will be evaluated as part of the toll schedule development within the overall program parameters as reviewed for the environmental analysis.
- Toll premiums to manage VMT on the corridor. Higher toll rate results in a higher cost of driving, which helps influence decisions to not drive, carpool, or take transit services. To manage VMT on the corridor, toll rate premiums may be charged to reduce VMT in the toll lane.

Toll Exemptions & Discounts

Toll exemptions and discounts will be evaluated as part of the Concept of Operations process. BAIFA will establish the SR 37 toll schedule and toll ordinance (toll violations) which will define allowable toll exemptions and discounts.

BAIFA anticipates that vehicles that satisfy minimum occupancy requirements, transit vehicles, and motorcycles utilizing the HOV lane would not be charged a toll. Minimum occupancy requirements are anticipated to be HOV 2+. In accordance with section 23301.5 of the California Vehicle Code, authorized emergency vehicles are exempt from any requirement to pay a toll.

BAIFA is preparing to implement a pilot program to test the concept of means-based tolling on its I-880 Express Lanes in Alameda County called Express Lanes START. Similar to the Clipper START model for means-based transit discounts, this concept would provide a toll discount to users who earn income below 200 percent of the federal poverty threshold. The pilot aims to use effective public outreach and make tolls more affordable for low-income earners, increasing opportunity for those who have been unable to use the express lane network in the past.

BATA has developed an Equity Action Plan for the seven state owned toll bridges it operates. A new policy on violation penalties was approved by BATA in the fall of 2021 and marked the first policy change adopted as part of its Bay Area tolling equity action plan unveiled in May 2021. Effective now, and retroactive to all violation notices since Jan. 1, 2021, the penalty for the first toll violation notices drops to \$5 from the previous \$25 and the penalty for the second violation notices falls to \$15 from the previous \$70. In addition to the policy changes on violations, BATA has approved several additional policy changes that became effective in the spring of 2022. These include dropping the cost of the FasTrak® toll tag deposit for new customers who choose not to link their account to a credit card to \$5 from the previous \$20; crediting \$15 to the prepaid toll accounts of existing customers who paid a \$20 tag deposit; reducing the minimum opening balance for a FasTrak® account for customers who pay with cash or check to \$25 from the previous \$50; and eliminating transaction fees for customers who replenish FasTrak® accounts or pay violation penalties at a cash network location.

Similar to the programs described above, an equity or means-based discount program on the SR 37 Toll Facility will be evaluated by BAIFA in the concept of operations and in the development of the toll schedule within the overall program parameters as reviewed for the environmental analysis.

Methods of Toll Collection

BATA collects tolls on the seven state-owned toll bridges in the Bay Area and allows four methods of payment which includes the following:

1. FasTrak® – automatically deducts tolls from a prepaid account using a toll tag attached to your vehicle, or a license plate read registered to a FasTrak® account. A FasTrak® account may be established through BATA or through another California toll agency. There are no fees to open a FasTrak® account, get a toll tag, or use it to pay tolls.
2. License Plate Accounts – are an option for drivers who choose to “pay as they go.” A License Plate Account uses the license plate number to identify the vehicle and matches it to the account. If the account is linked to a credit card, the toll is charged to the card each time your vehicle crosses a bridge. There is no prepaid balance required and there are no extra fees. If the account is opened using cash, check, or money order, it must have a prepaid toll balance and the toll is deducted from the balance each time the vehicle crosses a toll point.
3. One-Time Payment – if a person is visiting or only in the area for a short time, a One-Time Payment may be established. One-Time Payments are set up for a short, specific period of time, and can be used to pay a toll after toll point is crossed (within 48 hours) or for future tolls (up to 30 days). There are no extra fees for One-Time Payments.
4. Invoice – if none of the other three methods are chosen, an invoice will be mailed to the registered owner of the vehicle. The invoice will be for the amount of the toll(s) with no additional fees. Invoices must be paid on time or they will accrue additional fees and penalties.

BAIFA intends to adopt the four methods of payment for the SR 37 Toll Facility. The system will be developed in accordance with the specifications detailed in the California Code of Regulations and will be compatible with the regional toll network operated in the Bay Area using FasTrak®.

FasTrak® is the legacy trademarked California Title 21 interoperable transponder. In January 2019, California's Office of Administrative Law established 6C as the State of California's official ETC protocol. The regulations require a complete phase-out of the existing Title 21 protocol used by the state's FasTrak® system by January 1, 2024. Consequently, the SR 37 Toll Facility ETC system will read the adopted standard issued 6C tags.

A transponder is a radio frequency identification unit that transmits a signal to a roadside or overhead reader. Each transponder transmits a particular signal that uniquely identifies the unit. Transponders may be equipped with a switch that motorists will use to declare their vehicle occupancy. When the ETC system detects a vehicle without a tag or an invalid tag at a toll point, the system's cameras capture pictures of the vehicle's license plate through a license plate reader (LPR). If the license plate image is successfully matched to a FasTrak® account, then the toll amount will be applied to the user's account. If the license plate image is not matched, it will be processed for payment under one of the three remaining toll payment methods: a license plate account, one-time payment, or invoice.

Enforcement

Enforcement of the HOV lane and toll lane are essential to the operation of the toll facility. The CHP will be the responsible agency for conducting HOV lane enforcement through an agreement with BAIFA. The Project proposes to facilitate enforcement by providing the following features:

- HOV eligible traffic approaching the toll gantries would be separated from the toll lane through an HOV lane that is introduced ahead of the CHP enforcement observation areas and toll gantries. This would segregate SOVs required to pay the toll from the HOV lane for tolling and enforcement purposes.
- Placement of CHP observation areas ahead of the toll gantries. The observation areas will allow sufficient room for an officer to park a vehicle and observe vehicles that are traveling in the HOV lane approaching the toll gantry. Similar to the toll bridges in the Bay Area, the officer would conduct an observation of the vehicle approaching the toll gantry to determine whether that vehicle qualifies to use the HOV lane. Should there be a violator, the enforcement could be conducted either at the Cullinan Ranch Staging Area or the Sonoma Creek Viewing Area for westbound enforcement or at the California Department of Fish and Wildlife (CDFW) Tubbs Island staging area or the Sonoma Creek Viewing Area in the eastbound direction.
- Advanced overhead HOV signs would be placed providing HOV requirements, hours of operations, and minimum violation rates.
- Median barrier mounted HOV signs would be placed throughout the corridor providing HOV requirements, hours of operations, and minimum violation rates.
- HOV pavement markings would be placed on the HOV lane.
- Pavement delineation separating the HOV lane from the toll lane will be considered during the PS&E phase.

BAIFA will adopt a toll ordinance that establishes use requirements and civil penalties for evasion of tolls. A toll violation occurs when a vehicle passes through the toll point but does not

have a valid FasTrak® account. Toll violation enforcement is primarily an automated task. The field detection system will capture images of all vehicle license plates. If there is no toll tag detected, the license plate image will be sent to the Regional Customer Service Center (RCSC) for toll payment processing. At the RCSC, the license number will be cross-checked against valid accounts.

If the plate is associated with a valid account, the account is charged the toll at the time of the transaction. If the plate is not associated with a valid account, an invoice will be issued to the registered owner of the vehicle. If the amount goes unpaid, a notification will be sent to the Department of Motor Vehicles (DMV) to withhold vehicle registration until the amount is paid.

d. Federal Involvement

Is the project outside the purview of federal oversight, or will it require some level of federal involvement due to its location on the National Highway System or Federal Interstate System or because federal permits are required? If so, has the applicant provided a reasonable plan for addressing all federal responsibilities?

The Project is currently considered a Delegated Project in accordance with the Joint Stewardship and Oversight Agreement between the Federal Highway Administration (FHWA) and Caltrans (signed on May 28, 2015). Caltrans, FHWA, and MTC have met on several occasions to discuss the proposed project and tolling to determine the potential eligible federal tolling program applicable to the project, approval requirements, and responsibilities of FHWA. Meetings were held on May 13, 2022, June 9, 2022, August 23, 2022, and November 29, 2022. Potential federal tolling programs that may be applicable to the project include Section 129 General Tolling Program, Section 166 HOV/HOT Lanes, and Value Pricing Pilot Program. Subsequent to the November 29 meeting, Caltrans and MTC prepared and submitted a Tolling and Pricing Opportunities Expression of Interest to FHWA on December 13, 2022, followed with a meeting on February 21, 2023, to address question and comments from FHWA's Tolling and Pricing Team. It is anticipated that after FHWA's review of the Expression of Interest, agreement will be reached on the appropriate federal tolling program, and FHWA will perform oversight of project development through the prescribed Systems Engineering Analysis (SEA) process that will be initiated in the PS&E phase as part of the Concept of Operations development.

e. Maintenance

Is there a process in place to clearly define assumptions and responsibilities during the operational phase including law enforcement, toll collection, and maintenance?

BAIFA will have responsibilities to implement and maintain the system, including implementation of the toll collection system and to administer the toll schedule specifying the tolls to be charged on vehicles. Specifically, BAIFA will be responsible for the following:

- Operations and maintenance for any devices installed for the toll facility exclusively needed for the system.
- Establishing the toll schedule, business rules, and account policies.
- Collecting tolls in accordance with the business rules and account policies.
- Perform marketing and public outreach for the Toll Facility.

BAIFA intends to enter into an agreement with BATA for back-office and customer service center services to support the Toll Facility as this will provide efficiencies as BAIFA will be able to utilize facilities and systems that are already in place. BATA's Toll Facility roles will include operating the RCSC, including:

- Managing FasTrak® customer accounts, protect Personal Identifiable Information (PII), and provide general customer service.
- Collecting tolls from FasTrak® customer accounts based upon trip transaction records from express lane operators.
- Issuing toll violation notices and collecting toll violation penalties.
- Providing a payment plan in accordance with the requirements of AB 2594 (Ting).
- Tracking, providing inventory, and distributing FasTrak® toll tags to customer service outlets.
- Operating, supporting, and maintaining FasTrak® back-office operations (e.g., trip records, revenue, and account information).
- Providing marketing of the toll facility along with other FasTrak® marketing.
- Administering and distributing toll revenue.
- Establishing interface with credit and debit card processing and banking services.
- Establishing interface with DMV for processing license plate reads and matching with registered vehicle owner.

BAIFA will enter into an agreement with Caltrans regarding maintenance of the toll facility. The agreement will address all matters related to design, construction, maintenance, and operation of the toll facility, including but not limited to liability, financing, repair, rehabilitation, and reconstruction.

5. Financial Feasibility

a. Funding Plan

Is the funding plan built on a reasonable basis for funding project development and operations? For example, are the assumptions on which the plan is based well defined and reasonable in nature? Are the plan's risk factors identified and dealt with sufficiently? Are the planned sources of funding and financing realistic? Has the applicant demonstrated evidence of its ability to obtain the necessary financing? Does the applicant have the ability to fund shortfalls if revenues do not meet projections?

The Project will be funded with a combination of federal, State, and local funds. The total Project cost is \$430 million. The project cost and funding plan, including committed and uncommitted funds, is shown in Table 7 below. The expected funding from discretionary federal, state, local and regional sources is described in Table 8 below.

Table 7 – Project Cost

Fund Status	Fund Type	Project Component (\$1000)						Total
		PA&ED	PS&E	R/W Sup	CON Sup	R/W Cap	CON Cap	
Committed	BATA	\$8,000						\$8,000
	SB 170		\$3,000			1,000		\$4,000
	NHPP		\$17,000					\$17,000
	SHOPP				\$3,400		\$17,700	\$21,100
	RM3		\$3,500			\$16,500		\$20,000
	OBAG 3			\$1,000			\$9,000	\$10,000
Total Committed		\$8,000	\$23,500	\$1,000	\$3,400	\$17,500	\$26,700	\$80,100
Uncommitted	SR 37 Tolls						\$100,000	\$100,000
	SHOPP				\$11,700		\$34,900	\$46,600
Total Uncommitted		\$0	\$0	\$0	\$11,700	\$0	\$134,900	\$146,600
Additional Need	SCCP				\$15,000		\$55,000	\$70,000
	TCEP				\$13,900		\$66,100	\$80,000
	Future State & Federal Grants					\$46,000	\$7,300	\$53,300
Project Total		\$8,000	\$23,500	\$1,000	\$44,000	\$63,500	\$290,000	\$430,000

Table 8 – Committed/Uncommitted Funds

Funding Source	Amount (in \$M)	Committed or Uncommitted
BATA	\$8	Committed Local Funds
California Senate Bill 170 (SB 170)	\$4	Committed State Funds. Budget Act of 2021 allocates \$3M for design of the Project.
California State NHPP Funds	\$17	Committed State Funds.
State Route 37 Toll Revenues	\$100	Uncommitted. Toll authorization will be secured through the CTC's Toll Facilities Program. Toll financing work could begin in 2023, following authorization of tolling.
Solutions for Congested Corridor Program (SCCP)	\$70	Uncommitted. Planned State Funds.
Trade Corridor Enhancement Program (TCEP)	\$80	Uncommitted. Planned State Funds.
State Highway Operations and Protection Program (SHOPP)	\$67.7	Existing SHOPP fund from two on-going overlapping SHOPP projects near SR 121, pending on an overall committed funding plan and future SHOPP funds.
Regional Measure 3	\$20	Committed Local Funds
One Bay Area Grant 3 (OBAG 3)	\$10	Committed Regional Funds
Other State and Federal Grants	\$53.3	Future cycles of USDOT MPDG Rural Surface Transportation Grant, state and federal climate adaptation grants (including the federal PROTECT Program, and the Local Transportation Infrastructure Climate Adaptation Program), additional Regional Measure 3 Funds
Total	\$430	

Contingency options under consideration should some of the competitive grants not materialize include:

- CTC's Local Transportation Infrastructure Climate Adaptation Project (LCAP) Program – the Project includes components that are climate adaptation eligible.
- Regional Measure 3 – \$100 million is set aside for Resilient SR 37, and specifically, \$20 million is intended for this Project.
- Future Toll Funds on SR 37 – based on the Preliminary Traffic and Revenue analysis, the Project has a bonding capacity of up to \$236 million.

Toll Revenue-Backed Obligations

BAIFA plans to use toll revenue-backed obligations for a portion of funding for the Project during the R/W and PS&E phases of the Project.

While BAIFA has not yet determined its preferred Project financing approach with respect to these toll revenue-backed obligations, it has flexibility to access the capital markets, seek out a private placement, or apply to the United States Department of Transportation (USDOT) Build America Bureau for Transportation Infrastructure Finance and Innovation Act (TIFIA) credit assistance to finance the construction of the Project. The current funding plan assumes approximately \$100 million of proceeds from such toll revenue-backed obligations. The borrowing mechanism chosen by BAIFA will depend on a variety of factors including the following:

- Relative cost of financing options.
- Flexibility in key financial covenants.
- Expediency of receipt of funds and organizational/administrative burden related to debt issuance.
- Market appetite for toll revenue bonds and/or private placements.
- Availability of TIFIA credit assistance.

Further efforts will be necessary to access any of the sources of financing. This may include a level-four traffic and revenue study (the minimum for an investment-grade rating) along with technical and engineering analysis of construction and operational risks.

Additionally, a letter of interest and an application (following an invitation to apply) will have to be drafted and submitted to USDOT in order to access the TIFIA Loan. However, the Resilient SR 37 Program has already gained useful traction with USDOT having successfully applied to and been awarded a Regional Infrastructure Accelerator Grant (RIAG) by the Build America Bureau. The RIAG awarded a total of \$1.5 million to the Project; it the largest RIAG award to date and the only project in California to receive this grant in this year's round of awards. The RIAG funds can be invested in further critical planning and development work to move the Project forward, and technical support offered by the Build America Bureau will position the project well for accessing TIFIA credit assistance for a low-cost, flexible source of financing.

A preliminary debt capacity analysis based on MTC's travel demand model indicates the Project's projected debt financing would likely meet relevant criteria to secure an investment-grade rating for toll-revenue backed obligations. This indicates, based on the preliminary analysis, that the necessary funding can be generated through any of the contemplated financing structures.

Table 9 below shows the Project’s total debt capacity of \$236 million. The sources of debt are assumed to be tax-exempt bonds (51%) and a TIFIA loan (49%). The legislation governing TIFIA credit assistance permits loans to finance up to 49% of broadly defined Eligible Project Costs. In the past, the Build America Bureau had entertained requests of only up to 33% of Eligible Project Costs except in unique circumstances. Recent policy guidance indicates that the Bureau will be receptive to requests of up to 49% for credit-worthy projects. Nevertheless, the mix of debt sources may need revision in the context of the development and evolution of wider funding plan for the Project.

The debt capacity analysis conservatively assumes a 6.15% rate on tax-exempt bonds with a final maturity of 17 years (the term of the bonds comprises two years of construction plus 15 years of amortization), and a 5.00% interest rate on a TIFIA loan of the same duration. This is assuming that an investment-grade rating is available for these debt instruments. Risks related to the financing strategy, and typical for a project of this type, include factors such as evolving rating agency criteria, toll acceptance and willingness to pay in the region, financial market dynamics and demand for toll revenue-backed bond instruments, and the availability of budget for TIFIA credit assistance.

Scenarios are also included for a 0.5% plus/minus interest rate sensitivity. The scenarios are based on a \$4 toll in each direction, collected electronically, and a social equity discount of 50% of the toll rate for toll payers who meet certain income eligibility criteria. No toll would be applied to the HOV lane.

Table 9 – Modeled Scenarios

	1 - Project Debt Capacity	1A – Project Debt Capacity -0.5% interest rate sensitivity	1A – Project Debt Capacity +0.5% interest rate sensitivity
Tax Exempt Bonds	\$120 million	\$124 million	\$117 million
TIFIA Debt	\$116 million	\$120 million	\$112 million
Total Debt Capacity	\$236 million	\$244 million	\$229 million
Total Toll Revenue	\$553million	\$553million	\$553million
Total Excess Cash Flow Generated After Debt Service	\$204 million	\$204 million	\$204 million

While the traffic and revenue growth assumptions used in this analysis are generally conservative, these are preliminary and further analysis will be necessary to access the capital markets successfully. Salient issues that require further scrutiny include:

- Highway capacity – there will be a constraint on the traffic volumes that generate toll revenues at some point in the future. At some point in the future, this capacity constraint may slow traffic speeds and reduce the number of toll payers.
- HOV access for electric and hybrid vehicles – legislation in California permits electric and hybrid vehicle access to HOV lanes irrespective of the number of passengers in those vehicles. Although this legislation sunsets in 2025, in the context of the high prominence of climate-change issues, the risk that these provisions are extended should be considered as part of the traffic and revenue study. Other recent legislation mandating the transition to electric vehicles over time will likely see an increase in these types of vehicles accessing HOV lanes, reducing toll paying users, potentially impacting travel times and throughput in

the HOV lane. These impacts will need to be studied and modeled in the context of current laws and policies governing electric vehicle allowances.

- Responsibility for operations, routine and major maintenance – budgetary responsibilities for operational and maintenance obligations will have an impact on the quality of the highway and, ultimately, on its throughput capacity and ability to generate toll revenues over the longer-term. This will need to be considered as part of the detailed traffic and revenue study.
- Flexibility as it relates to the toll schedule – the circumstances under which the toll schedule can be modified so that debt service obligations can be met in certain downside scenarios will be an important consideration impacting the rating outcome and the cost of debt.

Based on this initial analysis, which relies upon the current travel demand model and a range of standard capital market assumptions, the Project has sufficient debt capacity to support the current funding plan requirements for toll revenue-backed obligations. It is reasonable to assume that the Project could raise enough debt financing to cover the Project’s funding needs. The Project’s funding plan includes \$100 million of toll revenue backed obligations. If additional grant funds are obtained for the Project, the amount of toll-revenue backed obligations required for the Project would decrease. Likewise, if anticipated federal and state grant funds to be used towards the project construction do not materialize, the amount of toll revenue-backed obligations could be increased, likely without significantly constraining debt service coverage.

b. Expenditure Plan for Excess Revenues

If an expenditure plan for excess revenues has not yet been adopted by the appropriate governing entity, has the applicant included a discussion of its intentions for revenues collected beyond those necessary for any debt service, operations, and reserved as defined in AB 194?

Expenditure of excess net revenue generated by the Project will be subject to an expenditure plan developed in consultation with Caltrans and approved by BAIFA, as required by California Streets and Highway Code Section 149.7. No expenditure plan has been developed to date.

Streets and Highways Code Section 149.7(e)(4) states:

- (4) The revenue generated from the operation of the toll facility shall be available to the sponsoring agency for the direct expenses related to the following:
 - (A) Debt issued to construct, repair, rehabilitate, or reconstruct any portion of the toll facility, payment of debt service, and satisfaction of other covenants and obligations related to indebtedness of the toll facility.
 - (B) The development, maintenance, repair, rehabilitation, improvement, reconstruction, administration, and operation of the toll facility, including toll collection and enforcement.
 - (C) Reserves for the purposes specified in subparagraphs (A) and (B).

After payment of the above items, BAIFA would seek to use any excess net revenues from the operation of the SR 37 Toll Facility for further improvements to the SR 37 Corridor.

6. Regional Transportation Plan & Community Support

a. Consistency with Existing Plans

Is the project consistent with the regional transportation plan and affected city and county comprehensive plans? If not, does the applicant discuss strategies that may help achieve consistency with such plans when possible or practicable?

The Project is consistent with city, county, and regional plans.

The Project is included in the SR 37 CMCP and rated the highest among CMCP goals. Reference Part 6.C for further discussion on how the Project fulfills corridor goals established by the CMCP.

As discussed in Part B.2, the Project provides continuity with PBA 2050, the RTP, and SCS for the nine-county San Francisco Bay Area that was developed by MTC and ABAG. PBA 2050 strongly supports projects and programs such as this Project which restores and improves the existing highway system, improves the quality and availability of local bus service, supports community-led transportation enhancements, and incorporates an integrated approach to manage congestion.

The SR 37 Corridor is not only a priority for the region, but also for the State. Multiple regional and State plans and strategies recognize the importance of improving the Corridor. The Corridor is also listed as a high priority in the following documents:

- The Sonoma County Comprehensive Transportation Plan identifies SR 37 as the fourth worst congested area in Sonoma County in 2007 (SCTA 2016). This plan recognizes the need for highway widening as well as addressing the threat of long-term SLR.
- The Sonoma County General Plan (2020) contains goals and policies that relate to the Project, including those that encourage ridesharing; HOV Lanes; bikeway network linkages among cities, communities, and major activity centers; development and enhancement of new and existing bikeways consistent with appropriate standards; coordination with Caltrans on traffic management improvements along Highway 37 to reduce congestion consistent with the designated road classifications; and expansion of the County's zero net fill requirements within the 100-year Federal Emergency Management Act (FEMA) special flood hazard area (SFHA).
- The Napa Countywide Transportation Plan recognizes SR 37 as a principal thoroughfare that is not adequate for current traffic volumes, causes drivers to use alternative/more circuitous routes, and increases vehicle miles traveled (NVTA 2015).
- The Solano County Comprehensive Transportation Plan includes similar mention of the conditions on SR 37, and the need for regional funding of improvements (STA 2020). The Solano County General Plan (2008) contains the following goal that relates to the Project:
 - Goal: TC.G-2: Promote coordinated approaches to creating, maintaining, and improving transportation corridors and facilities by working with other jurisdictions and transportation agencies in funding and implementing projects.
- City of Vallejo General Plan (adopted in 2017) contains the following policy that relates to the Project:
 - Action MTC-3.1A: Work with Caltrans, Solano County, Soltrans, and STA to identify and seek funding for improvements that make intra-city travel easier, including for transit, bicycles, and pedestrians.

- SCTA lists the Project as the top priority for the County because it dramatically improves travel time reliability, which has a significant impact on economic development.
- Caltrans Interregional Transportation Strategic Plan (2015) shows the Project as short-term, high priority project to improve accessibility and reliability.
- The SCTA Comprehensive Transportation Plan (2021) – The Project is identified as a high priority in the plan.

b. Consideration of Impacts

Does the applicant explicitly consider the potential diversions of vehicles onto adjacent routes that could lead to congestion, safety problems, and infrastructure damage due to the imposition of tolls on particular facilities?

The total distance of the SR 37 Corridor between its US 101 and I-80 connections is 21 miles. MTC’s travel modeling analysis has determined that closure of SR 37 (whether temporarily due to roadway flooding or emergency events) would displace traffic to alternative routes I-80, I-580, US 101, SR 12, SR 116, and SR 121, as shown on Figure 6.

The alternate northern route via SR 12 to SR 116 has a distance of 44 miles, and the alternate southern route via US 101 to I-580 and the Richmond–San Rafael Bridge to I-80 has a distance of 43 miles. Other alternate northern routes using SR 37 but avoiding the tolled facility part of the roadway would require an additional 6 to 20 miles of travel.

The additional trip distance would result in increased vehicle use costs and travel time for users. Furthermore, most of these roadways already experience severe traffic congestion during peak periods.

The figures in Attachment 5 show the various route options, with their distances and current average travel times during both peak and off-peak periods. In all cases, SR 37 provides a more direct route with lower off-peak travel times. However, during peak periods with the current congestion along the SR 37 Corridor, most of the alternate routes offer comparable travel times.

The Project improvements to SR 37 can be expected to result in SR 37 future travel times that are more comparable to current off-peak times. Such times would greatly decrease the relative attractiveness of the less direct and congestion prone alternative routes via I-580, SR 12, and SR 121.

Figure 6 – Alternative Routes



The project has considered vehicle diversion to adjacent routes due to tolling and believes any diversion would be minimal due the additional capacity provided by the Project and bus transit on the corridor.

c. Fulfilling Policies and Goals

In what ways does the proposed project help achieve performance, safety, mobility, economic, or transportation demand management goals?

The approved [State Route 37 Comprehensive Multimodal Corridor Plan](#) incorporates an integrated approach for managing congestion, improving safety and public access, addressing SLR, and preserving and protecting surrounding ecosystems. The SR 37 CMCP is consistent with statutory requirements of the Commission’s CMCP Guidelines and addresses congestion reduction, comprehensiveness, collaboration, regional plan consistency, and evaluation criteria. The SR 37 CMCP also establishes goals and performance metrics consistent with Plan Bay Area 2050.

Key CMCP multi-modal strategies to be implemented by this Project include the addition of HOV lanes and development of transit services, which will increase throughput, velocity, and reliability for commuters, freight operators, and other motorized users.

The Resilient SR 37 Corridor – Sears Point to Mare Island Improvement Project is discussed throughout the CMCP. This Project has been determined by partner agencies as a priority project. The Project is in Chapter 7 Recommended Strategies of the CMCP and rated the highest vis-a-vis CMCP goals. As shown in the Table 10 below, the Project is consistent with the goals objectives of the CMCP.

Table 10 – CMCP Goals

SR 37 CMCP Goals	Project Improvements
1. Increase the safety and security of the transportation system for all users within the Corridor.	The Project is expected to reduce both the rates and number of fatal and serious injury accidents.
2. Reduce recurring congestion and improve efficiency in moving people.	The Project would reduce person hours of travel time, daily vehicle hours of delay, and total person hours of delay. The Project also promotes increased vehicle occupancy through the addition of an HOV lane and Toll Lane.
3. Improve trip reliability within the Corridor.	The Project is expected to improve trip reliability through congestion relief and incident management through freeway service patrol activities.
4. Reduce Green House Gases and pollutant emissions to improve air quality.	The Project would reduce all GHGs.
5. Support Economic Opportunity.	The Project is expected to reduce lost economic productivity due to highway congestion.
6. Improve multimodal mobility and access within the corridor.	The Project would establish bus transit service between Vallejo, Novato, and San Rafael.

SR 37 CMCP Goals	Project Improvements
7. Efficiently manage transportation assets within the Corridor to protect existing and future investment.	The Project implements ITS and TOS features along the corridor.
8. Encourage sustainable land use.	The Project promotes multimodal travel, bus transit and HOV, that supports efficient land use.
9. Address Equity Issues by supporting fair distribution of transportation resources, benefits, and costs.	An equity or means-based discount program will be evaluated in the Project’s concept of operations and toll schedule development.
10. Integrated Ecological Improvements.	The Project includes mitigation for impacted wetlands, waters, and riparian habitat.

d. Environmental Considerations

Is the proposed project consistent with applicable state and federal environmental statutes and regulations? Does the proposal adequately address or improve air quality and other environmental concerns?

The Project is consistent with applicable state and federal environmental statutes and regulations. With Caltrans as the lead agency, both the National Environmental Policy Act (NEPA) and the California Environmental Quality Act (CEQA) processes were completed with a Finding of No Significant Impact (FONSI). The joint CEQA/NEPA document (Final EIR/EA) was approved February 9, 2023. The Notice of Determination (NOD) can be found at <https://ceqanet.opr.ca.gov/2020070226/4>, and the Finding of No significant Impact (FONSI) Notice of Availability (NOA) can be found at <https://ceqanet.opr.ca.gov/2020070226/5>.

An Environmental Commitment Record for the Project is included in the Final EIR/EA and lists mitigations to be implemented as identified during the NEPA/CEQA process (reference Appendix E of the Final EIR/EA Volume 2).

Section 2.2.9 of the Final EIR/EA covers environmental justice topics and finds that the Build Alternative will not cause disproportionately high and adverse effects on any minority or low-income populations in accordance with the provisions of EO 12898, and that no further environmental justice analysis is required. The 3 volumes of the Final EIR/EA are located at <https://scta.ca.gov/projects/highway37/#resources>.

Air Quality

Corridor improvements will help the region meet its GHG targets and advances the State’s air quality and climate goals by reducing GHG emissions through improved travel time and reduced delay, and its emphasis on providing transit services. Overall, the Project would have substantially lower operational emissions when compared to baseline conditions due to reduced congestion and improvements in vehicle fleet emissions over time.

Emissions are reduced both through improved speed flow and due to the reduction in VMT (with tolling). Once Project construction is completed, a significant reduction in emissions is

expected in the Corridor as well as localized areas based upon the Cal B/C model results as in shown Table 10 below.

Table 11 – Air Quality Performance Measures

Measure	Metric	Build	Future No Build	Change	Increase/Decrease
Air Quality and Greenhouse Gases	Particulate Matter (PM 10)	0.45	0.72	(0.28)	Decrease
	Particulate Matter (PM 2.5)	0.42	0.68	(0.26)	Decrease
	Carbon Dioxide (CO ₂)	117,808.02	129,803.29	(11,995.26)	Decrease
	Volatile Organic Compounds (VOC)	4.00	7.20	(3.20)	Decrease
	Sulphur Oxides (SO _x)	1.16	1.27	(0.11)	Decrease
	Carbon Monoxide (CO)	278.83	318.20	(39.48)	Decrease
	Nitrogen Oxides (NO _x)	29.88	37.36	(7.48)	Decrease

e. Community/Stakeholder Support

What is the extent of support or opposition for the project? Does the project proposal demonstrate an understanding of the national and regional transportation issues and needs, as well as the impacts this project may have on those needs? Is there a demonstrated ability to work with the affected communities?

Caltrans, MTC, and the four North Bay Transportation Authorities of Marin, Sonoma, Napa, and Solano Counties have engaged the public extensively to solicit input and create understanding of community concerns and priorities for improvements to the SR 37 Corridor. The partner agencies jointly conducted a series of public outreach and engagement events and activities in 2017 and 2018, including open houses focus groups, an online survey, web sites, mailings, email blasts, and local media communication.

In September and October 2017, four open houses were held in communities in and near the SR 37 Corridor (including the cities of Novato, American Canyon, Sonoma, and Vallejo) to inform the public and gain input about the State Route 37 Improvement Plan. Below is a summary of the written comments received during the open houses. The summary is intended to illustrate the variety of comments received and key takeaways include the most frequently mentioned concerns:

- Short-term improvements: Many respondents insisted on the urgency of implementing the short-term improvements proposed to relieve congestion along the corridor.
- Expand alternatives to driving: many travelers are seeking more transportation options, including all forms of public transportation, bicycling, and walking.
- Public transit options: Many comments showed strong support for providing public transit options between Vallejo and Marin, often citing express bus services.
- SMART train extension: Several comments expressed the need to place a higher priority on considering rail as an option.

- Bicycle and pedestrian access: Creating a quality bicycle and pedestrian path along the Corridor with access to open space was a top priority for many commenters.
- SR 37 & SR 121 intersection: The Sears Point intersection was identified by many as the top priority for congestion relief along the corridor.
- Opposition to full privatization: Several comments expressed strong opposition to the privatization of the road, however very few respondents were opposed to the tolling options presented.
- Four-lane expansion: Many comments showed support for expanding the Sear Point to Mare Island segment to 4-lanes, many of which suggesting the additional lanes should be HOV lanes.
- Growing needs of freight: Though comments were limited, goods movement needs and potential alternatives need to be considered.

Following the open houses, an online survey was conducted to collect input from a broad diversity of SR 37 users. The objective of the survey was to better understand the travel patterns of regular SR 37 users and to collect feedback about users' major concerns and priorities for improvements along the highway. The survey was open to the public between December 1, 2017 and January 16, 2018 with over 3,750 responses collected.

Survey participants were asked to answer several questions about their major concerns along SR 37 and their priorities for improvements along the route. Key findings from this section include the following:

- Respondents dropped nearly 5500 pins on the map to identify areas of concern along the route:
 - 75% of the pins identified traffic concerns
 - 35% of the pins identified road safety concerns
 - 15% of the pins identified flooding concerns
 - 8% of the pins identified environmental concerns
- Respondents identified several key locations along SR 37 where priority improvements are needed:
 - Lakeville intersection
 - Sears Point and Sears Point approach coming from the West
 - Sonoma Creek Bridge
 - Mare Island (West of Napa River bridge)

During January and February 2018, a series of six focus groups were conducted with the purpose of collecting detailed input from area residents who travel the corridor regularly. The focus group recruitment strategy was designed to reach a variety of travelers from each of the four counties and low-income and minority populations. The focus groups recommended improvements for the Corridor to include:

- Better lighting throughout the corridor to improve visibility at night.
- Wider shoulders, especially between Mare Island and Sear Point, to improve safety and have sufficient room to pull-over in case of an emergency.
- Additional carpool lanes to SR 37.

- Additional electronic signs with live traffic conditions.
- Increased police enforcement along the corridor to discourage bad driver behavior.
- Improved striping along the corridor and the addition of reflective markers for people driving at night.

Summary reports for the open houses, on-line survey, and focus groups are included in Attachment 6.

In addition to the above public engagement, the Project's public scoping meeting was held in July 2020, public meetings were held in 2021 during the development of the SR 37 CMCP, the Project's public meeting after the release of the Draft EIR/EA was held February 2, 2022, and the CTC public hearing on this toll facility application is scheduled for April 2023.

Community Engagement Strategies

The Project is in the vicinity of an area within Napa and Solano Counties that is listed as an Historically Disadvantaged Community: Census Tract 2508.01, Solano County, California. Due to a lack of affordable housing, low-income communities (primarily in Napa and Solano counties) rely on SR 37 to access jobs in Sonoma, Napa, and Marin counties. There is also a high proportion of residents for whom English is a second language in Sonoma, Napa, Marin, and Solano Counties.

To be inclusive and gather a wide variety of input from all stakeholder's, community engagement strategies deployed have included the following:

- Local communities were requested to send out announcements to local social programs.
- Publicly distributed materials included English, Spanish, and Tagalog to enhance accessibility to information. Web-based materials were hosted on platforms that included the option to toggle between those languages.
- Meeting invitations included the option for translator services.
- Multiple outreach channels were used to promote public engagement with disadvantaged and other communities.
 - TAM, SCTA, NVTA, and STA websites and mailing lists.
 - SR 37 Facebook page.
 - [Caltrans SR 37 website](#).
 - E-blasts to the SR 37 mailing list and TAM, SCTA, NVTA, and STA distribution lists.
- Targeted communications with local cities to their stakeholder distribution lists.
- Focus groups were convened and conducted with the purpose of collecting detailed input from area residents who travel the corridor regularly. The strategy for the focus group recruitment was designed to reach a variety of travelers from each of the four counties and low-income and minority populations.
- An online survey to collect input from a broad diversity of corridor users was conducted. The objective of the survey was to better understand travel patterns of SR 37 Corridor users and to collect feedback about users' major concerns and improvement priorities along the Corridor.
- Open houses were conducted to inform the public about plans for SR 37 improvements.

The community engagement strategies provided significant input into the Corridor and the Project, including input that has been incorporated into the Project on congestion relief, multi-

modal options, tolling, safety (lighting, pavement delineation, shoulders), and intersection improvements.

Project Support

The Project is a priority for MTC, Caltrans, and the four North Bay Transportation Authorities of Marin, Sonoma, Napa, and Solano Counties. Project implementation is critical to relieving the severe congestion along SR 37, promoting the shift from SOVs to HOVs, enabling transit service along the corridor, supporting increased reliability, velocity, and throughput, and addressing transportation equity. There is significant public and elected official support for Project implementation as evidenced through letters of support for federal and State funds grant applications submitted for the Project by the following:

- Honorable Diane Feinstein – US Senator, representing California
- Honorable Mike Thompson – Member of Congress, representing Congressional District 5
- Honorable Bill Dodd, Senator, California State Senate, Third District
- Honorable Mike McGuire, Senator, California State Senate, Second District
- Cecilia M. Aguiar-Curry, Assembly Member, Assembly California Legislature, Fourth District
- Jason Holley, City Manager, City of American Canyon
- Bert Whitaker, Director, Sonoma County Regional Parks
- John Woodbury, President, San Francisco Bay Trail Project Board of Directors
- Laura Hill, Public Policy Director, Bay Area Council
- Cynthia Murray, President & CEO, North Bay Leadership Council
- Linsey Gallagher, President & CEO, Visit Napa Valley

While many have expressed support for the Project, the Honorable Jared Huffman, Member of Congress representing Congressional District 2, has expressed concerns to MTC and the Governor of California about the need for multi-modal solutions and SLR protection on the corridor, and about the Project being interim in nature while long-term Resilient 37 corridor improvements are developed and implemented. MTC and Caltrans responded to the concerns and questions expressed by Congressman Huffman on June 13, 2022 (MTC) and October 24, 2022 (Caltrans). The responses note that the Project addresses the most imminent and urgent corridor challenges and delivers immediate improvements to the critically deficient section of roadway that narrows from two lanes to one in each direction. In doing so, the Project makes transit viable and prioritizes HOVs, consistent with CAPTI and equity goals. The Project also proposes to fix specific sections of the roadway that have been subsiding and vulnerable to near-term flooding. The responses appreciate the input from the Congressman and express the desire to continue to engage the Congressman for support to successfully deliver the Resilient SR 37 Program of corridor improvements.

7. Supplementary Topics

This section provides supplementary information not specifically requested in the Commission’s “Guidelines for Toll Facility Applications.” The first supplementary item covers the section of the guidelines under the heading “Report to the Legislature.” The second item expands upon the first by indicating that BAIFA will collect performance data on the toll facility, as reporting on performance is

required in the Commission's report to the Legislature. Additional items in this section provide the Commission with a more robust understanding of the Project.

a. Commission Annual Report to the Legislature

In recognition of Streets and Highways Code Section 149.7(h), as amended by AB 194, BAIFA will provide information or data requested by the Commission or Legislative Analyst. Additionally, BAIFA recognizes that the Commission is obligated by that section to report to the State Legislature annually the progress in the development and operation of each toll facility approved under Streets and Highways Code Section 149.7, as amended by AB 194. BAIFA will provide information as requested in support of CTC reporting requirements for the toll facility such as:

- A progress report for the Project.
- A comparison of the Project baseline budget and the current or Projected budget.
- A comparison of the current or Projected schedule and the baseline schedule.
- If construction is complete and operations have begun, a discussion of the operations of the facility and how actual performance compares to the Project's original expected performance.
- A discussion of any other issues identified, and actions taken to address those issues.

b. Performance Measurement

BAIFA will define and monitor the performance measures in a comprehensive manner consistent with regional and state requirements. New systems will be installed as part of the Project to monitor and report on performance. Performance reporting requirements will be defined further as the Project develops. BAIFA is currently reporting on performance of Express Lanes operated in the Bay Area and that reporting will serve as a model for the reporting for this Project. Reporting will be consistent with the requirements for annual and other periodic reports required by the Commission pursuant to Section 149.7(h), as amended.

Performance measures currently collected for other BAIFA operated express lanes include:

- Number of express lane trips
- Express lane trip types
- Traffic speeds
- Tolls generated
- Trip length and distribution
- CHP enforcement activity

c. Procurement Approach

Pursuant to Public Contract Code §6700 et seq., the California Legislature has authorized Caltrans to engage in a construction manager/general contractor (CM/GC) Project delivery method as specified for Projects for the construction of highways, bridges, or tunnels. The Project partners are considering utilizing the CMGC delivery method for the Project for innovative delivery and to reduce design and construction schedule and cost risks. If CM/GC is determined to be a beneficial delivery method for the Project, authority to utilize CM/GC will be applied for early in the design phase.

BAIFA is implementing ORT at the seven Bay Area toll bridges and is in the process of procuring a toll system integrator (TSI). Provided tolling authority is approved, BAIFA may utilize the ORT TSI to perform the toll system integration for the Project.

d. Cost Estimates

Is the estimated cost of the facility reasonable in relation to the cost of similar projects?

There are no toll facility projects that we are aware of that have a similar combination of improvements/existing conditions compared to the existing conditions and scope of this Project to provide a valid “apples to apples” cost comparison. To evaluate cost reasonableness, life cycle and benefit cost information is provided. The summary results of a benefit cost analysis with a discount rate of four percent are provided in Attachment 7. The results demonstrate that the throughput and efficiency benefits provided by the Project are a cost-effective infrastructure investment. Overall, the Project will produce a benefit-cost ratio of 4.11, which indicates that the benefits of the improvements outweigh the costs of the improvements.

ATTACHMENTS

Attachment 1 – Resilient SR 37 Corridor MOU

Attachment 2 – Cooperative Agreement

Attachment 3 – Caltrans Letter of Support

Attachment 4 – Project Initiation Document (submitted separately due to file size)

Attachment 5 – Route Option Figures

Attachment 6 – Community Outreach Summary Reports

Attachment 7 – Cal-B/C Performance Measures

ATTACHMENT 1 – Resilient SR 37 Corridor MOU

AMENDED AND RESTATED MEMORANDUM OF UNDERSTANDING
for
THE RESILIENT STATE ROUTE 37 PROGRAM
between
METROPOLITAN TRANSPORTATION COMMISSION
BAY AREA INFRASTRUCTURE FINANCING AUTHORITY
CALIFORNIA DEPARTMENT OF TRANSPORTATION
SOLANO TRANSPORTATION AUTHORITY
SONOMA COUNTY TRANSPORTATION AUTHORITY
TRANSPORTATION AUTHORITY OF MARIN
NAPA VALLEY TRANSPORTATION AUTHORITY
SONOMA-MARIN AREA RAIL TRANSIT DISTRICT

This Memorandum of Understanding (MOU) is entered into and effective as of the last date written below between the Metropolitan Transportation Commission (“MTC”), the Bay Area Infrastructure Financing Authority (“BAIFA”), the California Department of Transportation District 4 (“Caltrans”), the Solano Transportation Authority (“STA”), the Sonoma County Transportation Authority (“SCTA”), Transportation Authority of Marin (“TAM”) and Napa Valley Transportation Authority (“NVTA”) and Sonoma-Marín Area Rail Transit District (“SMART”) referred to herein collectively as the “Parties” or individually as a “Party”), to cooperatively determine their mutual responsibilities in delivering the Resilient State Route 37 Program (“Program”).

Recitals

1. The Resilient SR 37 Program aims to address resiliency of transportation infrastructure to sea level rise and flooding, traffic congestion, and opportunities for ecological enhancements, transit, multimodal use and public access along the SR 37 corridor from I-80 to US 101. The Program includes near- and longer-term improvements for a majority of the 20-mile corridor, including the long-term sea level rise vulnerability of a number of low-lying areas throughout the corridor.
2. The SR 37 Policy Committee, Executive Steering Committee (“ESC”) and the Project Leadership Team (“PLT”) currently have varying roles and responsibilities in the development and delivery of the Program. The SR 37 Policy Committee, composed of Executive Directors and Board Members representing MTC/BAIFA, Caltrans, STA, SCTA, TAM, and NVTA, provides policy oversight and dispute resolution to the respective staffs. The Executive Directors of MTC/BAIFA, Caltrans, STA, SCTA, TAM, and NVTA serve on the ESC to provide strategic direction to the Policy Committee and PLT. The Directors and their staffs of MTC/BAIFA, Caltrans, STA, SCTA, TAM, and NVTA participate in the PLT to vet technical, policy, and other related project issues and elevate them as appropriate to the ESC.

MTC/Caltrans/STA/SCTA/TAM/NVTA/SMART
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3. The MTC, Caltrans, STA, SCTA, TAM and NVTA completed a SR 37 Transportation and Sea Level Rise Corridor Improvement Plan that identified Segment B between and including Sears Point to the Mare Island Bridge (referred to herein as the “Segment B”) as the highest priority. On November 2, 2017, the SR 37 Policy Committee confirmed that Segment B is the priority segment. Subsequently, MTC, STA, SCTA, TAM and NVTA prepared a Project Initiation Document (PID) for Segment B improvements and submitted it to Caltrans for review and approval. Caltrans approved this PID on December 28, 2018.
4. On November 8, 2018 the SR 37 Policy Committee unanimously approved a funding plan and authorized the applicable sponsor(s) to submit Initial Project Reports to the Metropolitan Transportation Commission for funding consideration under Regional Measure 3, as follows: \$15 million to STA for Segment C-Fairgrounds Interchange, \$20 million to SCTA for Interim Segment B Environmental and Design Phases, \$4 million to SCTA for Environmental Phase for SR 37/121 improvements, \$3 million to TAM for Segment A levee study, and \$58 million to SCTA and TAM for Ultimate Segment A and Segment B improvements.
5. The Parties wish to organize the delivery of the SR 37 Program wherein:
 - a. MTC, Caltrans, SMART, SCTA and TAM are assigned to and have purview over Segment A (US 101 to SR121);
 - b. MTC, BAIFA, Caltrans, SCTA, SMART, STA and NVTA are assigned to and have purview over Segment B (Sears Point to Mare Island Bridge); and
 - c. MTC, Caltrans, SMART and STA are assigned to and have purview over Segment C (Mare Island Bridge to I-80).

The SR 37 Policy Committee, ESC and PLT continue to perform the same roles and responsibilities except for the technical work, discussions, actions and decisions of the individual Party would be targeted and applicable to the project segment for which that Party is assigned.

6. The Parties commit to continue to make progress on the delivery of the priority Segment B interim and ultimate projects, while also performing feasibility studies, environmental studies, PIDs, and related studies with the goal of coordinating the longer-term delivery of the SR 37 Program.
7. BAIFA intends to seek tolling authority between Sears Point and Mare Island.
8. The Parties acknowledge the likely need for funding above and beyond tolling and as such, intend to develop a financing and funding plan consisting of other traditional and untraditional funding sources to deliver the Program.

9. The Parties wish to work cooperatively to deliver the Program by exploring alternative project delivery methods (including, but not limited to, Design Build contracts), early environmental enhancements, and traditional and non-traditional funding and partnerships.
10. This MOU is amended and restated to update the organizational structure and the agency identified to be responsible for tolling from the Bay Area Toll Authority to BAIFA in the MOU. BAIFA is the authority that will, subject to authorization, be responsible for tolling, which is proposed along the SR 37 corridor.
11. This MOU is also amended and restated to add SMART to the MOU. SMART is the owner of the railroad corridor that is adjacent to portions of SR 37, including running parallel in Segment A and in the proximity of Segments B and C. The addition of SMART to the Resilient State Route 37 Program is a commitment to the multi-modal nature of the Program beyond bus transit and carpooling.

I. Term

The term of this MOU shall commence when fully executed, and unless amended earlier, shall terminate at a date agreed upon by the Parties.

II. SR 37 Program Delivery Organization

A. Executive Steering Committee (ESC)

1. Role

The ESC shall guide the identification, development, funding plan and implementation of projects to improve State Route 37. The ESC will select a Chairperson. The Chairperson will rotate between the members every two years. The Chairperson shall preside over the meetings of the ESC and shall perform all other duties incident to the position or as assigned to her or him by the ESC.

2. Members

- a. Executive Director, MTC/BAIFA (or designee)
- b. District 4 Director, Caltrans (or designee)
- c. Executive Director, STA (or designee)
- d. Executive Director, SCTA (or designee)
- e. Executive Director, TAM (or designee)
- f. Executive Director, NVTA (or designee)
- g. General Manager, SMART (or designee)

3. Assignment

- a. Segment A: MTC, Caltrans, SMART, SCTA, TAM
- b. Segment B: MTC, BAIFA, Caltrans, SMART, SCTA, STA, NVTA
- c. Segment C: MTC, Caltrans, SMART, STA

4. Responsibilities

- a. Approve implementation and funding plan(s), which may include one or more projects.
- b. Define agency roles and responsibilities for individual projects, including project managers.
- c. Approve the scope, schedule, budget and funding plan for individual projects within funding levels approved by the MTC, BAIFA or other funding agencies, as applicable.
- d. Oversee overall project progress and reporting of project status, risk assessments, costs and schedule.
- e. Advise the MTC on contract matters.
- f. Review and approve project staffing plans.

5. Decision-making

The ESC will endeavor to make decisions on a consensus basis. To ensure public accountability, transparency and public disclosure, the decisions will be documented.

6. Meetings

Regular meetings of the ESC shall be held quarterly as otherwise determined by the ESC. Notice shall include an agenda of items on which the ESC will take action. Each member of the ESC has the right to place a matter on the ESC's agenda for consideration. Meetings to be rotated between MTC, Caltrans, STA, SCTA, NVTA, TAM offices or at a location determined by the ESC.

B. Corridor Director of the ESC

1. The Corridor Director serves as staff to the ESC, represents all ESC members and works directly with member agency Executive Directors and their staffs.
 - a. MTC will select, with the ESC, and employ the Corridor Director.
 - b. MTC reserves the right to make decisions regarding hiring, promotion, termination, compensation, and removal of the Corridor Director, in consultation with the ESC.
 - c. The Corridor Director may serve the SR37 Corridor Policy Committee in a similar capacity.

2. Responsibilities

The Corridor Director shall work with the Project Leadership Team, collaborate and provide direction to the project managers, as appropriate, to

- a. Develop an implementation plan(s) and funding plan(s), including delivery methods
- b. Develop the scope, schedule, budget and funding plan for individual projects.
- c. Report regularly to the ESC on project status, risks assessments, change, costs and schedule.
- d. Develop project staffing plans.
- e. Prepare agendas for ESC meetings.
- f. Deliver progress reports to and consult with the SR 37 Corridor Policy Committee.
- g. Deliver progress reports to ESC and Policy Committee.
- h. Provide oversight and direction to project managers.

The Corridor Director will also advise the SR37 Corridor Policy Committee on the SR 37 program.

C. Project Leadership Team

1. Role

The ESC hereby establishes a Project Leadership Team (PLT) that shall assist the ESC in the performance of its duties. The members of the PLT shall advise the Corridor Director on matters that are to be brought before the ESC.

2. Members

- a. Deputy Executive Director, Operations, MTC (or designee)
- b. Chief Deputy Director, Caltrans District 4 (or designee)
- c. Director of Projects, STA (or designee)
- d. Deputy Executive Director, SCTA (or designee)
- e. Principal Project Delivery Manager, TAM (or designee)
- f. Director of Programs, Projects and Planning, NVTA (or designee)
- g. Chief Engineer, SMART (or designee)

3. Assignment

- a. Segment A: MTC, Caltrans, SMART, SCTA, TAM
- b. Segment B: MTC, BAIFA, Caltrans, SMART, SCTA, STA, NVTA
- c. Segment C : MTC, Caltrans, SMART, STA

4. Responsibilities

The PLT shall assist the Corridor Director and ESC in the performance of their duties for their assigned segments by

- a. Developing an implementation plan(s) and funding plan(s)
- b. Developing the scope, schedule, budget, and funding plan for individual projects.
- c. Reviewing cost estimates, risk assessments, and cash flow requirements.
- d. Reviewing project status, scope and budgets, expenditures, staffing and contractor services to anticipate, identify, evaluate, and report to the Corridor Director concerning any project issues.
- e. Developing project staffing plans and structures.
- f. Preparing other project related reports for ESC review.
- g. Performing such other assignments as appropriate.

5. Meetings

The PLT will meet on an as-needed basis as determined necessary by the members or by the Corridor Director.

III. GENERAL

A. Integration Clause

This MOU constitutes the complete and entire understanding among the Committee Members.

B. Amendments

This MOU may be amended in writing from time to time upon MOU of the Committee Members.

C. Counter Parts


This MOU may be executed in counterparts, each one of which will be an original or the equivalent thereof.

D. Miscellaneous

This MOU is intended solely as a guide to the obligations, intentions, and policies of the Committee Members. It does not constitute an authorization for funding a project nor does it constitute a legally binding MOU amongst the Agencies.


MTC/Caltrans/STA/SCTA/TAM/NVTA/SMART
Memorandum of Understanding
Resilient SR 37 Program
Amendment No. 1


IN WITNESS WHEREOF, the Parties hereto have agreed to this MOU on the date opposite their respective names.


_____, 3/2/23
Alfredo Pedroza Date
Chair
Metropolitan Transportation Commission/Bay Area Infrastructure Financing Authority

Dina El-Tawansy Feb 23, 2023
Dina El-Tawansy (Feb 23, 2023 09:08 PST) /

Dina El-Tawansy Date
District 4 Director
Caltrans


_____, Feb 15, 2023
Stephen Young (Feb 15, 2023 15:49 PST) /
Robert McConnell Date
Chair
Solano Transportation Authority



_____, Feb 14, 2023
Chris Rogers (Feb 14, 2023 08:55 PST) /
Chris Rogers Date
Chair
Sonoma County Transportation Authority

Brian Colbert Feb 14, 2023
Brian Colbert (Feb 14, 2023 09:37 PST) /

Brian Colbert Date
Chair
Transportation Authority of Marin

Liz Alessio Feb 14, 2023
Liz Alessio (Feb 14, 2023 09:26 PST) /

Liz Alessio Date
Chair
Napa Valley Transportation Authority


_____, Feb 15, 2023
David Rabbitt (Feb 15, 2023 12:24 EST) /
David Rabbitt Date
Chair
Sonoma-Marín Area Rail Transit District

ATTACHMENT 2 – Cooperative Agreement

DEPARTMENT OF TRANSPORTATION
DISTRICT 4
PROJECT MANAGEMENT – WEST REGION
P.O. BOX 23660,
OAKLAND, CA 94623-5568
PHONE (510) 286-4925
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*



September 25, 2019

James Cameron
Director of Project and Program
Sonoma County Transportation Authority
411 King Street
Santa Rosa, CA 95040

04-Sol-37-0.0/R7.4
04-Son-37-3.5/6.2
SR 37 improvements
Project Number: 0419000255
EA: 1Q761
District Agreement 04-2623

Dear Mr. Cameron:

Enclosed for your file is a fully executed copy of Cooperative Agreement No. 04-2623, between Caltrans and the Sonoma County Transportation Authority (SCTA) for the PA&ED and PS&E phases of the State Route 37 improvements project in Sonoma and Solano Counties.

This Agreement was executed on September 24, 2019.

Sincerely,

for KELLY HIRSCHBERG
Regional Project Manager
Project Management-North

Enclosure

SCTA19024

COOPERATIVE AGREEMENT

This AGREEMENT, effective on September 24/2019, is between the State of California, acting through its Department of Transportation, referred to as CALTRANS, and:

Sonoma County Transportation Authority, a public corporation/entity, referred to hereinafter as SCTA.

RECITALS

1. PARTIES are authorized to enter into a cooperative agreement for improvements to the State Highway System per the California Streets and Highways Code, Sections 114 and 130.
2. For the purpose of this AGREEMENT, *improvements to State Route (SR) 37 from 0.25 miles west of SR 121 intersection to 0.25 miles east of the Mare Island interchange in Vallejo will address traffic congestion; to improve traffic flow and peak travel times and increase occupancy (the number of people per vehicle) within the corridor*, will be referred to hereinafter as PROJECT. The PROJECT scope of work is defined in the project initiation and approval documents (e.g. Project Study Report, Permit Engineering Evaluation Report, or Project Report).
3. All obligations and responsibilities assigned in this AGREEMENT to complete the following PROJECT COMPONENTS will be referred to hereinafter as WORK:
 - PROJECT APPROVAL AND ENVIRONMENTAL DOCUMENT (PA&ED)
 - PLANS, SPECIFICATIONS, AND ESTIMATE (PS&E)

Each PROJECT COMPONENT is defined in the CALTRANS Workplan Standards Guide as a distinct group of activities/products in the project planning and development process.

4. The term AGREEMENT, as used herein, includes this document and any attachments, exhibits, and amendments.

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

PARTIES intend this AGREEMENT to be their final expression that supersedes any oral understanding or writings pertaining to the WORK. The requirements of this AGREEMENT will preside over any conflicting requirements in any documents that are made an express part of this AGREEMENT.

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

Except as otherwise provided in the AGREEMENT, PARTIES will execute a written amendment if there are any changes to the terms of this AGREEMENT.

PARTIES agree to sign a CLOSURE STATEMENT to terminate this AGREEMENT. However, all indemnification, document retention, audit, claims, environmental commitment, legal challenge, maintenance and ownership articles will remain in effect until terminated or modified in writing by mutual agreement or expire by the statute of limitations.

5. The following work associated with this PROJECT has been completed or is in progress:
 - Project Initiation Document was completed under the Cooperative Agreement No. 04-2709 with Solano Transportation Authority.
6. In this AGREEMENT capitalized words represent defined terms, initialisms, or acronyms.
7. PARTIES hereby set forth the terms, covenants, and conditions of this AGREEMENT.

RESPONSIBILITIES

Sponsorship

8. A SPONSOR is responsible for establishing the scope of the PROJECT and securing the financial resources to fund the WORK. A SPONSOR is responsible for securing additional funds when necessary or implementing PROJECT changes to ensure the WORK can be completed with the funds obligated in this AGREEMENT.

PROJECT changes, as described in the CALTRANS Project Development Procedures Manual, will be approved by CALTRANS as the owner/operator of the State Highway System.

9. SCTA is the SPONSOR for the WORK in this AGREEMENT.

Implementing Agency

10. The IMPLEMENTING AGENCY is the PARTY responsible for managing the scope, cost, schedule, and quality of the work activities and products of a PROJECT COMPONENT.

- SCTA is the Project Approval and Environmental Document (PA&ED) IMPLEMENTING AGENCY.

PA&ED includes the completion of the Final Environmental Document and the Project Report (documenting the project alternative selection).

- SCTA is the Plans, Specifications, and Estimate (PS&E) IMPLEMENTING AGENCY.

PS&E includes the development of the plans, specifications, and estimate; obtaining any resource agency permits; and the advertisement/award of the construction contract.

11. The IMPLEMENTING AGENCY for a PROJECT COMPONENT will provide a Quality Management Plan (QMP) for the WORK in that component. The QMP describes the IMPLEMENTING AGENCY's quality policy and how it will be used. The QMP will include a process for resolving disputes between the PARTIES at the team level. The QMP is subject to CALTRANS review and approval.
12. Any PARTY responsible for completing WORK will make its personnel and consultants that prepare WORK available to help resolve WORK-related problems and changes for the entire duration of the PROJECT including PROJECT work that may occur under separate agreements.

Funding

13. Funding sources, PARTIES committing funds, funding amounts, and invoicing/payment details are documented in the Funding Summary section of this AGREEMENT.

PARTIES will amend this AGREEMENT by updating and replacing the Funding Summary, in its entirety, each time the funding details change. Funding Summary replacements will be executed by a legally authorized representative of the respective PARTIES. The most current fully executed Funding Summary supersedes any previous Funding Summary created for this AGREEMENT.

14. PARTIES will not be reimbursed for costs beyond the funds obligated in this AGREEMENT.

If an IMPLEMENTING AGENCY anticipates that funding for the WORK will be insufficient to complete the WORK, the IMPLEMENTING AGENCY will promptly notify the PARTIES.

15. Unless otherwise documented in the Funding Summary, overall liability for project costs within a PROJECT COMPONENT will be in proportion to the amount contributed to that PROJECT COMPONENT by each fund type.
16. Unless otherwise documented in the Funding Summary, any savings recognized within a PROJECT COMPONENT will be credited or reimbursed, when allowed by policy or law, in proportion to the amount contributed to that PROJECT COMPONENT by each fund type.
17. WORK costs, except those that are specifically excluded in this AGREEMENT, are to be paid from the funds obligated in the Funding Summary. Costs that are specifically excluded from the funds obligated in this AGREEMENT are to be paid by the PARTY incurring the costs from funds that are independent of this AGREEMENT.

CALTRANS' Quality Management

18. CALTRANS, as the owner/operator of the State Highway System (SHS), will perform quality management work including Independent Quality Assurance (IQA), environmental document quality control, and owner/operator approvals for the portions of WORK within the existing and proposed SHS right-of-way.
19. CALTRANS' independent quality assurance (IQA) efforts are to ensure that SCTA's quality assurance results in WORK that is in accordance with the applicable standards and the PROJECT's quality management plan (QMP). An IQA does not include any efforts necessary to develop or deliver WORK or any validation by verifying or rechecking WORK.

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

20. CALTRANS, as the owner/operator of the State Highway System, will approve WORK products in accordance with CALTRANS policies and guidance and as indicated in this AGREEMENT.
21. Per National Environmental Policy Act (NEPA) assignment and California Environmental Quality Act (CEQA) statutes, CALTRANS will perform environmental document quality control and NEPA assignment review procedures for environmental documentation. CALTRANS quality control and quality assurance procedures for all environmental documents are described in the NEPA Assignments memorandums, available at http://www.dot.ca.gov/ser/memos.htm#LinkTarget_705. This also includes the independent judgment analysis and determination under CEQA that the environmental documentation meets CEQA requirements.
22. SCTA will provide WORK-related products and supporting documentation upon CALTRANS' request for the purpose of CALTRANS' quality management work.

CEQA/NEPA Lead Agency

23. CALTRANS is the CEQA Lead Agency for the PROJECT.
24. CALTRANS is the NEPA Lead Agency for the PROJECT.

Environmental Permits, Approvals and Agreements

25. PARTIES will comply with the commitments and conditions set forth in the environmental documentation, environmental permits, approvals, and applicable agreements as those commitments and conditions apply to each PARTIES responsibilities in this AGREEMENT.
26. Unless otherwise assigned in this AGREEMENT, CALTRANS is responsible for PROJECT COMPONENT WORK associated with coordinating, obtaining, implementing, renewing, and amending the PROJECT permits, agreements, and approvals whether they are identified in the planned project scope of work or become necessary in the course of completing the PROJECT.

27. It is expected that the PROJECT requires the following environmental permits/approvals:

ENVIRONMENTAL PERMITS/REQUIREMENTS
404, US Army Corps of Engineers
401, Regional Water Quality Control Board
National Pollutant Discharge Elimination System (NPDES), State Water Resources Control Board
State Waste Discharge Requirements (Porter Cologne), Regional Water Quality Control Board
FESA Section 7 USFWS
BO Section 7 USFWS
FESA Section 7 NOAA/NMFS
EFH - NOAA/NMFS
BCDC Permit
Federal Coastal Zone Mgmt. Act Consistency Determination, San Francisco Bay Conservation and Development Commission Coastal Development Permit
1602 California Department of Fish and Wildlife
2080.1 California Department of Fish and Wildlife
Air Quality Conformity Determination
State Historic Preservation Office Concurrence
408 US Army Corps of Engineers

Project Approval and Environmental Document (PA&ED)

28. As the PA&ED IMPLEMENTING AGENCY, SCTA is responsible for all PA&ED WORK except those activities and responsibilities that are assigned to another PARTY and those activities that are excluded under this AGREEMENT.

29. CALTRANS will be responsible for completing the following PA&ED activities:

CALTRANS Work Breakdown Structure Identifier (If Applicable)	AGREEMENT Funded Cost
100.10.10.xx Quality Management	No
165.10.75. Environmental Commitments Record	Yes
165.15.15 Resource Agency Permit Related Coordination	Yes
165.15.15.xx Essential Fish Habitat Consultation	Yes
165.15.15.xx Section 7 Consultation	Yes
165.20.xx Cultural Resources	Yes
165.25.25 Approval to Circulate Resolution	Yes
170.10.xx NEPA 404 and Permit Coordination Effort	Yes
175.20 Project Preferred Alternative	Yes
180.10.05.05.Draft Final Environmental Document Review	Yes
180.10.05.45 Section 7 Consultation	Yes
180.15.05 Record of Decision (NEPA)	Yes
180.15.10 Notice of Determination (CEQA)	Yes

30. Any PARTY preparing environmental documentation, including studies and reports, will ensure that qualified personnel remain available to help resolve environmental issues and perform any necessary work to ensure that the PROJECT remains in environmental compliance.
31. SCTA will provide written notice of the initiation of environmental studies to the CEQA and NEPA Lead Agencies prior to completing any other PA&ED phase work.
32. Environmental documentation will be prepared in compliance with the California Public Resources Code §§ 21080.3.1(d)(e).
33. The CEQA Lead Agency will determine the type of CEQA documentation and will cause that documentation to be prepared in accordance with CEQA requirements.

34. Any PARTY involved in the preparation of CEQA documentation will prepare the documentation to meet CEQA requirements and follow the CEQA Lead Agency's standards that apply to the CEQA process, including but not limited to the guidance provided in the Caltrans Standard Environmental Reference.
35. Any PARTY preparing any portion of the CEQA documentation, including any studies and reports, will submit that portion of the documentation to the CEQA Lead Agency for review, comment, and approval at appropriate stages of development prior to public availability.
36. SCTA will submit CEQA-related public notices to CALTRANS for review, comment, and approval prior to publication and circulation.
37. SCTA will submit all CEQA-related public meeting materials to the CEQA Lead Agency for review, comment, and approval at least ten (10) working days prior to the public meeting date.

If the CEQA Lead Agency makes any changes to the materials, then the CEQA Lead Agency will allow SCTA to review, comment on those changes at least three (3) working days prior to the public meeting date.

38. The CEQA Lead Agency will attend all CEQA-related public meetings.
39. If a PARTY who is not the CEQA Lead Agency holds a public meeting about the PROJECT, that PARTY must clearly state its role in the PROJECT and the identity of the CEQA Lead Agency on all meeting publications. All meeting publications must also inform the attendees that public comments collected at the meetings are not part of the CEQA public review process.

That PARTY will submit all meeting advertisements, agendas, exhibits, handouts, and materials to the CEQA Lead Agency for review, comment, and approval at least ten (10) working days prior to publication or use. If that PARTY makes any changes to the materials, it will allow the CEQA Lead Agency to review, comment on, and approve those changes at least three (3) working days prior to the public meeting date.

The CEQA Lead Agency maintains final editorial control with respect to text or graphics that could lead to public confusion over CEQA-related roles and responsibilities.

National Environmental Policy Act (NEPA)

40. Pursuant to Chapter 3 of Title 23, United States Code (23 U.S.C. 326) and 23 U.S.C. 327, CALTRANS is the NEPA Lead Agency for the PROJECT. CALTRANS is responsible for NEPA compliance, will determine the type of NEPA documentation, and will cause that documentation to be prepared in accordance with NEPA requirements.

CALTRANS, as the NEPA Lead Agency for PROJECT, will review, comment, and approve all environmental documentation (including, but not limited to, studies, reports, public notices, and public meeting materials, determinations, administrative drafts, and final environmental documents) at appropriate stages of development prior to approval and public availability.

When required as NEPA Lead Agency, CALTRANS will conduct consultation and coordination and obtain, renew, or amend approvals pursuant to the Federal Endangered Species Act, and Essential Fish Habitat.

When required as NEPA Lead Agency, CALTRANS will conduct consultation and coordination approvals pursuant to Section 106 of the National Historic Preservation Act.

41. Any PARTY involved in the preparation of NEPA documentation will follow FHWA and CALTRANS standards that apply to the NEPA process including, but not limited to, the guidance provided in the FHWA Environmental Guidebook (available at www.fhwa.dot.gov/hep/index.htm) and the CALTRANS Standard Environmental Reference.
42. Any PARTY preparing any portion of the NEPA documentation (including, but not limited to, studies, reports, public notices, and public meeting materials, determinations, administrative drafts, and final environmental documents) will submit that portion of the documentation to CALTRANS for CALTRANS' review, comment, and approval prior to public availability.
43. SCTA will prepare, publicize, and circulate all NEPA-related public notices, except Federal Register notices. SCTA will submit all notices to CALTRANS for CALTRANS' review, comment, and approval prior to publication and circulation.

CALTRANS will work with the appropriate federal agency to publish notices in the Federal Register.
44. The NEPA Lead Agency will attend all NEPA-related public meetings.
45. SCTA will submit all NEPA-related public meeting materials to CALTRANS for CALTRANS' review, comment, and approval at least ten (10) working days prior to the public meeting date.

46. If a PARTY who is not the NEPA Lead Agency holds a public meeting about the PROJECT, that PARTY must clearly state its role in the PROJECT and the identity of the NEPA Lead Agency on all meeting publications. All meeting publications must also inform the attendees that public comments collected at the meetings are not part of the NEPA public review process.

That PARTY will submit all meeting advertisements, agendas, exhibits, handouts, and materials to the NEPA Lead Agency for review, comment, and approval at least ten (10) working days prior to publication or use. If that PARTY makes any changes to the materials, it will allow the NEPA Lead Agency to review, comment on, and approve those changes at least three (3) working days prior to the public meeting date.

The NEPA Lead Agency has final approval authority with respect to text or graphics that could lead to public confusion over NEPA-related roles and responsibilities.

47. SCTA will ensure that the PROJECT is included in the approved Federal Statewide Transportation Improvement Program (FSTIP) prior to the NEPA Lead Agency’s approval of the environmental document.

Plans, Specifications, and Estimate (PS&E)

48. As the PS&E IMPLEMENTING AGENCY, SCTA is responsible for all PS&E WORK except those activities and responsibilities that are assigned to another PARTY and those activities that are excluded under this AGREEMENT.
49. CALTRANS will be responsible for completing the following PS&E activities:

CALTRANS Work Breakdown Structure Identifier (If Applicable)	AGREEMENT Funded Cost
100.15.10.xx Quality Management	No
3.205 Obtain Permits and Agreements During PS&E	Yes
3.255 Circulate, Review and Prepare Final District PS&E Package	Yes
3.260 Contract Bid Documents “Ready to List”	Yes
3.265 Awarded and Approved Construction Contract	Yes

50. This AGREEMENT does not include the RIGHT-OF-WAY PROJECT COMPONENT. Completion of PS&E may depend upon completion of some RIGHT-OF-WAY activities. PARTIES acknowledge that the WORK may not result in a product that can be used to advertise and award a contract for the CONSTRUCTION PROJECT COMPONENT without completing some activities under a separate agreement or by later amending this AGREEMENT.

51. SCTA will prepare Utility Conflict Maps identifying the accommodation, protection, relocation, or removal of any existing utility facilities that conflict with construction of the PROJECT or that violate CALTRANS' encroachment policy.

SCTA will provide CALTRANS a copy of Utility Conflict Maps for CALTRANS' concurrence prior to issuing the Notices to Owner and executing the utility agreement. All utility conflicts will be addressed in the PROJECT plans, specifications, and estimate.

52. SCTA will determine the cost to positively identify and locate, accommodate, protect, relocate, or remove any utility facilities whether inside or outside the State Highway System right-of-way in accordance with federal and California laws and regulations, and CALTRANS' policies, procedures, standards, practices, and applicable agreements including but not limited to Freeway Master Contracts.

Schedule

53. PARTIES will manage the WORK schedule to ensure the timely use of obligated funds and to ensure compliance with any environmental permits, right-of-way agreements, construction contracts, and any other commitments. PARTIES will communicate schedule risks or changes as soon as they are identified and will actively manage and mitigate schedule risks.

54. The IMPLEMENTING AGENCY for each PROJECT COMPONENT will furnish PARTIES with a final report of the WORK completed.

Additional Provisions

Standards

55. PARTIES will perform all WORK in accordance with federal and California laws, regulations, and standards; Federal Highway Administration (FHWA) standards; and CALTRANS standards. CALTRANS standards include, but are not limited to, the guidance provided in the:
- CADD Users Manual
 - CALTRANS policies and directives
 - Plans Preparation Manual
 - Project Development Procedures Manual (PDPM)
 - Workplan Standards Guide
 - Standard Environmental Reference
 - Highway Design Manual
 - Right of Way Manual

Noncompliant Work

56. CALTRANS retains the right to reject noncompliant WORK. SCTA agrees to suspend WORK upon request by CALTRANS for the purpose of protecting public safety, preserving property rights, and ensuring that all WORK is in the best interest of the State Highway System.

Qualifications

57. Each PARTY will ensure that personnel participating in WORK are appropriately qualified or licensed to perform the tasks assigned to them.

Consultant Selection

58. SCTA will invite CALTRANS to participate in the selection of any consultants that participate in the WORK.

Encroachment Permits

59. CALTRANS will issue, upon proper application, the encroachment permits required for WORK within State Highway System (SHS) right-of-way. SCTA, their contractors, consultants, agents and utility owners will not work within the SHS right-of-way without an encroachment permit issued in their name. CALTRANS will provide encroachment permits to SCTA, their contractors, consultants, agents, and utility owners at no cost. If the encroachment permit and this AGREEMENT conflict, the requirements of this AGREEMENT will prevail.
60. The IMPLEMENTING AGENCY for a PROJECT COMPONENT will coordinate, prepare, obtain, implement, renew, and amend any encroachment permits needed to complete the WORK.

Protected Resources

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

Disclosures

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

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

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

Hazardous Materials

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

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

The management activities related to HM-1 and HM-2, including and without limitation, any necessary manifest requirements and disposal facility designations are referred to herein as HM-1 MANAGEMENT and HM-2 MANAGEMENT respectively.

65. If HM-1 or HM-2 is found the discovering PARTY will immediately notify all other PARTIES.
66. CALTRANS, independent of the PROJECT, is responsible for any HM-1 found within the existing State Highway System right-of-way. CALTRANS will undertake, or cause to be undertaken, HM-1 MANAGEMENT with minimum impact to the PROJECT schedule.

CALTRANS will pay, or cause to be paid, the cost of HM-1 MANAGEMENT for HM-1 found within the existing State Highway System right-of-way with funds that are independent of the funds obligated in this AGREEMENT.

67. If HM-1 is found within the PROJECT limits and outside the existing State Highway System right-of-way, responsibility for such HM-1 rests with the owner(s) of the parcel(s) on which the HM-1 is found. SCTA, in concert with the local agency having land use jurisdiction, will ensure that HM-1 MANAGEMENT is undertaken with minimum impact to PROJECT schedule.

The cost of HM-1 MANAGEMENT for HM-1 found within the PROJECT limits and outside the existing State Highway System right-of-way will be paid from funds that are independent of the funds obligated in this AGREEMENT and will be the responsibility of the owner(s) of the parcel(s) where the HM-1 is located.

68. The CONSTRUCTION IMPLEMENTING AGENCY is responsible for HM-2 MANAGEMENT within the PROJECT limits.
69. CALTRANS' acquisition or acceptance of title to any property on which any HM-1 or HM-2 is found will proceed in accordance with CALTRANS' policy on such acquisition.

Claims

70. Any PARTY that is responsible for completing WORK may accept, reject, compromise, settle, or litigate claims arising from the WORK without concurrence from the other PARTY.
71. PARTIES will confer on any claim that may affect the WORK or PARTIES' liability or responsibility under this AGREEMENT in order to retain resolution possibilities for potential future claims. No PARTY will prejudice the rights of another PARTY until after PARTIES confer on the claim.
72. If the WORK expends state or federal funds, each PARTY will comply with the Federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards of 2 CFR, Part 200. PARTIES will ensure that any for-profit consultant hired to participate in the WORK will comply with the requirements in 48 CFR, Chapter 1, Part 31. When state or federal funds are expended on the WORK these principles and requirements apply to all funding types included in this AGREEMENT.

Accounting and Audits

73. PARTIES will maintain, and will ensure that any consultant hired by PARTIES to participate in WORK will maintain, a financial management system that conforms to Generally Accepted Accounting Principles (GAAP), and that can properly accumulate and segregate incurred PROJECT costs and billings.
74. PARTIES will maintain and make available to each other all WORK-related documents, including financial data, during the term of this AGREEMENT.

PARTIES will retain all WORK-related records for three (3) years after the final voucher.

PARTIES will require that any consultants hired to participate in the WORK will comply with this Article.

75. PARTIES have the right to audit each other in accordance with generally accepted governmental audit standards.

CALTRANS, the State Auditor, FHWA (if the PROJECT utilizes federal funds), and SCTA will have access to all WORK -related records of each PARTY, and any consultant hired by a PARTY to participate in WORK, for audit, examination, excerpt, or transcription.

The examination of any records will take place in the offices and locations where said records are generated and/or stored and will be accomplished during reasonable hours of operation. The auditing PARTY will be permitted to make copies of any WORK-related records needed for the audit.

The audited PARTY will review the draft audit, findings, and recommendations, and provide written comments within thirty (30) calendar days of receipt.

Upon completion of the final audit, PARTIES have forty-five (45) calendar days to refund or invoice as necessary in order to satisfy the obligation of the audit.

Any audit dispute not resolved by PARTIES is subject to mediation. Mediation will follow the process described in the General Conditions section of this AGREEMENT.

76. If the WORK expends state or federal funds, each PARTY will undergo an annual audit in accordance with the Single Audit Act in the Federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards as defined in 2 CFR, Part 200.
77. When a PARTY reimburses a consultant for WORK with state or federal funds, the procurement of the consultant and the consultant overhead costs will be in accordance with the Local Assistance Procedures Manual, Chapter 10.

Interruption of Work

78. If WORK stops for any reason, each PARTY will continue with environmental commitments included in the environmental documentation, permits, agreements, or approvals that are in effect at the time that WORK stops, and will keep the PROJECT in environmental compliance until WORK resumes.

Penalties, Judgements and Settlements

79. The cost of awards, judgements, or settlements generated by the WORK are to be paid from the funds obligated in this AGREEMENT.
80. The cost of legal challenges to the environmental process or documentation may be paid from the funds obligated in this AGREEMENT.

81. Any PARTY whose action or lack of action causes the levy of fines, interest, or penalties will indemnify and hold all other PARTIES harmless per the terms of this AGREEMENT.

GENERAL CONDITIONS

Venue

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

Exemptions

83. All CALTRANS' obligations under this AGREEMENT are subject to the appropriation of resources by the Legislature, the State Budget Act authority, programming and allocation of funds by the California Transportation Commission (CTC).

Indemnification

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

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

Non-parties

86. PARTIES do not intend this AGREEMENT to create a third party beneficiary or define duties, obligations, or rights for entities not signatory to this AGREEMENT. PARTIES do not intend this AGREEMENT to affect their legal liability by imposing any standard of care for fulfilling the WORK different from the standards imposed by law.
87. PARTIES will not assign or attempt to assign obligations to entities not signatory to this AGREEMENT without an amendment to this AGREEMENT.

Ambiguity and Performance

88. SCTA will not interpret any ambiguity contained in this AGREEMENT against CALTRANS. SCTA waives the provisions of California Civil Code, Section 1654.

A waiver of a PARTY's performance under this AGREEMENT will not constitute a continuous waiver of any other provision.

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

Defaults

90. If any PARTY defaults in its performance of the WORK, a non-defaulting PARTY will request in writing that the default be remedied within thirty (30) calendar days. If the defaulting PARTY fails to do so, the non-defaulting PARTY may initiate dispute resolution.

Dispute Resolution

91. PARTIES will first attempt to resolve AGREEMENT disputes at the PROJECT team level as described in the Quality Management Plan. If they cannot resolve the dispute themselves, the CALTRANS District Director and the Executive Officer of SCTA will attempt to negotiate a resolution. If PARTIES do not reach a resolution, PARTIES' legal counsel will initiate mediation. PARTIES agree to participate in mediation in good faith and will share equally in its costs.

Neither the dispute nor the mediation process relieves PARTIES from full and timely performance of the WORK in accordance with the terms of this AGREEMENT. However, if any PARTY stops fulfilling its obligations, any other PARTY may seek equitable relief to ensure that the WORK continues.

Except for equitable relief, no PARTY may file a civil complaint until after mediation, or forty-five (45) calendar days after filing the written mediation request, whichever occurs first.

PARTIES will file any civil complaints in the Superior Court of the county in which the CALTRANS District Office signatory to this AGREEMENT resides or in the Superior Court of the county in which the PROJECT is physically located.

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

Prevailing Wage

93. When WORK falls within the Labor Code § 1720(a)(1) definition of "public works" in that it is construction, alteration, demolition, installation, or repair; or maintenance work under Labor Code § 1771, PARTIES will conform to the provisions of Labor Code §§ 1720-1815, and all applicable provisions of California Code of Regulations, Title 8, Division 1, Chapter 8, Subchapter 3, Articles 1-7. PARTIES will include prevailing wage requirements in contracts for public work and require contractors to include the same prevailing wage requirements in all subcontracts.

Work performed by a PARTY's own employees is exempt from the Labor Code's Prevailing Wage requirements.

If WORK is paid for, in whole or part, with federal funds and is of the type of work subject to federal prevailing wage requirements, PARTIES will conform to the provisions of the Davis-Bacon and Related Acts, 40 U.S.C. §§ 3141-3148.

When applicable, PARTIES will include federal prevailing wage requirements in contracts for public works. WORK performed by a PARTY's employees is exempt from federal prevailing wage requirements.

DEFINITIONS

PARTY – Any individual signatory party to this AGREEMENT.

PARTIES – The term that collectively references all of the signatory agencies to this AGREEMENT.

WORK BREAKDOWN STRUCTURE (WBS) – A WBS is a standardized hierarchical listing of project work activities/products in increasing levels of detail. The CALTRANS WBS defines each PROJECT COMPONENT as a group of work activities/products. The CALTRANS WBS is defined in the CALTRANS Workplan Standards Guide.

Contact Information

CALTRANS

Kelly Hirschberg, Project Manager
111 Grand Ave
Oakland, CA 94612
Office Phone: (510) 286-4925
Mobile Phone: (510) 715-9016
Email: kelly_hirshberg@dot.ca.gov

SONOMA COUNTY TRANSPORTATION AUTHORITY

James Cameron, Director of Project and Program
411 King Street
Santa Rosa, CA 95040
Office Phone: (707) 565-5377
Email: james.cameron@scta.ca.gov

SIGNATURES

PARTIES are empowered by California Streets and Highways Code to enter into this AGREEMENT and have delegated to the undersigned the authority to execute this AGREEMENT on behalf of the respective agencies and covenants to have followed all the necessary legal requirements to validly execute this AGREEMENT.

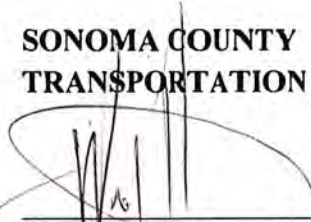
Signatories may execute this AGREEMENT through individual signature pages provided that each signature is an original. This AGREEMENT is not fully executed until all original signatures are attached.

**STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION**

 *for Lenka*

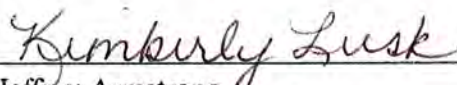
Helena (Lenka) Culik-Caro
Deputy District Director-Design

**SONOMA COUNTY
TRANSPORTATION AUTHORITY**



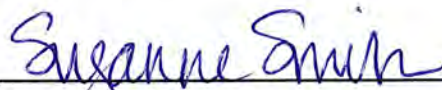
Chair, SCTA Board

**VERIFICATION OF FUNDS AND
AUTHORITY:**

for 


Jeffrey Armstrong
District Budget Manager

Attest:



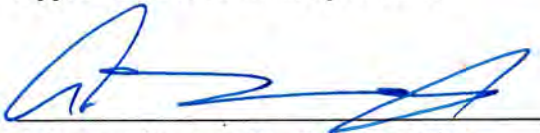
Suzanne Smith
Executive Director

**CERTIFIED AS TO FINANCIAL TERMS
AND POLICIES:**



Tamara Warren
HQ Accounting Supervisor

Approved as to form and procedure:



Attorney, Sonoma Co. Transportation
Authority

FUNDING SUMMARY NO. 01

<u>FUNDING TABLE</u>					
<u>IMPLEMENTING AGENCY</u> →			<u>SCTA</u>	<u>SCTA</u>	Totals
Source	Party	Fund Type	PA&ED	PS&E	
LOCAL	SCTA	RTP-LRP	6,000,000	10,000,000	16,000,000
Totals			6,000,000	10,000,000	16,000,000

<u>SPENDING SUMMARY</u>					
Fund Type	PA&ED		PS&E		Totals
	CALTRANS	<u>SCTA</u>	CALTRANS	<u>SCTA</u>	
Local	220,000	5,780,000	240,000	9,760,000	16,000,000
Totals	220,000	5,780,000	240,000	9,760,000	16,000,000

Funding

1. If there are insufficient funds available in this AGREEMENT to place the PROJECT right-of-way in a safe and operable condition, the appropriate IMPLEMENTING AGENCY will fund these activities until such time as PARTIES amend this AGREEMENT.

That IMPLEMENTING AGENCY may request reimbursement for these costs during the amendment process.

2. If there are insufficient funds in this AGREEMENT to implement the obligations and responsibilities of this AGREEMENT, including the applicable commitments and conditions included in the PROJECT environmental documentation, permits, agreements, and/or approvals that are in effect at a time that WORK stops, each PARTY accepts responsibility to fund their respective WORK until such time as PARTIES amend this AGREEMENT.

Each PARTY may request reimbursement for these costs during the amendment process.

ICRP Rate

3. The cost of any engineering support performed by CALTRANS includes all direct and applicable indirect costs. CALTRANS calculates indirect costs based solely on the type of funds used to pay support costs. State and federal funds administered by CALTRANS are subject to the current Program Functional Rate. All other funds are subject to the current Program Functional Rate and the current Administration Rate. The Program Functional Rate and Administration Rate are adjusted periodically.

In accordance with California Senate Bill 848, the Administration Rate is capped at 10 percent until July 1, 2021, for Self-Help Counties with a countywide sales tax measure dedicated to transportation improvements.

Invoicing and Payment

4. PARTIES will invoice for funds where the SPENDING SUMMARY shows that one PARTY provides funds for use by another PARTY. PARTIES will pay invoices within forty-five (45) calendar days of receipt of invoice when not paying with Electronic Funds Transfer (EFT). When paying with EFT, SCTA will pay invoices within five (5) calendar days of receipt of invoice.

5. If SCTA has received EFT certification from CALTRANS, then SCTA will use the EFT mechanism and follow all EFT procedures to pay all invoices issued from CALTRANS.
6. When a PARTY is reimbursed for actual cost, invoices will be submitted each month for the prior month's expenditures. After all PROJECT COMPONENT WORK is complete, PARTIES will submit a final accounting of all PROJECT COMPONENT costs. Based on the final accounting, PARTIES will invoice or refund as necessary to satisfy the financial commitments of this AGREEMENT.

Project Approval and Environmental Document (PA&ED)

7. CALTRANS will invoice SCTA for a \$20,000 initial deposit after execution of this AGREEMENT and forty-five (45) working days prior to the commencement of the PA&ED expenditures. This deposit represents two (2) months estimated costs.

Thereafter, CALTRANS will submit invoices to SCTA and SCTA will reimburse for actual costs incurred and paid.

Plans, Specifications, and Estimate (PS&E)

8. CALTRANS will invoice SCTA for a \$20,000 initial deposit after execution of this AGREEMENT and forty-five (45) working days prior to the commencement of the PS&E expenditures. This deposit represents two (2) months estimated costs.

Thereafter, CALTRANS will submit invoices to SCTA and SCTA will reimburse for actual costs incurred and paid.

SCTA Resolution Number 2019-009
Sonoma County Transportation Authority
Santa Rosa, California
June 10, 2019

RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA COUNTY TRANSPORTATION AUTHORITY (SCTA), COUNTY OF SONOMA, STATE OF CALIFORNIA, AUTHORIZING THE CHAIR TO EXECUTE THE FOLLOWING HIGHWAY 37 COOPERATIVE AGREEMENT WITH THE CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS):

COOPERATIVE AGREEMENT 04-2623 FOR ENVIRONMENTAL AND DESIGN ON STATE ROUTE 37 BETWEEN HWY 121 AND MARE ISLAND AT AN AMOUNT NOT TO EXCEED \$460,000, SUBJECT TO THE FINAL NEGOTIATION BY STAFF AND APPROVAL BY LEGAL COUNSEL

WHEREAS, on March 12, 2018 the SCTA Board approved the SR 37 Transportation and Sea level Rise Corridor Improvement Plan and directed staff to expedite implementation of plan concepts; and

WHEREAS, the Parties wish to proceed with the Project Approval and Environmental Document (PA&ED), and Plans, Specifications and Estimates (PS&E) phases of the State Route 37 Interim Project (the "PROJECT"); and

WHEREAS, Caltrans provides oversight of consultant prepared work at no cost to SCTA; and

WHEREAS, some direct work tasks beyond oversight are best performed by Caltrans and require reimbursement from SCTA to Caltrans; and

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors of the Sonoma County Transportation Authority authorizes the chair to execute cooperative agreement 4-2623 with Caltrans for the environmental and design of the Highway 37 interim project, subject to the final negotiation by staff and approval by legal counsel.

BE IT FURTHER RESOLVED that the Board of Directors of the Sonoma County Transportation Authority authorizes the chair to execute future amendments to cooperative agreement 4-2623 with Caltrans which does not utilize SCTA discretionary funding, other than staff time.

SCTA Resolution Number 2019-009
Sonoma County Transportation Authority
Santa Rosa, California
June 10, 2019

THE FOREGOING RESOLUTION was approved by acclamation:

Director Bagby	<u>Aye</u>	Director Miller	<u>Aye</u>
Director Callinan	<u>Aye</u>	Director Naujokas	<u>Aye</u>
Director Gorin	<u>Aye</u>	Director Rabbitt	<u>Aye</u>
Director Gurney	<u>Aye</u>	Director Rogers	<u>Aye</u>
Director Harvey	<u>Aye</u>	Director Salmon	<u>Aye</u>
Director Landman	<u>Aye</u>	Director Zane	<u>Aye</u>

Ayes: 12

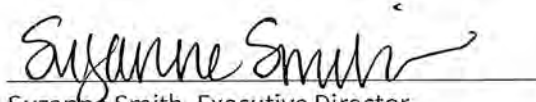
Noes: 0

Absent: 0

Abstain: 0

SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Transportation Authority held on June 10th, 2019.



Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority

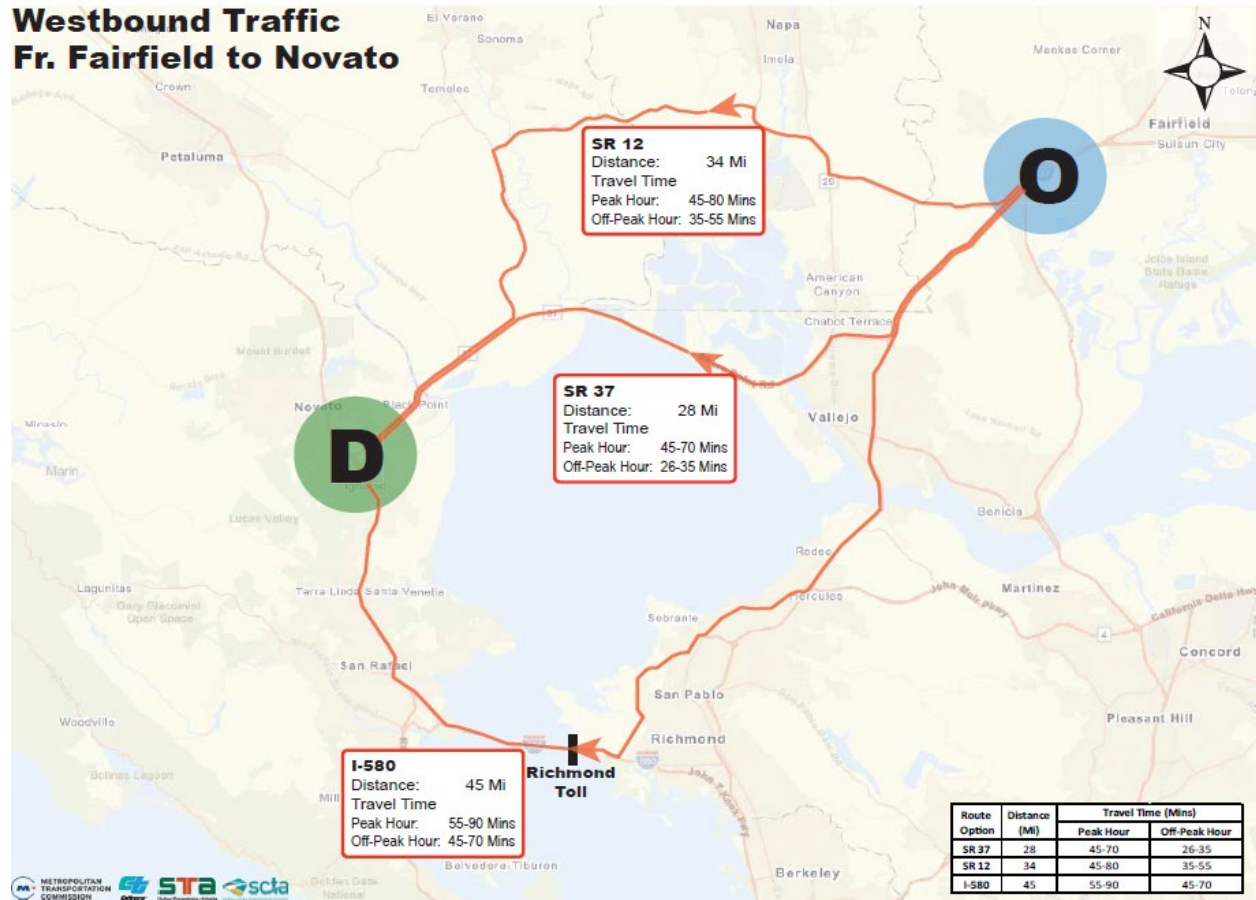
ATTACHMENT 3 – Caltrans Letter of Support

ATTACHMENT 4 – Project Initiation Document

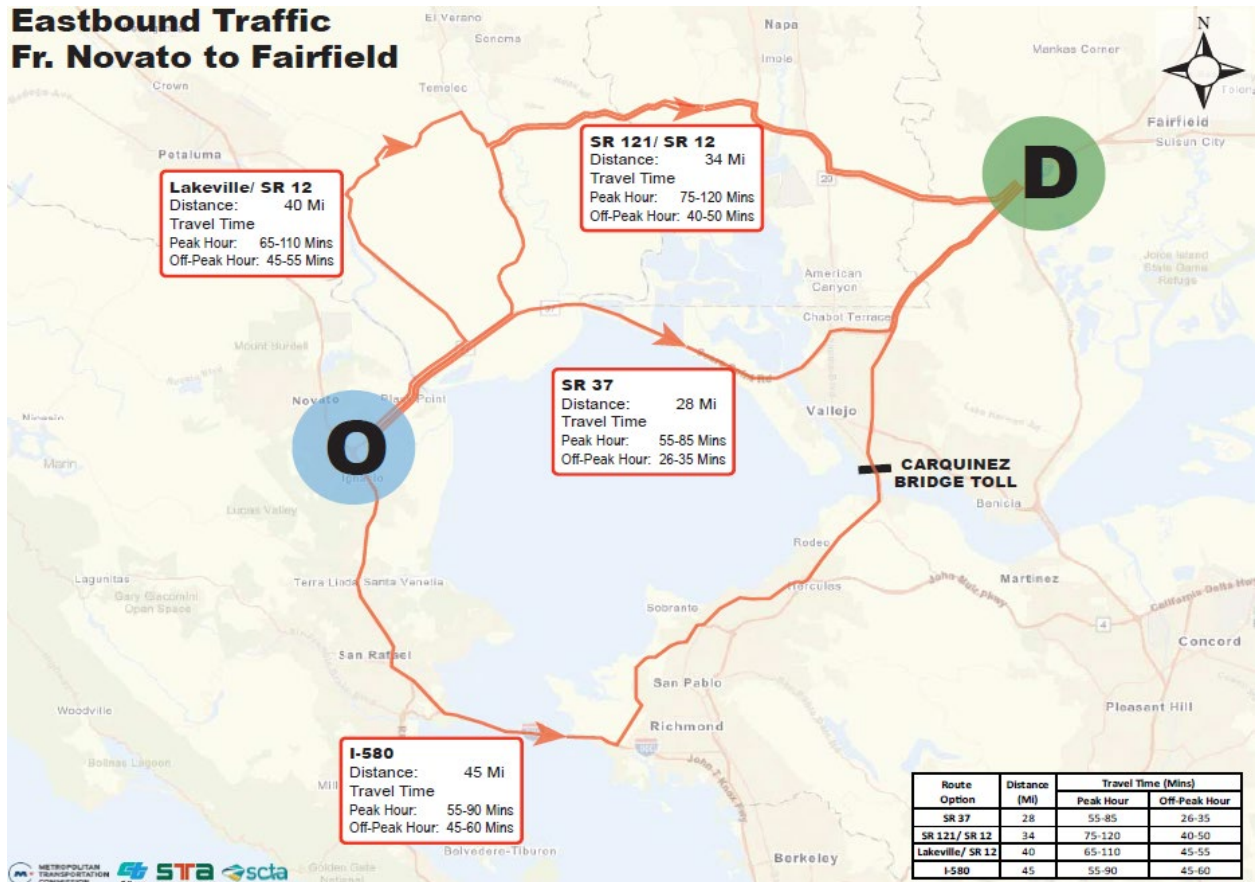
Submitted separately due to file size

ATTACHMENT 5 – Route Option Figures

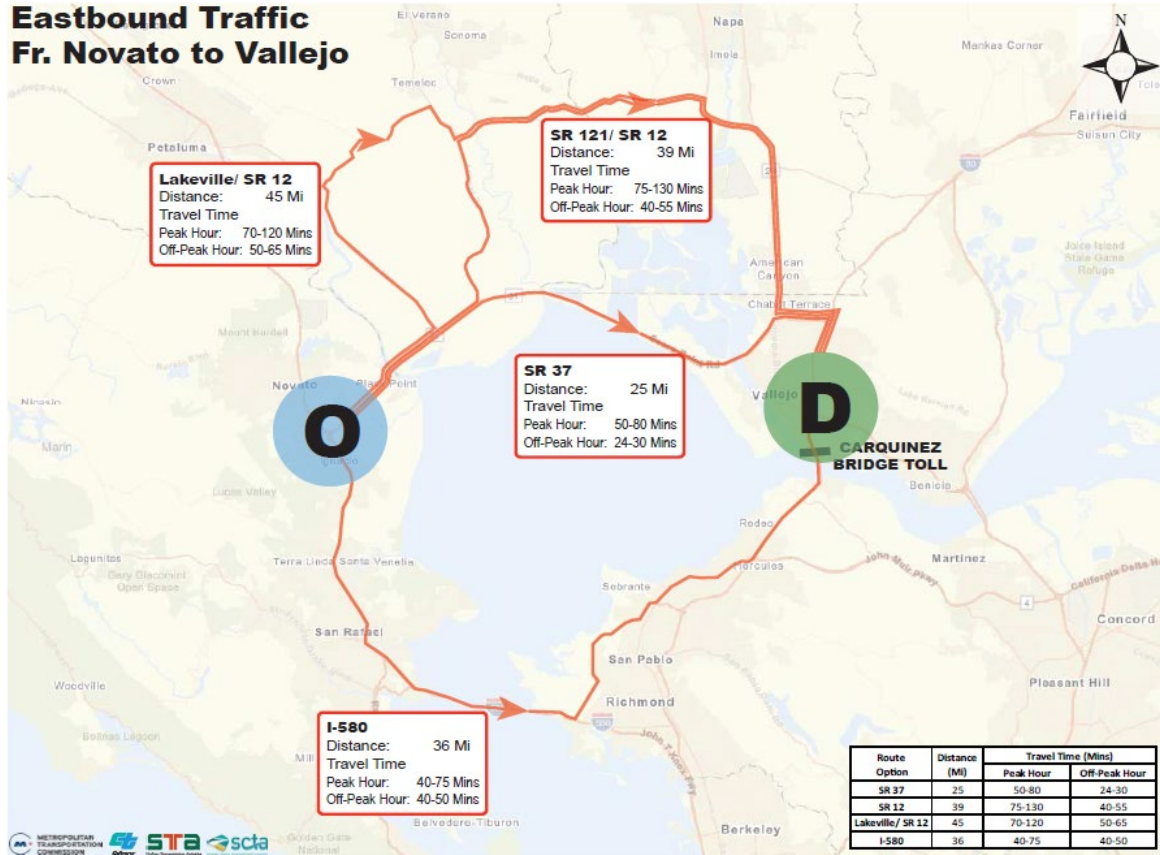
Westbound Traffic Fr. Fairfield to Novato



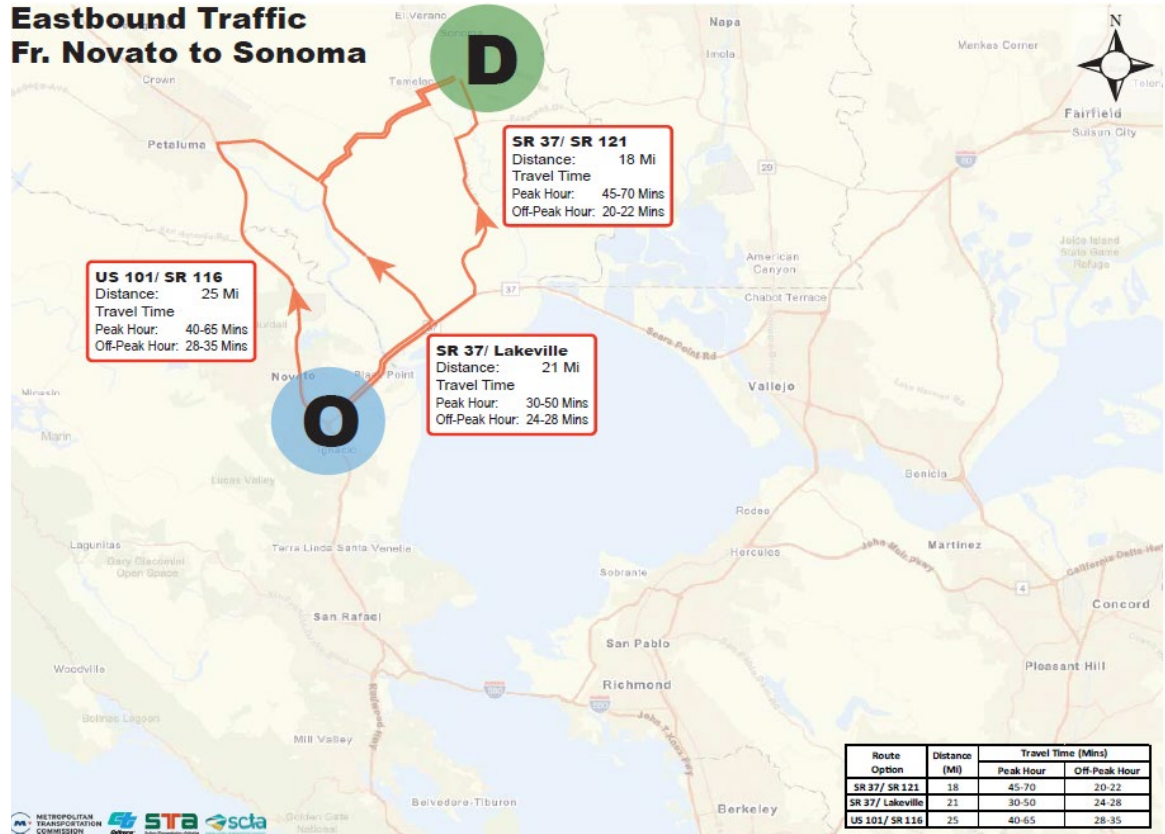
Eastbound Traffic Fr. Novato to Fairfield



Eastbound Traffic Fr. Novato to Vallejo



Eastbound Traffic Fr. Novato to Sonoma



ATTACHMENT 6 – Community Outreach Summary Reports



STATE ROUTE 37 IMPROVEMENT PLAN

SR 37 Open House summary

INTRODUCTION

Between September 20th and October 2nd 2017, Caltrans, the Metropolitan Transportation Commission (MTC), the Transportation Authority of Marin (TAM), the Sonoma County Transportation Authority (SCTA), the Napa County Transportation Authority (NCTA) and the Solano Transportation Authority (STA) conducted a series of 4 open houses to inform the public about the State Route 37 Improvement Plan. The attendance at the open houses ranged from approximately 30 to about 100 members of the public. Staff and management from Caltrans, MTC and the four transportations authorities were in attendance, as well as elected officials from the local counties and cities. The event details for each open house can be found in table 1.

Table 1. Event Details

City	Date	Location	Attendees (sign-ins)	Comment Cards	Elected officials present
Novato	Sept 20 6pm-8pm	The Key Room	26	7	- Damon Connolly, District 1 Supervisor, Marin County - Judy Arnold, District 5 Supervisor, Marin County
American Canyon	Sept 27 6pm-8pm	American Canyon Council Chambers	20	5	- Leon Garcia, Mayor of American Canyon
Sonoma	Sept 28 6pm-8pm	Sonoma Veterans Memorial Building	29	7	- David Rabbitt, District 2 Supervisor, Sonoma County - Susan Gorin, District 1 Supervisor, Sonoma County - Jake Mackenzie, Mayor of Rohnert Park
Vallejo	Oct 2 6pm-8pm	Vallejo Naval and Historical Museum	72	24	- Bob Sampayan, Mayor of Vallejo



Open House Objectives and Format

The objectives of the Open House were to:

- Inform residents about the status of efforts to reduce traffic congestion and respond to climate change on SR 37;
- Highlight key takeaways from studies conducted to date, including high level results from the affordability analysis;
- Provide an opportunity for participants to share their issues and concerns regarding the corridor, and
- Inform residents about upcoming opportunities to receive information and provide input.

The events followed an “open house” format, where participants browsed through the information provided at 7 thematic stations at their own pace. Staff was positioned at each station to provide information, answer questions, and collect feedback. The topics covered by the informational boards included:

- Process Overview
- Traffic Concerns
- Environmental Concerns
- Potential Short-Term Improvements
- Potential Mid- to Long-Term Improvements
- Potential Financing Options
- Existing and Planned Bay Trail

Media Coverage:

All four events received media coverage from local newspapers and TV stations. Local media coverage included the following articles and TV stories:

- Vallejo Times Herald: <http://www.timesheraldonline.com/general-news/20171003/dozens-fill-vallejo-museum-to-discuss-possible-highway-37-improvements>
- Fairfield Daily Republic: <http://www.dailyrepublic.com/solano-news/vallejo/the-week-ahead-highway-37-plans-topic-of-vallejo-open-house/>
- Sonoma Index Tribune: <http://www.sonomanews.com/news/7468672-181/agencies-host-hwy-37-informational>
- San Francisco Chronicle: <http://www.sfchronicle.com/opinion/article/Rebuild-State-Route-37-to-address-sea-level-rise-12219708.php>
- Marin IJ: <http://www.marinij.com/general-news/20170921/highway-37-marin-officials-seek-solutions-for-flood-prone-road>
- KRON 4: <http://kron4.com/2017/09/20/video-toll-proposed-on-highway-37-in-the-north-bay-for-rebuilding-road/>
- Marin IJ: <http://www.marinij.com/general-news/20170920/live-updates-highway-37-improvements-planning-meeting-6-pm>



PUBLIC COMMENTS

All event attendees were invited to submit comment cards to share their concerns and ideas about the project with the team. Below is a summary of the written comments received during the open houses. The summary is intended to illustrate the variety of comments received and key takeaways include the most frequently mentioned concerns. The attached appendix includes a scan of all of the comments received.

Key takeaways:

- **Short-Term Improvements:** Many respondents insisted on the urgency of implementing the short-term improvements proposed to relieve congestion along the corridor.
- **Expand alternatives to driving:** Expanding road capacity will not achieve a long-term solution; many travelers are seeking more transportation options including all forms of public transportation, bicycling, and walking.
- **Public Transit Options:** Many comments showed strong support for providing public transit options between Vallejo and Marin, often citing ferry services, and express bus services.
- **SMART train extension:** Several comments expressed the need to place a higher priority on considering rail as an option. Extending the SMART train and using existing rail should be more prominently considered.
- **Bicycle and Pedestrian Access:** Creating a quality bicycle and pedestrian path along the corridor with access to open space was a top priority for many commenters.
- **SR 37 & SR 121 Intersection:** The Sears Point intersection was identified by many as the top priority for congestion relief along the corridor, with several respondents offering solutions such as extending the merge length east of the intersection or installing permanent barriers between the east-bound lanes west of the intersection.
- **Opposition to full privatization:** Several comments expressed strong opposition to the privatization of the road, however very few respondents were opposed to the tolling options.
- **Four-lane expansion:** Many comments showed support for expanding Segment B to 4-lanes, many of which suggesting the additional lanes should be HOV lanes.
- **Growing needs of freight:** Though comments were limited, goods movement needs and potential alternatives need to be considered.

Marin Open House Comment Summary:

- Suggests consideration of variable pricing toll lanes (express lanes). Need to study undesirable effects of tolling, such as increasing overall system congestion. Suggests creating a middle reversible lane for segment B with varying toll price.
- Suggests doing a geotechnical survey to find bedrock, investing in ferry service, and considering floating roadway (like Bayou states).
- Encourages alternative transportation options, specifically public transit and ferries.
- Supports the protection of wildlife corridors in the project area.
- Strongly supports implementation of near-term improvements to allow sufficient time for selection of long-term strategy.
- Safety should be prioritized along the corridor: the east bound lane reduction and merge before Sears Point needs to be improved for safety by adding permanent lane partitions.
- Insists on the need to lessen congestion at the 101/37 interchange.

Napa Open House Comment Summary:

- Suggests further consideration of public transit options, especially bus service.
- Supports preserving the function of wetlands, creating HOV lanes and an expanded ferry service between Vallejo and Marin.
- Suggests increasing the production of affordable housing in Marin to alleviate traffic; opposed to a fully private road; strongly supports the creation of HOV lanes, consider rail options.
- Suggests car ferries to relieve congestion and offer a first and last mile option.

Sonoma Open House Comment Summary:

- Prioritize HWY 121 interchange and all short-term improvements, supports elevated highway option and suggests looking into rail service, consider the freight usage of road.
- Supports short-term improvements at 121/37 intersection, encourages more public transit options especially expanding smart.
- Supports short-term improvements, especially lengthening left turn lane eastbound at Lakeville road, extend 2 lanes eastbound past sears point for 2 miles, and activate passenger rail service to integrate with smart system.
- Support for smart train expansion along SR37 to Vallejo.
- Supports toll road and widening of lanes.

Solano Open House Comment Summary:

- Opposed to tolls and private ownership of road; supports 4-lane road expansion as double-decker bridge, HWY 37 should be prioritized because of the urgency of climate change.
- SR 37 needs to be prioritized; the Sears Point intersection needs to be improved in the short-term, the economic impact of the congestion needs to be studied, suggests adding a reversible lane to segment B.

- Suggests looking at Caltrans' 1990 study of SR 37 and the Sonoma County Regional Parks Department's Bay Trail feasibility study from 2005/2006. Insists on including the creation of a "quality" Bay Trail along the corridor to attract tourists.
- Opposed to tolling but recognizes the urgency of the situation; if tolling is inevitable preference for a toll road. Strongly opposed to full privatization, in favor of a public transit option.
- Concerned about the cost to senior citizens on fixed incomes.
- Suggests adding permanent barriers between lanes on eastbound 37 before the 121 intersections in the short term, and prohibiting cars altogether in the long-term to make room for buses.
- Suggests creating a 2nd eastbound lane with the shoulder room and adding permanent barriers to separate eastbound lanes before the 121 junction.
- Strong support for a 4-lane causeway to be built urgently, and for improvements at the 121 intersection.
- Supports toll option as only realistic way to get project underway, and is in favor of creating a bike/ped path along the route.
- Encourages looking at public transit between Vallejo and Marin, such as a commuter bus.
- Supports widening segment B to 4 lanes, suggests building light rail tracks from Novato to HWY 12 junction, from Fairfield to Vallejo, and from Vallejo to Napa, with a free park and ride stations.
- Supports a public/private finance option, as only viable solution for the corridor.
- Supports bicycle and rail solutions to ease traffic and provide access to piers and levee trails; also supports elevated roadway and increased lanes.
- Priority issues along the corridor are: Mare Island access ramp, merge from 2 to 1 lane, elevate and expand number of lanes, correct 121 intersection. Also in favor of tolling and providing ferry service.
- Strong opposition to privatization, and strong support for Class 1 Bike lanes.
- Supports creating a bike path along the corridor, elevating the roadway and developing hiking trails.
- Suggests considering realignment to SR12 and adding bike paths with viewing areas.
- Supports enjoyable bicycle and pedestrian facilities along the route, with better access to open space (mentions the east span of the bay bridge as a good example).
- Supports creating a Class 1 bike/ped path.
- Supports a ferry service from Vallejo to Larkspur, which connects to the SMART train.
- Strong support for the creation of a public transit option between Vallejo and Marin, as well as exploring a floating 4-lane bridge option with HOV lanes. In favor of tolling but strongly opposed to privatization.
- Suggests using RM3 funding for initial feasibility studies and alerting state legislators of the urgency of the project.
- Suggests considering the no project option and putting all funds towards public transit and home creation near jobs, would like to see a full VMT analysis and growth inducing impact analysis, recommends consideration of a floating bridge option, supports Bay Trail project.

Summary of Comments Received Electronically:

- The needs of cyclists need to be prioritized along the corridor.



- Recommends partitioning the road prior to the crest of the hill with a barrier to separate the traffic going EB to Vallejo/Mare Island from the traffic turning north into 121 to Sonoma. Prefers funding SMART train extension than a bike lane.
- Advocates for a Class 1 fully separated multi-use path that accommodates both bicycles and pedestrians.

Comments specific to the Draft DAA

Comments specific to the draft DAA were submitted by the following organizations and agencies, the full comments are provided in Appendix B:

- Marin County, Department of Public Works
- SR 37 – Baylands Group
- Greenbelt Alliance
- Bay Area Ridge Trail Council
- Marin Audubon Society
- San Francisco Bay Trail
- The Marin, Sonoma, and Napa County Bicycle Coalitions
- Sonoma County Transportation and Land Use Coalition
- Friends of SMART





STATE ROUTE 37 IMPROVEMENT PLAN

Summary of SR 37 Survey Results

Prepared by:



Moore Iacofano Goltsman, Inc.
800 Hearst Avenue
Berkeley, CA 94710

March 2018



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I. Introduction

The SR 37 Outreach Team, including Caltrans D4, the Transportation Authorities of Marin, Sonoma, Napa and Solano Counties, and MTC, conducted an online survey to collect input from a broad diversity of SR 37 users. The objective of the survey was to better understand the travel patterns of regular SR 37 users and to collect feedback about users major concerns and priorities for improvements along the highway. The survey was open to the public between December 1, 2017 and January 16, 2018 and over 3750 responses were collected.

II. Survey Outreach Methodology

The Outreach Team conducted a robust outreach effort to publicize the on-line survey including e-blasts, social media and outreach to key partners including local cities, chambers of commerce, neighborhood associations, community-based organizations, and other established civic groups.

The following outreach channels were used to promote the survey:

- TAM, SCTA, NVTA, and STA websites
- TAM, SCTA, NVTA, and STA commissions' mailing lists
- SR 37 Facebook page
- Caltrans Facebook and Twitter pages
- Caltrans website
- E-blasts to the SR 37 mailing list
- Communications via Twitter and Facebook
- Targeted communications with local media outlets

III. Demographics of Survey Respondents

With over 3750 survey respondents, the survey reached a broad range of Marin, Sonoma, Napa and Solano residents. Approximately 41% of respondents were from Solano County, and respectively 21%, 19 % and 11% from Sonoma, Marin and Napa County. Seven percent of respondents were from other counties, including Contra Costa, Sacramento and Yolo County, among others.

In terms of age, nearly 50% of the respondents were between 45 and 64 years old, 31% between 25 and 44 years old, and 18% over 65 years old. The majority of respondents (80%) identified as White, and 7% as Asian, 6% as Hispanic, 3% as African-American, 2% as Native American, and 6% as multi-racial. In terms of household income, about 44% declared earning more than \$100,000, 30% declared earning between \$50,000 and \$100,000, 11% declared earning less than \$25,000 and the remaining 17% declined to state.

The charts that follow provide more detailed demographic information about survey respondents.

Figure 1 – County of Residence

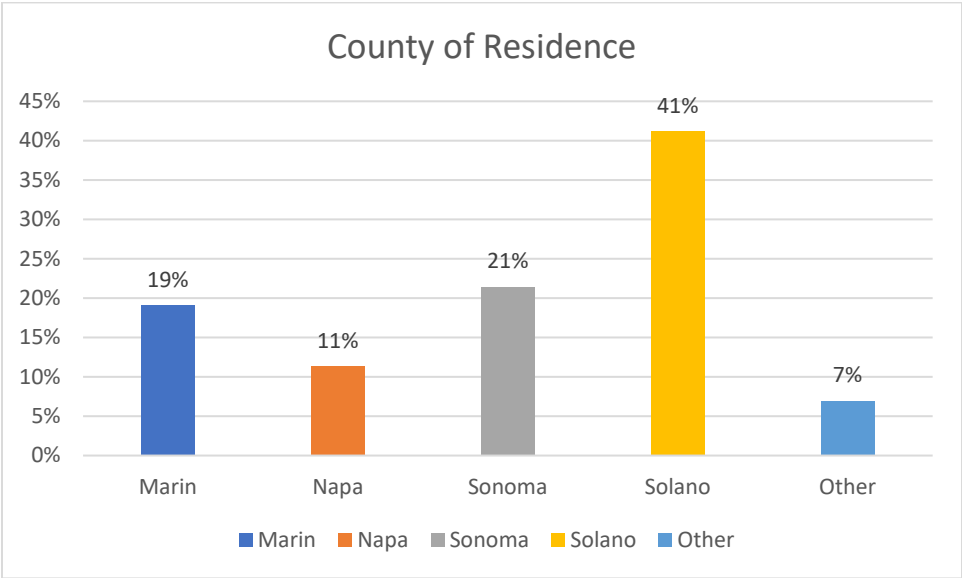


Figure 2 – Age of Survey Respondents

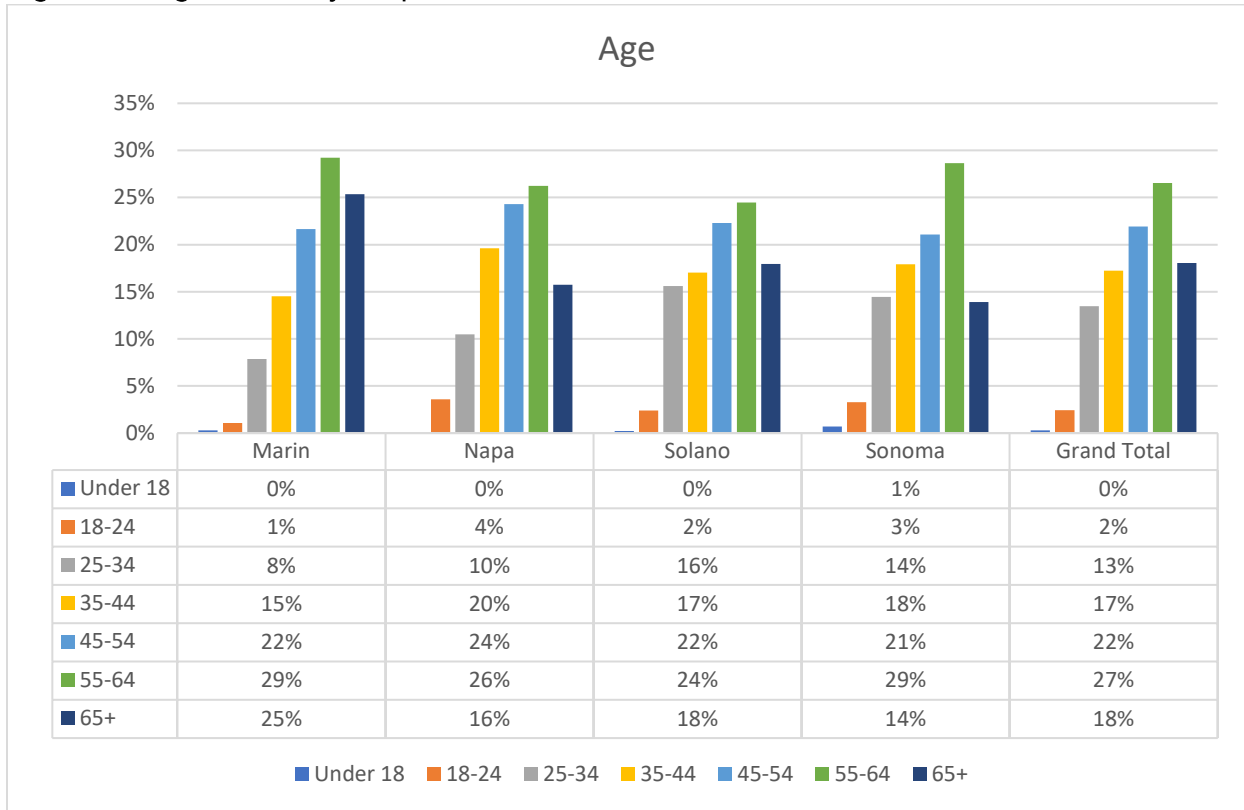


Figure 3 – Race/Ethnicity of Survey Respondents

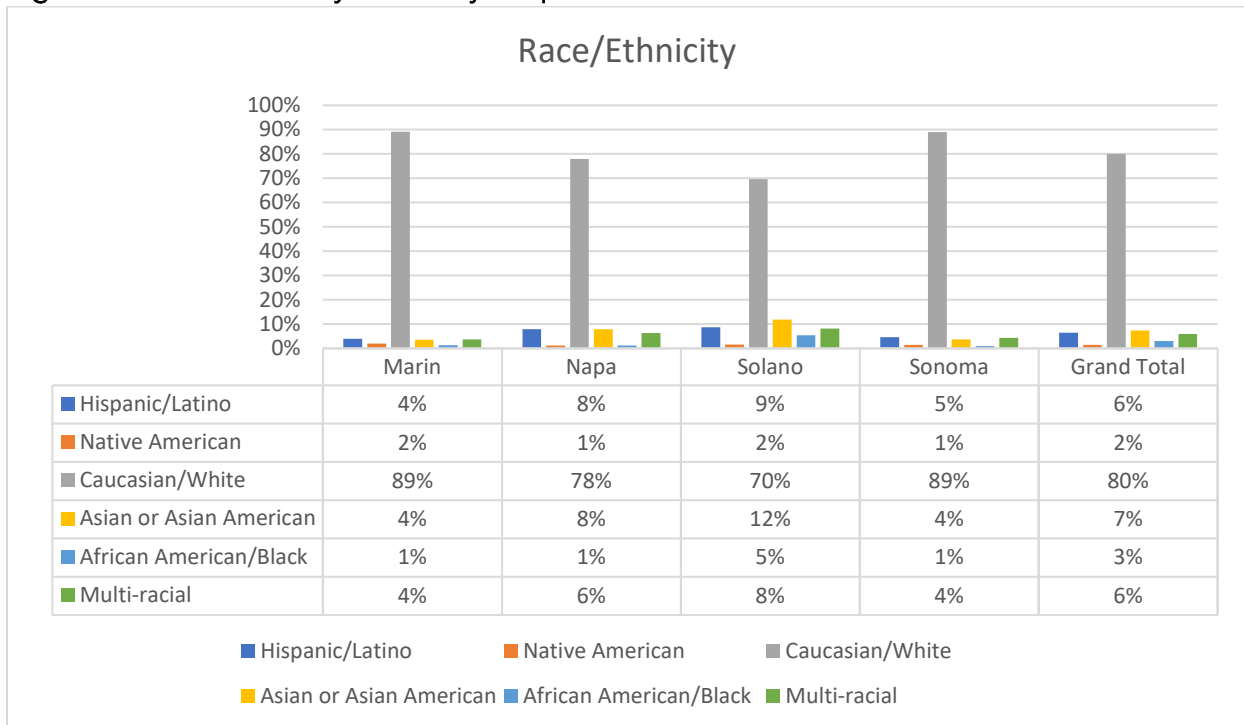
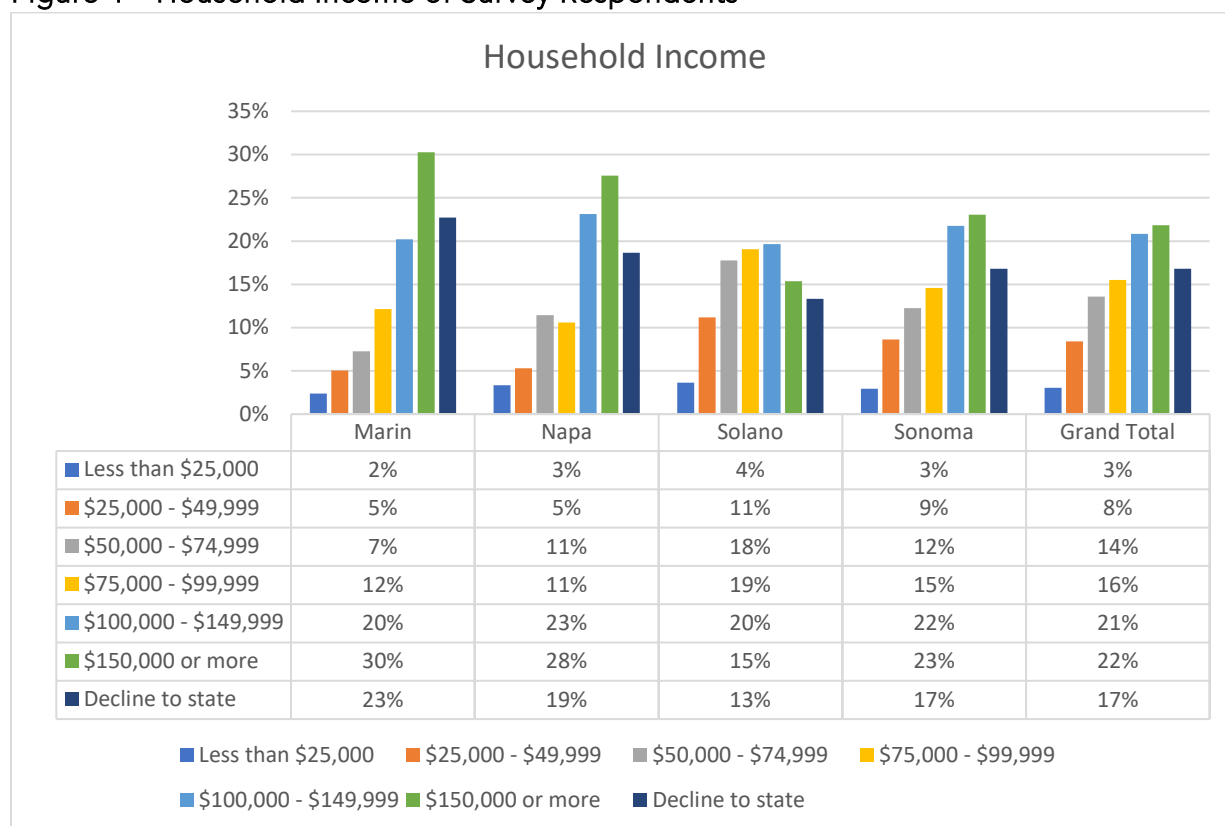


Figure 4 – Household Income of Survey Respondents



IV. Survey Results

This section provides an overview and analysis of the survey responses by theme. Respondents’ current travel patterns and habits along SR 37 will be analyzed first, before looking at potential changes to travel along SR 37, major concerns and ideas for improvements, and finally analyzing respondents’ willingness to consider alternative funding options. Survey questions included multiple choice questions, short answer questions, and map-based questions. The map-based questions allowed respondents to place a pin on the map to identify specific locations along the corridor where they think improvements are needed.

The charts included in the section provide response data at the county level. Additionally, in certain cases, response data was analyzed in terms of respondents’ frequency of travel on SR 37.

A. Travel Patterns

Respondents were asked to answer several questions about their travel habits along SR 37. Key findings from this section include:

- *Live/Work*
 - Most respondents work in Marin County (Novato, San Rafael) and San Francisco (see figure 5 for a map illustrating where respondents work).

- Most respondents live in the Vallejo area, and many others live in the main North Bay cities and towns, including Napa, Sonoma, Novato and Petaluma (see figure 6 for a map illustrating where respondents live).
- 45% of respondents use SR 37 to go to work, 40% for recreation and the remaining 15% use SR 37 for school or to run errands (see figure 9).
- The majority (79%) of respondents drive alone, and 19% carpool (see figure 11).
- *Travel Frequency:*
 - 52% of respondents travel on SR 37 either daily or a few times a week (see figure 7).
 - 30% of respondents use SR 37 on weekdays only, and 50% on both weekends and weekdays (see figure 8).
 - Segment A is the most frequently travelled segment for survey respondents (see figure 12).
- *Alternative Routes:*
 - Many respondents declared using alternate routes to avoid congestion on SR 37, including Lakeville Highway (16%) and Highway 121 (12%) (see figure 13).

Figure 5 – Heatmap illustrating responses to the survey question “Where do you work?”
(A total of 1509 pins were dropped on the map)

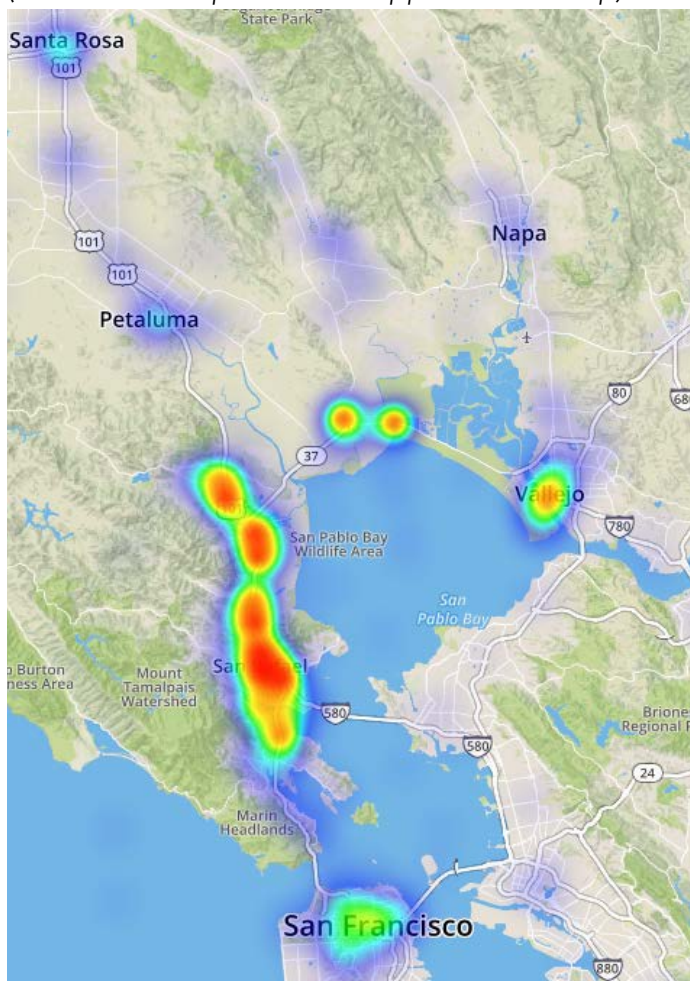


Figure 6 – Heatmap illustrating responses to the survey question “Where is home?”
(A total of 2109 pins were dropped on the map)

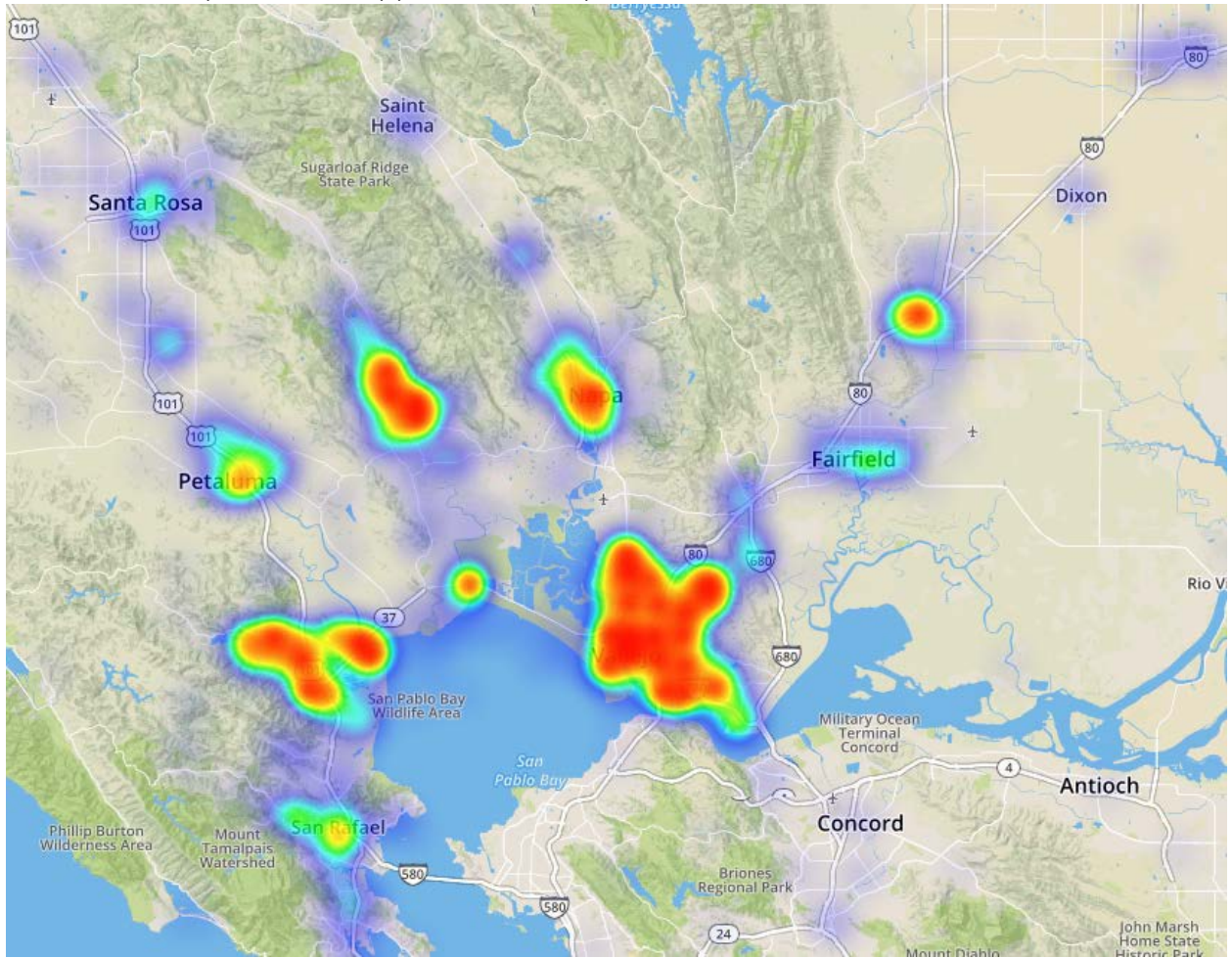


Figure 7 – Frequency of Travel on SR 37

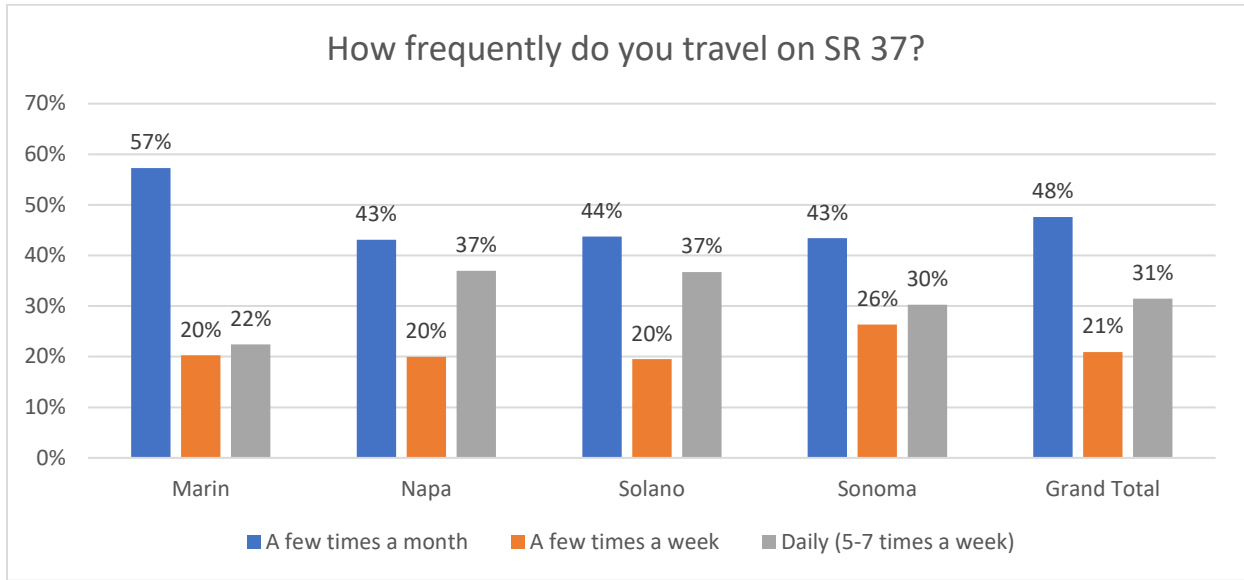


Figure 8 – Days of Travel on SR 37

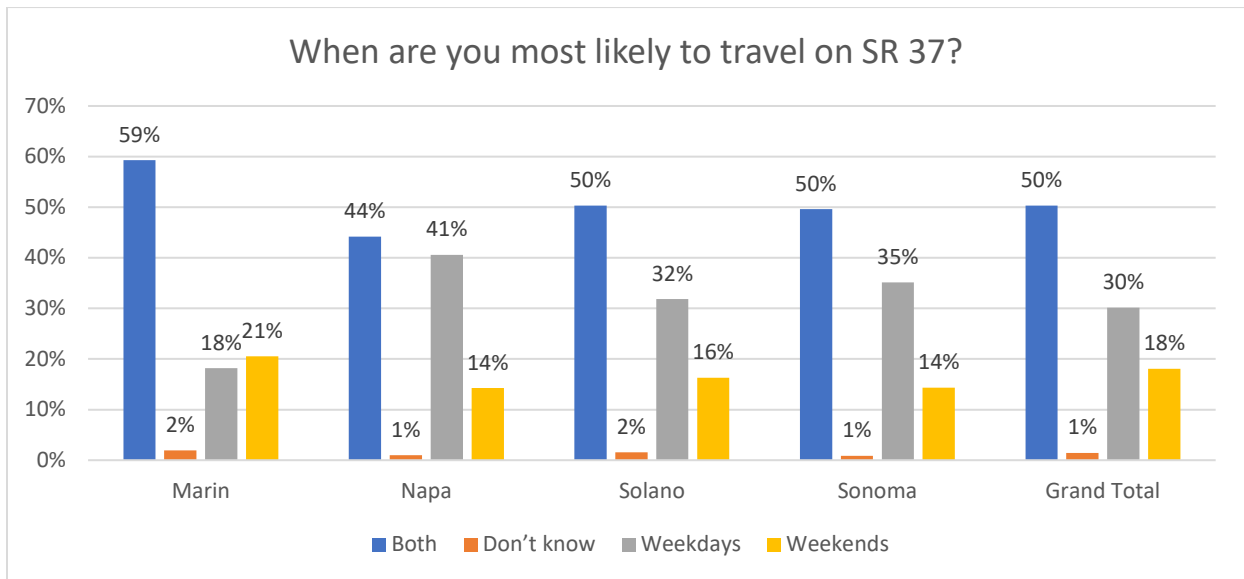


Figure 9 – Reason for Travel on SR 37

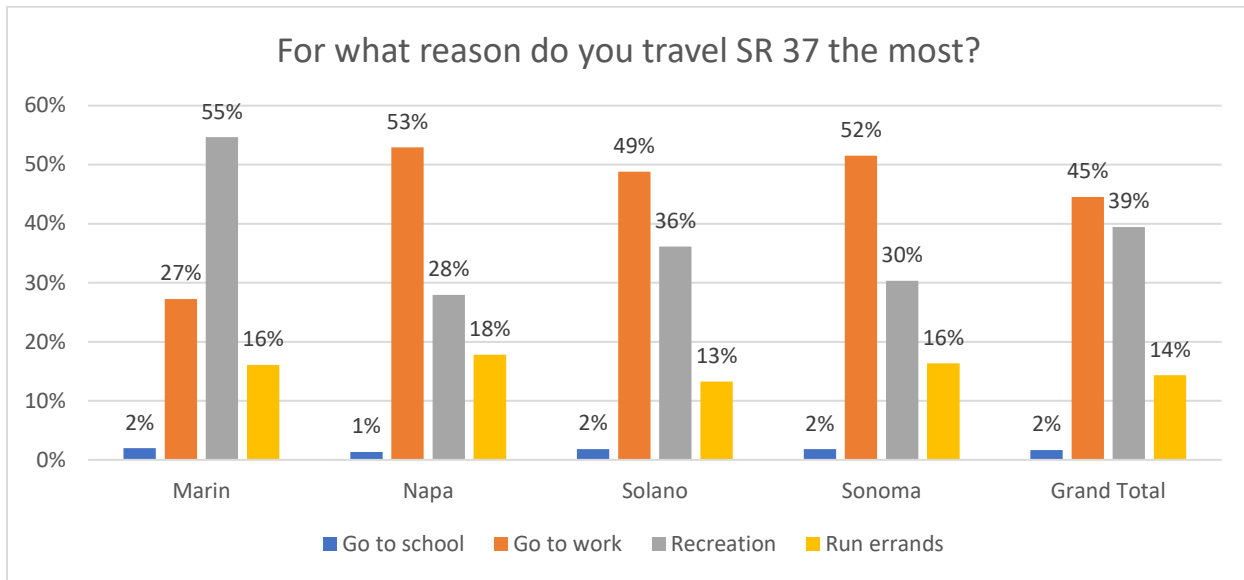


Figure 10 – Reason for Travel on SR 37 by Reason for Travel

In order to better understand the travel patterns of SR 37 users, respondents' frequency of travel was analyzed in terms of their reason for travel. This level of analysis provides more detailed information about how frequently respondents use SR 37. For instance, of respondents who use SR 37 primarily for work, only 64% use it daily and nearly a quarter (22%) use SR 37 a few times a week. The relatively low proportion of respondents travelling on SR 37 daily can be explained by commuters changing their travel itineraries and schedules due to traffic congestion on SR 37, such as using alternate routes or telecommuting.

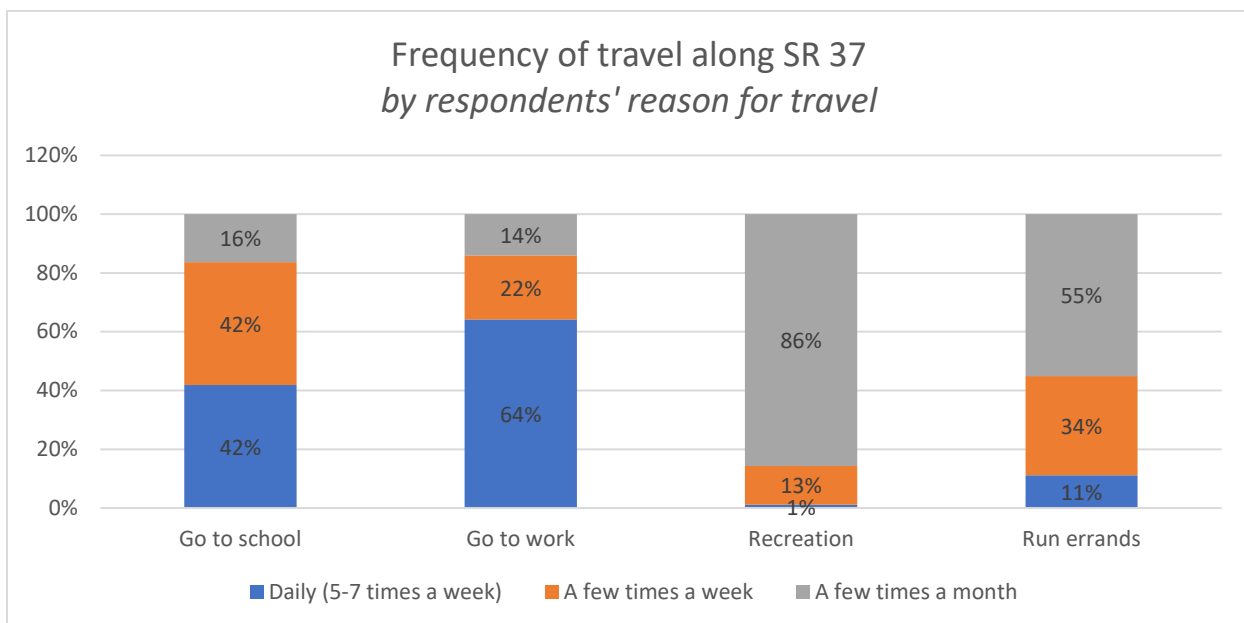


Figure 11 – Mode of Transportation

Please note: respondents were allowed to select several answer choices. Results are expressed in percentage of total respondents and totals can therefore exceed 100%.

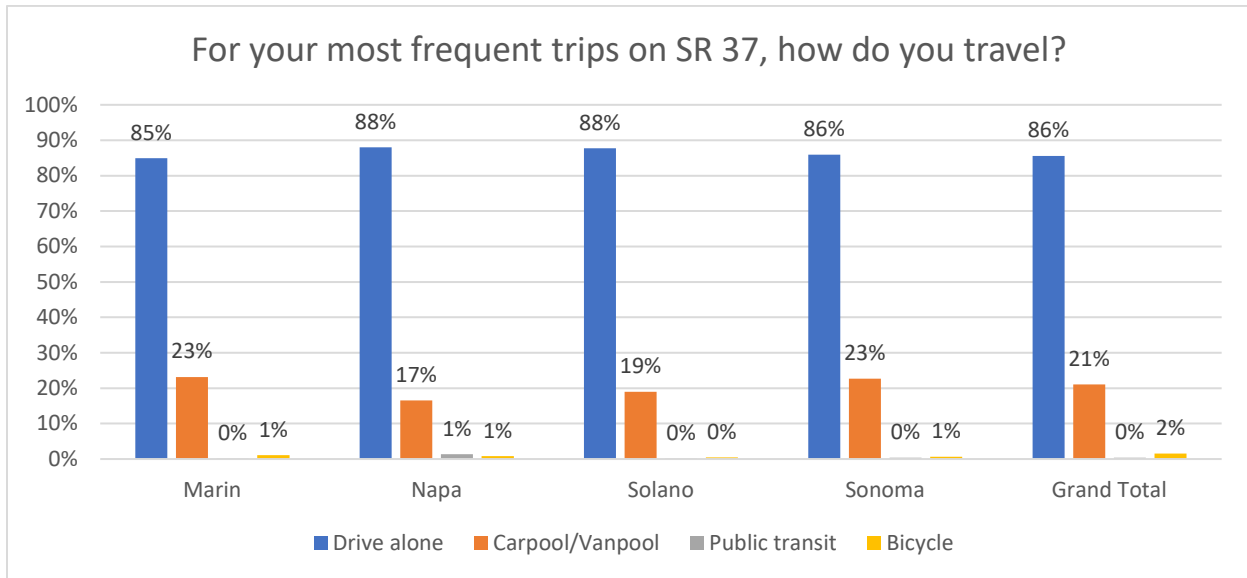


Figure 12 – Most Frequently Travelled Segments

Segment A: between US 101 in Novato and SR 121 (Sears Point)

Segment B: between SR 121 (Sears Point) and Mare Island

Segment C: between Mare Island and I-80 in Vallejo

Please note: respondents were allowed to select several answer choices. Results are expressed in percentage of total respondents and totals can therefore exceed 100%.

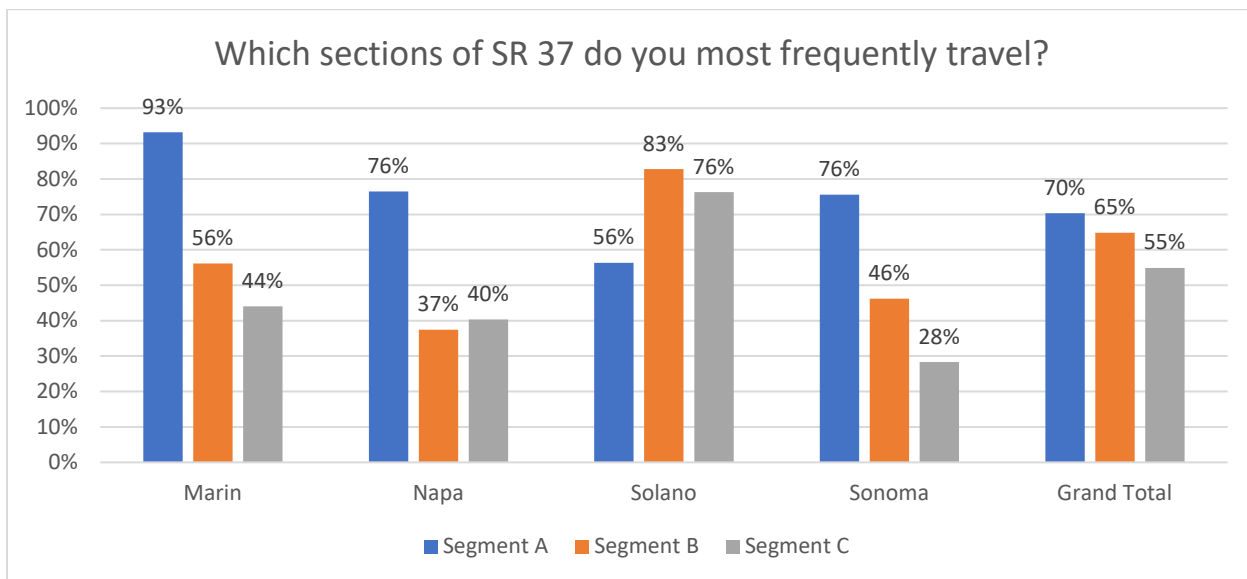
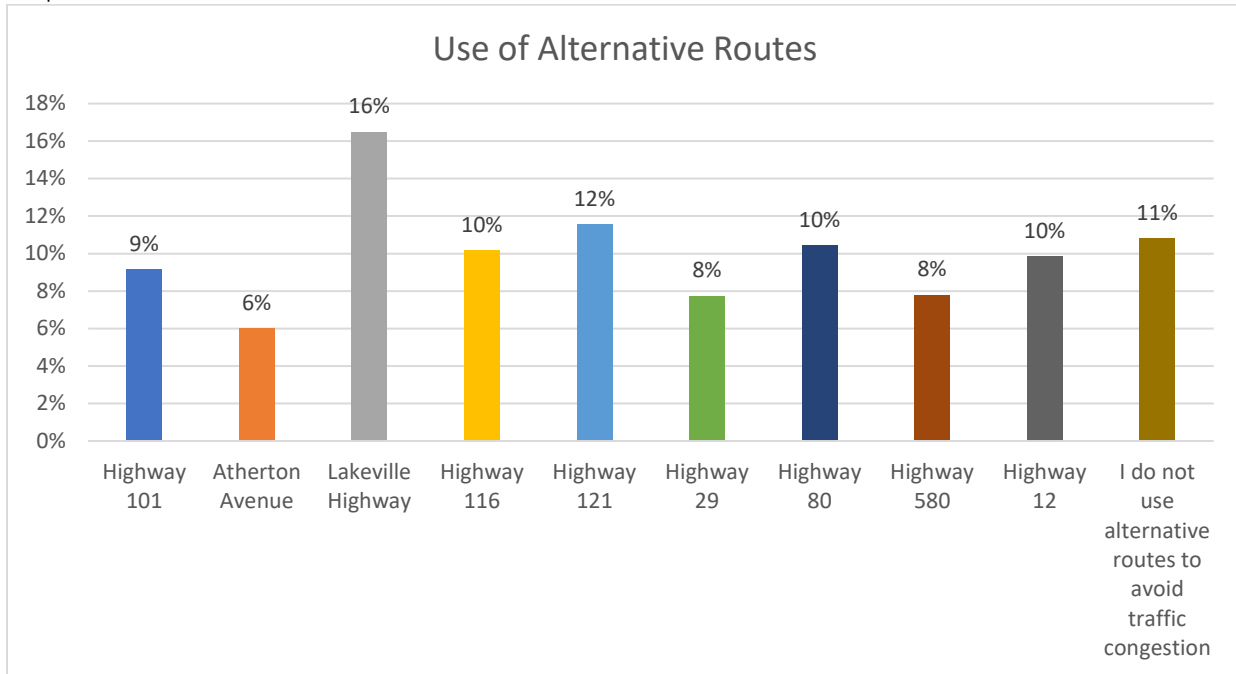


Figure 13 – Use of Alternative Routes

Please note: respondents were asked to “select all that apply” to answer this question. Results therefore reflect percentage of total responses received for this question, not percentage of respondents.



B. Potential Changes in Travel Patterns

Survey participants were asked to answer several questions about their likelihood to change their travel habits along SR 37. Key findings from this section include:

- 29% of respondents are likely to use public transit if better options are available, 41% stated they were not likely to use public transit, and the remaining 30% answered “it depends”.
- Respondents’ likelihood to use public transit increased with their frequency of travel on SR 37: 40% of daily commuters stated they were likely to use public transit if better options were available (see figure 15).
- 14% of respondents stated they would be likely to travel by bicycle along SR 37 if a safe route were available (see figure 16).

Figure 14 – Likelihood of Using Public Transit

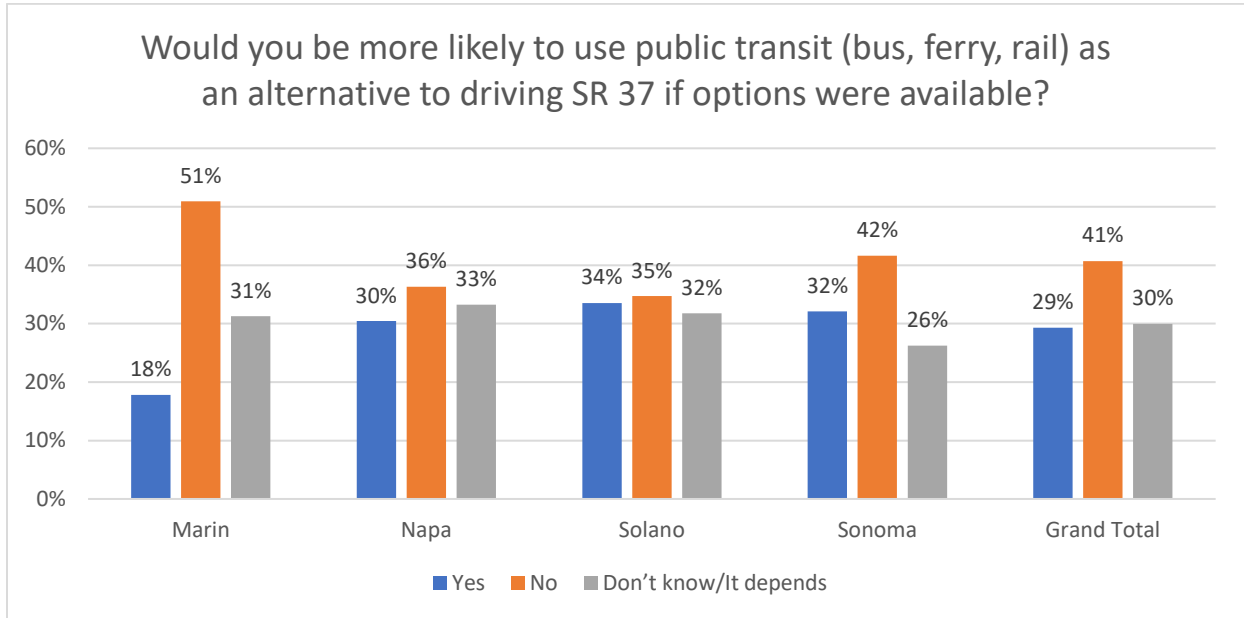


Figure 15 – Likelihood of Using Public Transit by Respondents’ Frequency of Travel

Respondents’ likelihood of using public transit was analyzed in terms of their frequency of travel on SR 37. This level of analysis provides more detailed information about how likely regular commuters are to use public transit if options were available. Daily commuters are the most likely to use public transit, with 40% stating they would use public transit compared to only 28% of respondents who use SR 37 a few times a week.

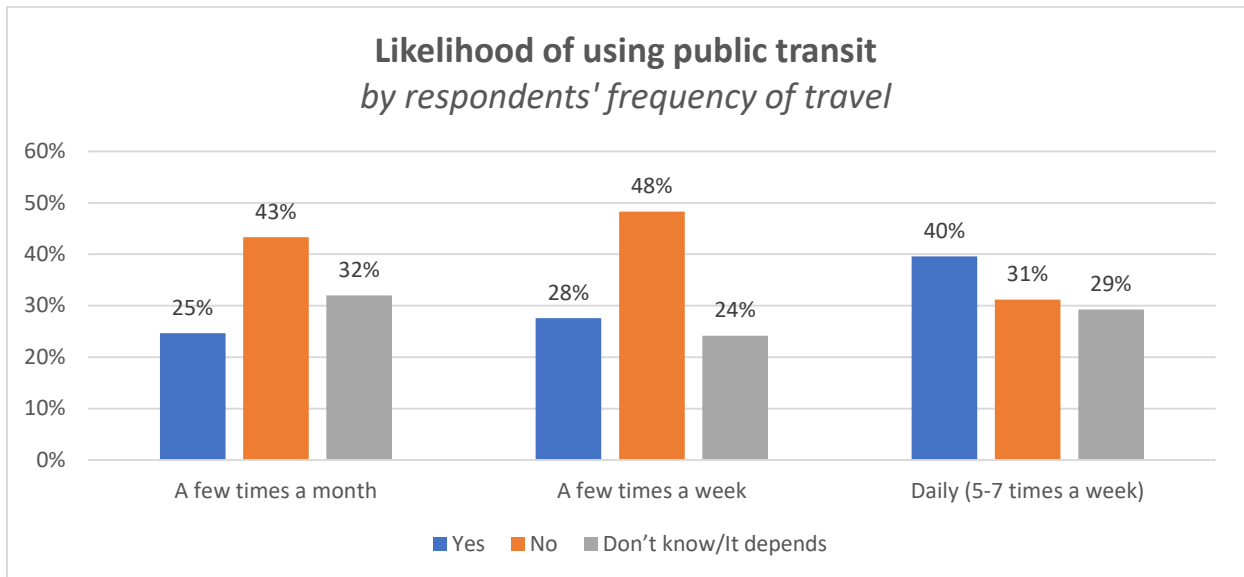
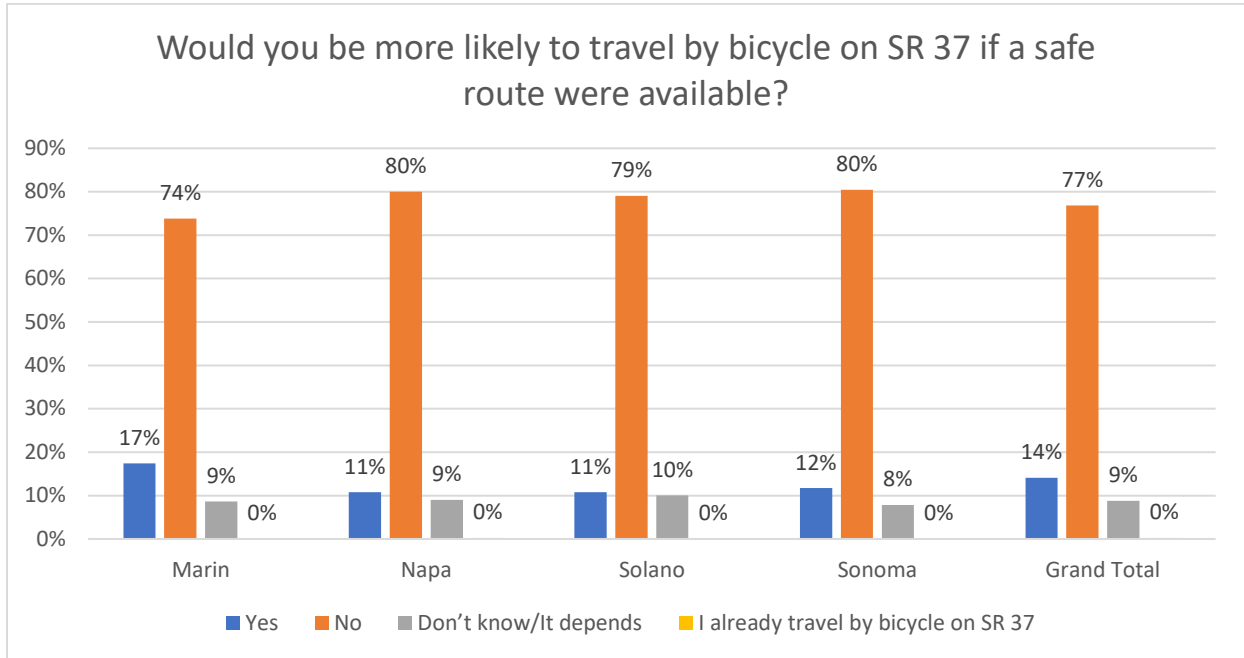


Figure 16 – Likelihood of Travelling by Bicycle



C. Alternative Funding Options

Respondents were asked to answer several questions about their willingness to consider alternative funding options for improvements to SR 37. Key findings from this section include:

- 53% of respondents were willing to consider alternative funding options and 12% stated they weren't willing to do so.
- Respondents' willingness to consider alternative funding options is not affected by their frequency of travel along SR 37.
- The preferred funding option identified by respondents is a local sales tax measure (37% of responses) and second preferred options were tolls collected on specific sections and tolls collected for the full route, each collected 24% of responses.

Figure 17 – Willingness to Consider Alternative Funding Options

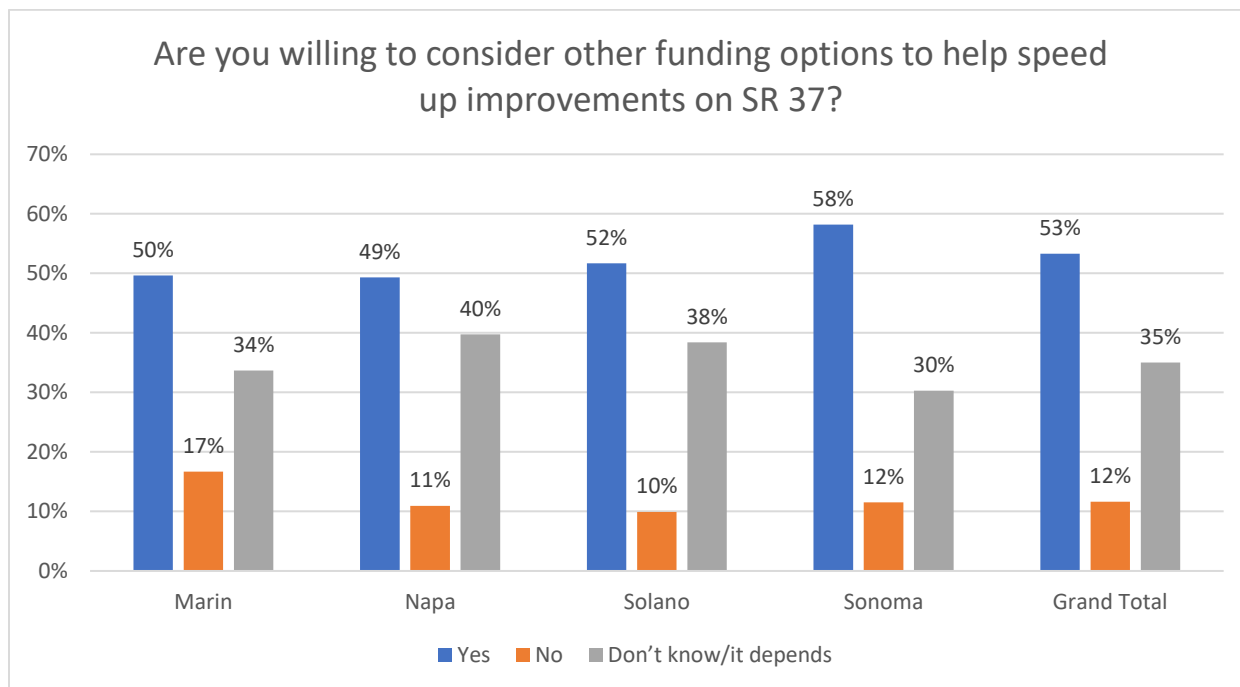


Figure 18 – Willingness to Consider Alternative Funding Options by Respondents' Frequency of Travel

Respondents' willingness to consider alternative funding options was analyzed in terms of their frequency of travel on SR 37. This level of analysis provides more detailed information about how willing regular commuters are to consider alternative funding options. Figure 18 indicates that the frequency with which a survey participant travels on SR 37 does not affect their willingness to consider alternative funding options. In other words, daily commuters are as inclined to seek alternative funding options as respondents who use SR 37 just a few times a month.

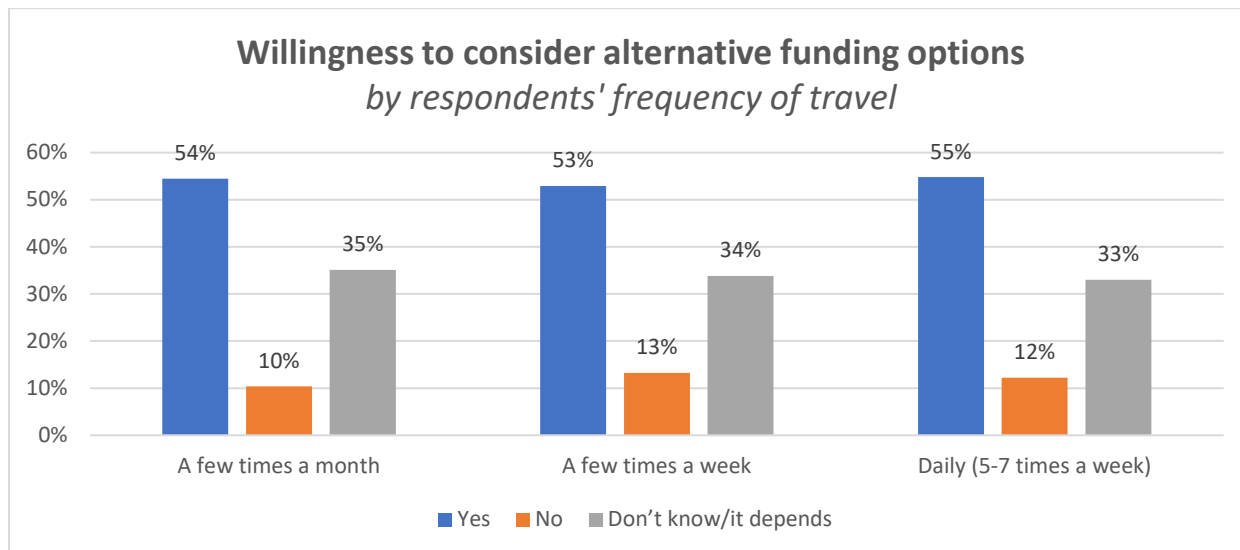
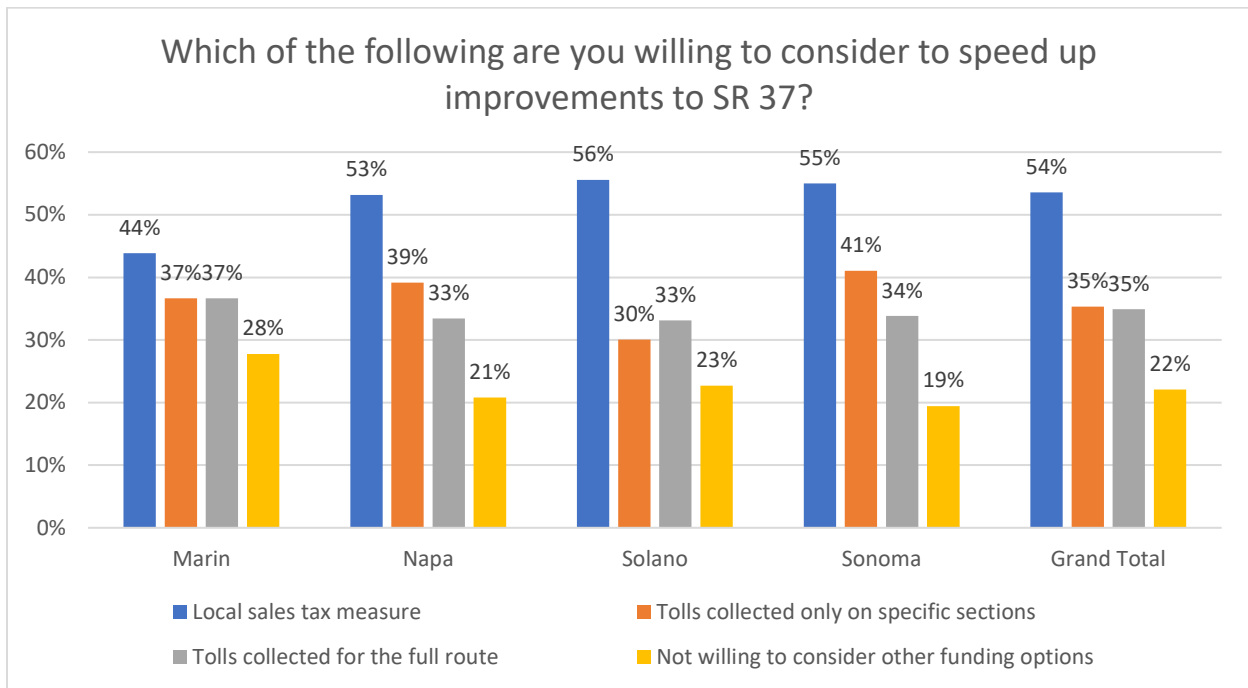


Figure 19 – Preferred Alternative Funding Options

Please note: respondents were allowed to select several answers. Results are expressed in percentage of total respondents and totals can therefore exceed 100%.



D. Major Concerns and Priorities for Improvement

Survey participants were asked to answer several questions about their major concerns along SR 37 and their priorities for improvements along the route. Key findings from this section include:

- Respondents dropped nearly 5500 pins on the map to identify areas of concern along the route:
 - 75% of the pins identified **traffic concerns** (see figure 22)
 - 35% of the pins identified **road safety concerns** (see figure 23)
 - 15% of the pins identified **flooding concerns** (see figure 24)
 - 8% of the pins identified **environmental concerns** (see figure 25)
- Respondents identified several key locations along SR 37 where priority improvements are needed (see figure 21):
 - Lakeville intersection
 - Sears Point and Sears Point approach coming from the West
 - Sonoma Creek Bridge
 - Mare Island (West of Napa River bridge)

Figure 20 – Ranked Level of Concern for Key Topics

This chart illustrates how respondents ranked the importance of different areas of concern from low to high importance. Respondents were asked to use a sliding scale to share their level of concern about each topic.

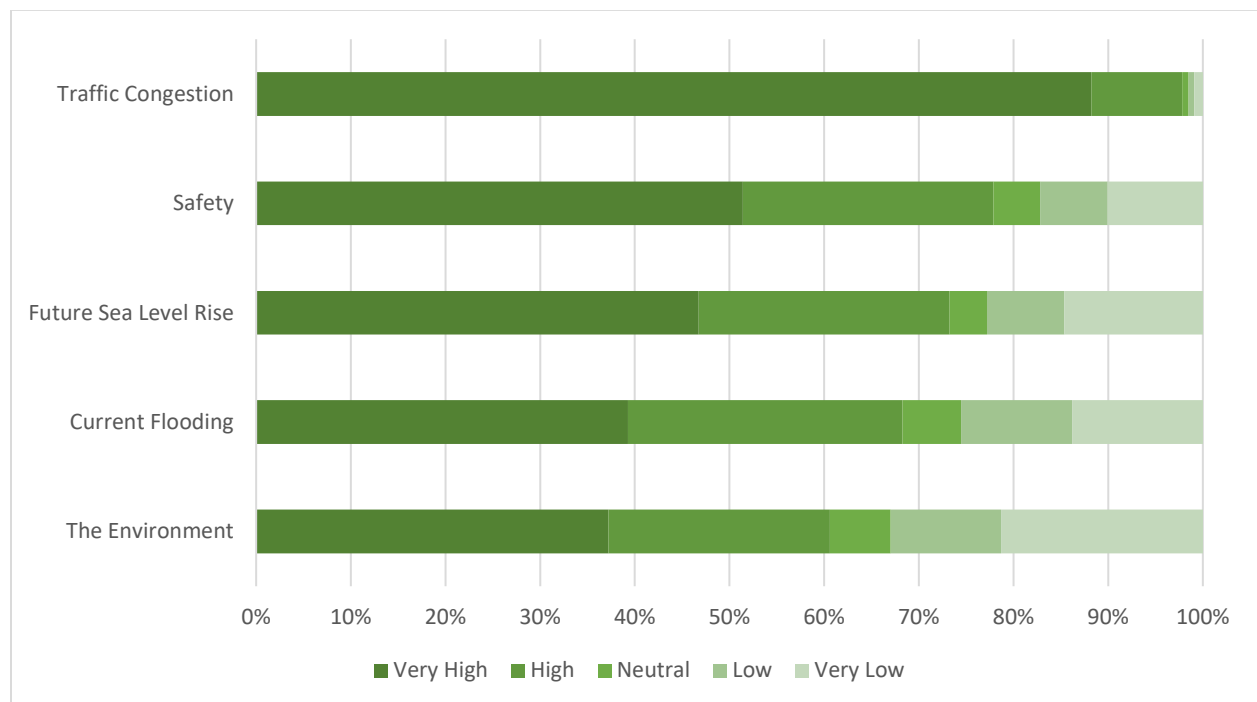


Figure 21 – Heatmap Illustrating Where Improvements are Needed

A total of 5405 pins were dropped on the map.

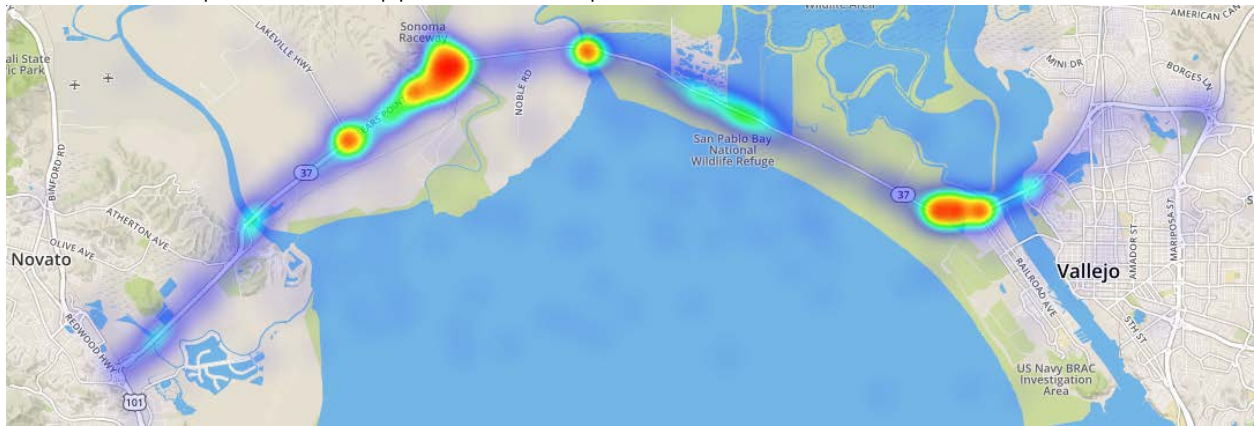
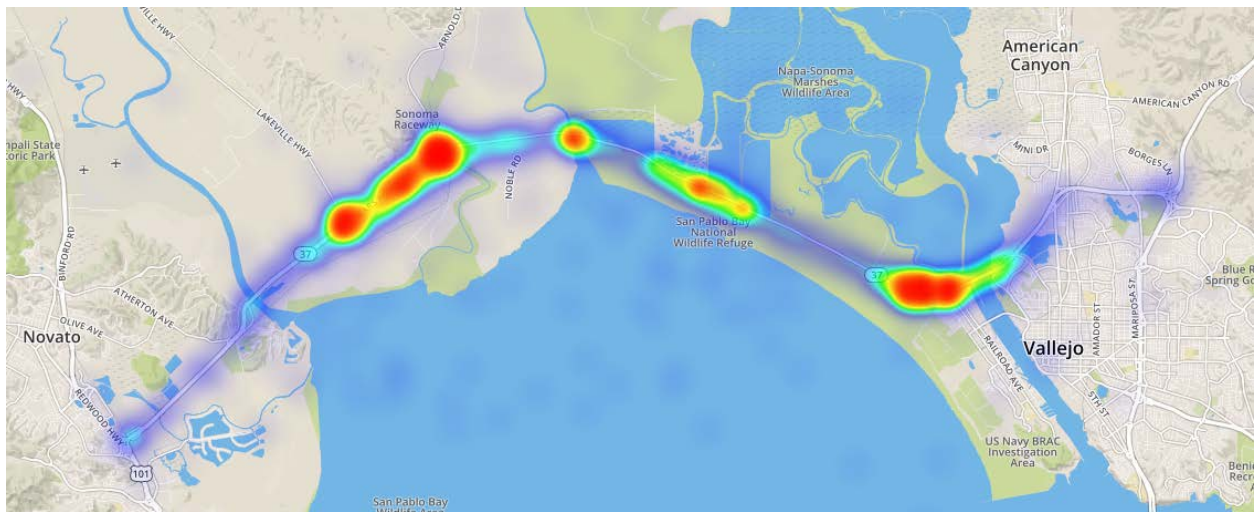


Figure 22 – Heatmap Illustrating Traffic Concerns Along the Route

A total of 4099 pins were dropped on the map to identify locations with traffic concerns along the route.



In addition to placing pins on the map, survey respondents submitted nearly 2500 written comments describing the specific traffic concerns they identified along the route. A sample of the comments received follows this section.

SAMPLE COMMENTS:

Location	Comment
Overall	This highway is so dangerous, I have stopped going to Marin County to avoid it. The traffic flow seems to cause reckless driving and encourage road rage.
Segment B	Need 2 lanes, the congestion here is atrocious.
Lakeville Intersection	Extend left turn lane onto Lakeville rd. People ride the shoulder regularly.
Sears Point	The lanes should be divided so if you're going to Vallejo you have to stay in that lane and if you're going to Sonoma you would have to stay in that lane instead of dangerously cutting into the Vallejo lane at the last minute
Sears Point	The merging traffic backs up for miles.
Sears Point	Replace traffic signal with grade separated interchange
Sears Point	Traffic circle or overpass to get rid of the traffic light which is a major traffic tie-up.
Mare Island	This is a bottleneck west-bound every day with backups, need two lanes in each direction all the way through on 37.
Mare Island	Super dangerous merge when getting on 37 from mare island when traffic is normal speed. This is also the major pinch point that creates the back ups in the morning.

Figure 23 – Heatmap Illustrating Road Safety Concerns Along the Route

A total of 1936 pins were dropped on the map to identify locations with road safety concerns along the route.



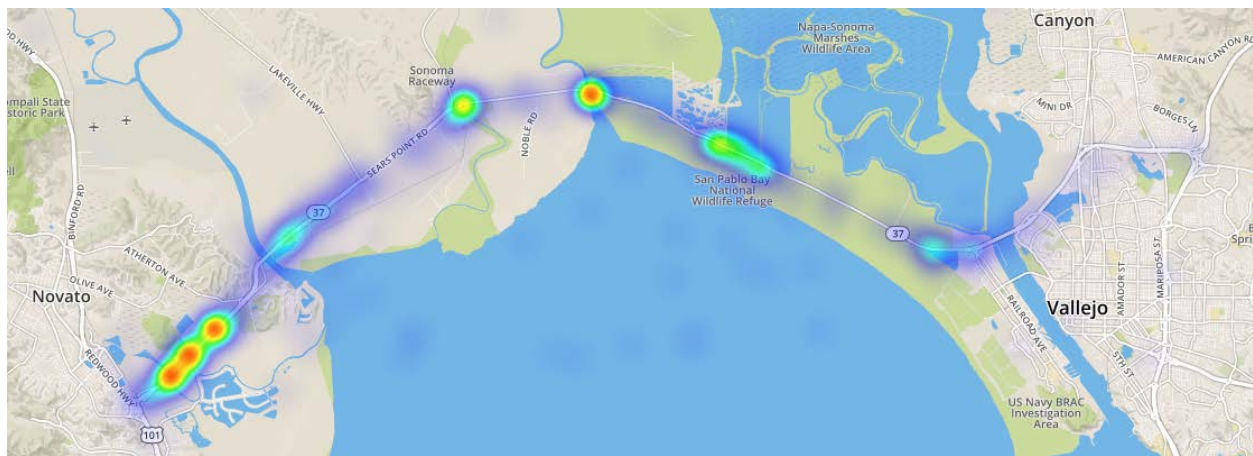
In addition to placing pins on the map, survey respondents submitted over 1200 written comments describing the specific road safety concerns they identified along the route. A sample of the comments received is included below.

SAMPLE COMMENTS:

Location	Comment
Novato/US 101	Heading West on 37, the merge onto 101 is very short sometimes causing evasive actions with drivers trying to exit or even continue on 101 South.
Lakeville	There needs to be a warning lights in both directions on the approach to the Lakeville stoplight to let you know the light is about to change. It's *so dangerous* as it is now, especially on foggy mornings!
Lakeville	Many people drive on the shoulder to bypass those waiting to get the often empty turn lane so as not to miss the light.
Sears Point	There should be a barrier between the Sonoma and Vallejo lane that prevents people from cutting into the Vallejo lane.
Sears Point	Dangerous intersection. Traffic travels at such high speed through light. Would be much safer as an interchange.
Sears Point	Road is really rough over old rail crossing. I've seen vehicles lose traction here in wet conditions.
Mare Island	Lane ends right at the mare island overcrossing - there are a lot of crashes there. There needs to be 2 lanes all the way from Vallejo to Novato!
Overall	Extra law enforcement. Speeding up to dead stop causing accidents
Overall	When traffic is stopped, you can't see the back up in places. Drivers go too fast to stop. Lights would warn of upcoming traffic hazards
Overall	Need multi-modal (bike and ped) safe passage. I've tried riding my bike, and there is no safe place to ride, especially over bridges. Shoulders are not physically separated, and filled with road dirt and trash.

Figure 24 – Heatmap Illustrating Flooding Concerns Along the Route

A total of 822 pins were dropped on the map to identify locations with flooding concerns along the route.



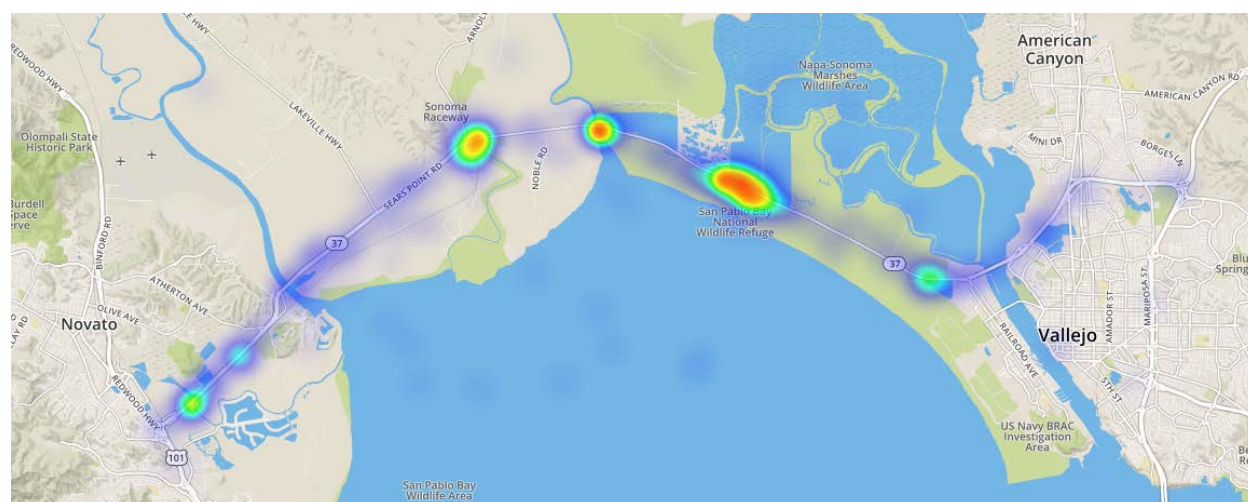
In addition to placing pins on the map, survey respondents submitted over 400 written comments describing the specific flooding concerns they identified along the route. A sample of the comments received is included below.

SAMPLE COMMENTS:

Location	Comment
East of Blackpoint	Due to settling, there's a pronounced dip in the road here that quickly unweights and unsettles vehicles traveling at highway speeds.
Novato/US 101	The bridge needs to be replaced. It flooded last year and traffic backs up from the flyover to 101. It'd be good to draw the S. Novato exit lane as an individual lane on the flyover from 101N.
Segment B	This section frequently floods during heavy rains and high tides. The roadway needs to be elevated, and protected bicycle lanes added. In addition, there should be a rail line that connect with the SMART train, running to Vallejo.
Segment B	This area could be subject to flooding and sea level rise. Traffic comes to sudden stops, is dangerous and could land vehicles in the bay. This road also divides two saltwater marshes and creates a barrier to the movement of wildlife.
Overall	Need to increase number of lanes and raise road to accommodate flooding from rain and sea rise.

Figure 24 – Heatmap Illustrating Environmental Concerns Along the Route

A total of 420 pins were dropped on the map to identify locations with environmental concerns along the route.



In addition to placing pins on the map, survey respondents submitted over 240 written comments describing the specific environmental concerns they identified along the route. A sample of the comments received is included below.

SAMPLE COMMENTS:

Location	Comment
Novato Creek	Roadway and levees constrain Novato Creek causing flooding. The roadway in this area should be a causeway, allowing the creek to flow and tidal changes to occur freely.
General	I worry an expansion would effect wildlife, especially the migrating water birds.
General	The bike path just ends. I think that it's reasonable for CalTrans to ensure that every road has a Class I bike path, especially in such a scenic area. It should be smooth, well designed, and kept clean and maintained.
General	The traffic congestion is causing pollution to the wetlands, please improve the flow of traffic. It will decrease the number of idling cars
General	Widen the road with complete sensitivity to the environment, and the visible nature of the area. Don't loose sight of the beauty, but make the road 2 lanes in each direction.

V. Next Steps

The findings from the survey results will help inform the development of the design alternatives for future improvements to SR 37. In order to collect more in-depth feedback about the travel habits and concerns of frequent SR 37 users, the SR 37 Outreach Team conducted a series of six focus groups following the survey. The feedback received through the focus groups will be analyzed and compiled into a Focus Group Summary that will add a level of detail to some of the responses received through the survey. Together the Survey Summary and the Focus Group Summary will help the Outreach Team better understand where the public has concerns and where they expect to see improvements.



STATE ROUTE 37 IMPROVEMENT PLAN

Summary of SR 37 Focus Groups

Prepared by:



Moore Iacofano Goltsman, Inc.
800 Hearst Avenue
Berkeley, CA 94710

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I. Overview and Recruitment

MIG convened and conducted six focus groups with the purpose of collecting detailed input from area residents who travel the corridor regularly. The feedback received through the focus groups will supplement the input collected through the online survey to provide a deeper understanding of the habits and concerns of SR37 commuters. The focus group recruitment strategy was designed to reach a variety of travelers from each of the four counties and low-income and minority populations. It can be difficult to attract typical members of the public to a community workshop and the focus groups provided an incentive to participate and allowed participants to be screened so we could compose each group to include diverse participants.

Focus group objectives included:

- Gain a better understanding of travel patterns on SR 37 from daily commuters in the four-county area.
- Identify specific locations on the route where travelers have key issues and concerns.
- Identify priority improvements along the route.
- Gain a deeper understanding of the preferences and concerns regarding potential funding strategies to pay for the needed improvements

Recruitment

During January and February 2018 a series of six focus groups were conducted in locations in Marin, Sonoma, Napa and Solano Counties. MIG used two methods to recruit participants: postings on Craigslist and a recruitment flyer that was distributed to community-based organizations, specifically targeting Spanish-speaking residents. Interested applicants were asked to complete a short survey requesting demographic information, contact information, availability and any other qualifying factors. MIG then reviewed the applications, selected a representative group of participants and made screening calls. The criteria for identifying and composing the focus group included:

- Frequent of travel on SR 37
- Ethnically diverse
- Gender balance in the group
- Age diversity
- For focus group # 5: Spanish-speaker
- For focus group # 6: low-income community member

Focus group participants received a \$60 stipend for their participation. Twelve participants were recruited for each group so that we would have ten participants. The over-recruitment helped address no-shows and late comers.

Format

All six focus groups were 90 minutes in length and had up to 12 participants. One focus group was organized in each County and two additional focus groups were organized to insure participation of low-income residents and Spanish-speaking residents. The focus group conducted in Spanish was held in in Sonoma, and the focus group including low-income residents was held in Vallejo.

The focus groups followed the same format and mirrored the questions that were asked in the on-line survey which was conducted from mid December 2017 to mid-January 2018. More than 3,500 people responded. The focus groups allowed us to develop a more in-depth understanding of people’s issues and suggested improvements. A poster-board with a map of the corridor was displayed at the front of the room to help participants provide location-specific input. The focus groups were designed to follow a conversational format and the focus group protocol was intended to help guide the focus groups through the discussion. Participants were given a brief introduction to the purpose and goals of the focus group before being asked to present themselves, indicating how they usually travel on SR 37. Participants were then asked a series of discussion questions to collect input on their experiences commuting on SR 37, as well as their ideas on needs and priorities for the corridor. At the end of the session, participants were thanked for their time and provided with information on how to remain involved in the planning process.

Table 1. Focus Group Schedule

County	Date & Time	Location	Number of Participants
Sonoma	Thursday 1/25/2018 6 pm – 7:30 pm	Finnish American Home Association	9
Marin	Monday 1/29/2018 6:30 pm – 8pm	TAM Conference Room	8
Napa	Tuesday 1/30/2018 6 pm – 7:30 pm	Napa County Library	11
Solano (Low-income)	Wednesday 1/31/2018 6 pm – 7:30 pm	Foley Cultural Center	9
Sonoma (Spanish)	Thursday 2/1/2018 6 pm – 7:30 pm	La Luz Bilingual Center	11
Solano	Monday 2/5/2018 6 pm – 5:30 pm	Foley Cultural Center	13

II. Participant Profile

Focus group candidates were asked to complete a brief questionnaire when applying to participate in the focus group. The questionnaire included questions about the candidates’ demographic characteristics, travel habits along SR 37 and employment status. The questionnaire was used to help recruit a diverse group of participants and to ensure each focus group had a mix of participants.

An analysis of the questionnaire revealed the following demographic characteristics of the focus group participants:

- 51% of participants identified as female, and 49% as male
- Participants ranged in age: 10% between 18-24, 43% between 25-44, 35% between 45-54, and 12% 64 and over.

- 46% of participants were White, 29% were Latino, 8% African American, 5% Asian, and the remaining 12 % identified themselves as either Biracial, Native American or Native Hawaiian/Other Pacific Islander.
- Participants ranged in income levels: 18% between \$10,000 and 24,999, 34% between \$25,000 and \$49,999, 37% between \$50,000 and \$99,999, and 13% above \$100,000.

A detailed breakdown of the demographics of the focus group participants by focus group is included in tables 2 through 5 below.

Table 2. Participant Profile: Gender

	Marin	Napa	Solano 1 Low Income	Solano 2	Sonoma 1	Sonoma 2 Spanish	Overall
Man	63%	55%	44%	46%	56%	36%	49%
Woman	38%	45%	56%	54%	44%	64%	51%
Total	100%	100%	100%	100%	100%	100%	100%

Table 3. Participant Profile: Age

	Marin	Napa	Solano 1 Low Income	Solano 2	Sonoma 1	Sonoma 2 Spanish	Overall
0-18	0%	0%	0%	0%	0%	18%	3%
18-24	13%	0%	22%	0%	11%	0%	7%
25-34	38%	30%	11%	8%	33%	27%	24%
35-44	0%	40%	22%	0%	11%	36%	19%
45-54	0%	20%	11%	50%	11%	18%	20%
55-64	25%	10%	11%	25%	22%	0%	15%
64 & over	25%	0%	22%	17%	11%	0%	12%
Total	100%	100%	100%	100%	100%	100%	100%

Table 4. Participant Profile: Race/Ethnicity

	Marin	Napa	Solano 1 Low Income	Solano 2	Sonoma 1	Sonoma 2 Spanish	Overall
African American / Black	0%	10%	11%	25%	0%	0%	8%
American Indian / Native American	0%	0%	11%	0%	0%	0%	2%
Asian	0%	20%	0%	8%	0%	0%	5%
Biracial	0%	10%	22%	0%	11%	0%	7%
Hispanic/Latino	25%	0%	0%	8%	33%	100%	29%
Native Hawaiian / Other Pacific Islander	0%	10%	0%	0%	11%	0%	3%
White (non-Hispanic)	75%	50%	56%	58%	44%	0%	46%
Total	100%	100%	100%	100%	100%	100%	100%

Table 5. Participant Profile: Income

	Marin	Napa	Solano 1 Low Income	Solano 2	Sonoma 1	Sonoma 2 Spanish	Overall
\$10,000-\$14,999	13%	0%	22%	0%	22%	0%	9%
\$15,000-\$24,999	0%	0%	11%	0%	22%	22%	9%
\$25,000-\$34,999	13%	0%	33%	0%	0%	11%	9%
\$35,000-\$49,998	25%	10%	33%	50%	11%	11%	25%
\$50,000-\$74,999	50%	30%	0%	25%	33%	33%	28%
\$75,000-\$99,999	0%	10%	0%	8%	11%	22%	9%
\$100,000-\$149,999	0%	30%	0%	17%	0%	0%	9%
\$150,000-\$199,999	0%	10%	0%	0%	0%	0%	2%
\$200,000 or more	0%	10%	0%	0%	0%	0%	2%
Total	100%	100%	100%	100%	100%	100%	100%

III. Key Findings by Theme

General Findings

The following themes were consistent across the six focus groups, and the findings were discussed in each of the six groups. The responses were common across the groups regardless of county of residence, income or language.

Many commuters and frequent users modify their schedules to avoid traffic. Participants with any flexibility in their travel schedules regularly consulted websites and traffic apps to determine the best route and departure time.

- For people with flexible schedules or scheduled appointments (i.e. medical appointment): the ideal travel window is 10am to 2pm.
- Many leave very early for work (around 5am) to avoid traffic.
- Friday afternoon traffic is the worst.

If options are available, many commuters modify their route to avoid traffic.

- Going to Vallejo in the afternoon, some will prefer to take the Richmond bridge; while the route is longer, they prefer to keep moving rather than be stuck in congestion.
- Participants traveling to Sonoma will use Lakeville instead of 121.
- Travelers to Napa sometimes drive up to Petaluma and cut over on 116 to avoid 37: they try to gage traffic right before the exit or use Waze to determine quickest route.
- Some drivers cut through Mare Island to avoid the back-up on 37 as the lanes merge.

Participants, especially those who travel regularly in the evening, considered the corridor to be poorly lit. Bad driver behavior was considered a significant factor influencing safety and traffic conditions on SR 37. Some drivers use shoulders to skip traffic, cutting into lanes at the last minute, driving at high speeds etc.

Areas of Concern Along the Corridor

- Segment A
 - Sears Point back-up is horrible going east-bound in the afternoons due to the lane reduction. Most participants highlighted this area as a significant bottleneck in their trip.
 - Vallejo-bound drivers compound the problem by cheating and cutting-over from the Sonoma-bound lanes at the last minute.
 - Some drivers make the left turn towards Sonoma and then make a U-Turn to get back onto SR 37 towards Vallejo.
 - Drivers experience poor visibility as you go over the bridge at Blackpoint (over the Petaluma River).
 - Presence of fog increases the safety concerns on Segment A, with low visibility worsening conditions and making the drive quite dangerous.
 - A dip in the road before the Bridge over the Petaluma River going west creates dangerous conditions. It limits visibility, especially as it relates to congestion further up the road. The dip is often filled with water which makes conditions worse.

- The Lakeville intersection slows down traffic on that stretch and can be very dangerous because of people speeding through the corridor.
- Segment B
 - Headlights from oncoming traffic affect visibility at night and create unsafe conditions.
 - Shoulder is too narrow in this section, creating dangerous conditions when there are accidents or cars pulled over.
 - Some participants expressed concerns regarding the ability of emergency vehicles to get through.
 - The lane reduction from two lanes to one lane on both ends creates bottleneck on both ends and results in terrible back-ups.
 - Driver behavior is an issue, people often slow down at the turn (sight-seeing etc.).
- Segment C
 - Drivers experience congestion at Mare Island because of lane reduction to one-lane segment on SR 37.
 - The merge from SR 37 to I-80 is very short and therefore quite dangerous; bad driver behavior during the merges can make it worse.
 - The Sacramento exit in Vallejo has become terribly backed-up in the mornings and there is some driver behavior that makes the intersection dangerous at night.
 - The exit towards Highway 29 is often very back up in the morning which creates unsafe conditions with drivers making last minute decisions about whether to exit or not.

Recommended Improvements

- Throughout the corridor:
 - Better lighting throughout the corridor to improve visibility at night.
 - Wider shoulders, especially in Segment B, to improve safety and have sufficient room to pull-over in case of an emergency.
 - Add carpool lanes to SR 37.
 - Add electronic signs with live traffic conditions.
 - Increase police enforcement along the corridor to discourage bad driver behavior.
 - Improve the striping along the corridor and add reflective markers for people driving at night.
- Segment A:
 - Install a barrier between Sonoma-bound and Vallejo-bound lanes at Sears Point to prevent the cheating.
 - Repair the dip before Petaluma River Bridge going west.
 - Improve Lakeville intersection: extend turn lane and add better warning signs.
- Segment B:
 - Improve the Sears Point intersection: create a flyover or an overpass to remove intersection altogether. The compound effect of the stop light and the lane reduction create terrible congestion during the evening commute.
 - Many participants recommended replacing the stop-light with a flyover which would improve traffic flow through the intersection. This would allow Vallejo-bound and Novato-bound drivers to move through the intersection without stopping at the intersection.

- Widen Segment B to a 4-lane highway.
- Elevate Segment B to avoid future sea-level-rise issues.
- Add baffles between lanes of traffic in Segment B to reduce glare from headlights from oncoming traffic.
- Segment C:
 - Improve Sacramento/Wilson exit to deter drivers from speeding through the exit and the intersection. The exit is dangerous due to people driving at high speeds.
 - Improve the Highway 29 exit to improve safety and encourage better driver behavior.

Public Transit and Bicycling

- Most participants were very favorable to adding transit solutions connecting Vallejo to Novato. Many suggested that this east-west link was vital for the overall regional network.
 - Another benefit mentioned by participants was that transit offers a stress-free and comfortable commute compared to driving in traffic.
- Several participants discussed the possibility of extending the SMART train to Vallejo.
- Several participants suggested providing ferry service between Vallejo and Marin County
- There were additional suggestions to connect with the SMART train in Marin.
- Several participants mentioned that transit would need to have a dedicated lane that allowed it to travel faster than cars, otherwise drivers would be less likely to change how they travel.
- Most participants explained that they would be likely to use public transit only if it was reliable efficient (i.e. quicker than driving).
 - The transit option would have to be faster than driving.
 - Transit would have to bring people close to their work.
 - Travel times would need to be consistent and predictable.
- Several participants explained that any public transit option would have to be well connected to the existing network. Currently, there is a lack of connectivity between different networks at the regional level and this project could contribute to improved connectivity.
- Most participants stated that SR 37 was too dangerous and too lengthy for them to bicycle on and said they would not cycle along the corridor even if facilities were improved. *(Note: participants were selected for the focus groups based on the frequency they drove the corridor. Participants were not asked if they currently traveled by bicycle in other locations.)*

Environmental Concerns

- Participants expressed a general sentiment that improvements to SR 37 should be conducted in a manner that protects the environment.
- Some participants commented that “there was plenty of open land” that could be used for lane widenings.
- Many participants agreed that improvements that reduced congestion would have a positive impact on the environment by reducing emissions and air quality impacts.
- One group proposed a compromise between environmental protection and easing traffic congestion along the corridor: adding carpool lanes to Segment B. This would impact the marshlands by widening the road but would also encourage carpooling.

- Participants recommended elevating the roadway and creating a causeway in Segment B to protect the marshlands.

Funding

- Opinions were split about considering alternative funding options, such as tolling or a sales tax.
 - About half of the participants were favorable to the idea of seeking alternative funding solutions as long as there was proper accountability and the money was used specifically for SR 37.
 - Those in favor of alternative funding believed the benefits outweighed the cost. They mentioned additional benefits such as the fact that tolls can help manage traffic by encouraging commuters to carpool.
 - Those against alternative funding options expressed they believed that Bay Area residents were already paying a lot of taxes and tolls towards transportation improvements. They believed that funding should come from regional and state funding sources. They argued that improvements to SR 37 benefitted the region as a whole and therefore the entire region should pay for the improvements.
- Sales tax:
 - Several participants preferred a sales-tax measure over a tolling option under certain conditions: including a sunset clause in the sales tax measure and ensuring proper accountability for the use of the sales tax revenue.
 - Those that preferred a sales tax measure believed that improving SR 37 would benefit the entire community and therefore the cost should be shared by the entire community, even those that don't use SR 37.
 - Some participants were opposed to a sales tax measure because it would disproportionately impact the poor and because it doesn't collect revenue from tourists.
- Tolling:
 - Several participants expressed concern that people would use shortcuts to avoid the tolls which could create congestion on local roads. The preferred location for a toll was near Mare Island. Several participants though Segment C should not be tolled because it is a vital and frequently used road for Vallejo and Napa residents.
 - Participants that were in favor of tolling explained that they would not mind paying a toll if SR 37 were significantly improved, including both widening to 4 lanes and elevating segment B. They explained that they were ready to pay if it would mean that their commute was shorter.
 - Several participants were against tolling because they thought tolls would continue to rise and become a big financial burden on those who commute daily, especially those who would have to pay two tolls.
 - Several participants referenced the HOT lanes that exist on other highways in the Bay Area: some liked the idea and thought it could be applied to the SR 37 corridor, while other were opposed to such pricing methods.

IV. County-Specific Findings

This section emphasizes findings that were specific to the focus groups in the specific county. Participants responses were based on where they lived, worked and traveled to most frequently.

Napa

- Most participants were daily users of SR 37, commuting towards Marin or San Francisco. Many adjust their route or travel times depending in traffic.
- There was a discussion about the rural nature of the North Bay and the fact that it would be unfair to toll SR 37 users because they have no other option than to drive their car or truck
- Several participants requested improving the escape routes from Napa County. They mentioned that during the fires there was only one way out and that was very dangerous.
- Participants had split opinions on tolling, many were in favor if it helps improve conditions. However, most were against tolling segment C because it is a vital connector for many Vallejo and American Canyon residents.
- Many were in favor of adding public transit options, especially extending SMART to Napa and expanding ferry service from Vallejo.

Vallejo

The findings from the two focus groups held in Vallejo are summarized jointly below. Although one of the Vallejo focus groups targeted low-income individuals, there were no significant differences in the input received through each of the focus groups.

- Two focus groups were conducted in Vallejo, one included County residents and the second focused on including low-income residents who provided detailed feedback about Segment C. Many participants provided details of their experiences with dangerous conditions and bad driver behavior at the Sacramento exit and Wilson Avenue.
- Participants frequently commented on unnecessary slow-downs caused by people sight-seeing along Segment C of 37.
- Participants described night time conditions along segment B as dangerous because of poor lighting and no shoulder.
- Several participants expressed that daily commuters should receive a discount if a toll is implemented on SR 37.
- Participants described Vallejo as being poorly connected to the rest of the region's public transit network. Several participants expressed a desire to see BART extended to Vallejo as well as an east-west connection between Novato and Vallejo.
- Some participants favor a sales tax as long as proper accountability is put in place and that it includes a sunset clause.
- Other participants prefer a toll because a sales tax disproportionately impacts the poor and because a sales tax isn't fair to those that don't use SR 37. They also like the fact that a toll applies to tourists as well.

Sonoma

- Strongly advocated for a barrier between Sonoma-bound and Vallejo-bound lanes at Sears Point going East.
- Warned of people taking alternate routes if SR 37 were tolled between Novato and Sears Point. Recommended placing a toll at Mare Island.
- Many people going to Sonoma use Lakeville to avoid the Sears Point back-up.
- Mentioned importance of offering an east-west public transit option that connects to the Capitol Corridor.
- In favor of adding a carpool lane to SR 37 (referenced success of new carpool lane on 101 near Santa Rosa).

Sonoma Spanish:

- Several participants expressed a strong lack of trust of FastTrak and would like to see more accountability and transparency about the use of the funds collected through FastTrak.
- Strong preference for extending SMART train rather than adding ferry service because a ferry wouldn't serve Sonoma residents. Participants complained about the lack of integration between the different transit systems in the Bay Area.
- Slight preference for a sales tax over a toll, but some would accept a toll if it meant better travel conditions along the route.

Marin

- Most participants had travel destinations and flexible travel times so they could plan their trips on SR 37 to avoid congestion.
- Many participants travel to Sonoma and can choose between 101 or SR 37 depending on traffic conditions.
- Many were concerned with ground level fog and the dangerous conditions it creates.
- Participants were concerned about poor driver behavior along the route and related safety impacts.
- Were in favor of additional ferry service. A ferry line from Novato (Blackpoint) to San Francisco was proposed.
- Expressed a slight preference for tolling rather than sales tax.

V. Next Steps

The Project Team will use the focus group findings to inform the development of the SR 37 Corridor Improvement Plan. Community input is a vital part of the plan development and the SR 37 Outreach Team will continue to share information and engage with the public as needed throughout the planning process.

ATTACHMENT 7 – Cal-B/C Performance Measures

Notes:

*Additional, clarifying information included in these columns.

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Existing Average Annual Vehicle Volume on Project Segment	35,860,663 on SR 37 Corridor
Estimated Year 20 Average Annual Vehicle Volume on Project Segment with Project	35,180,934 on SR 37 Corridor

Measure	Metric	Unit*	Annual or Daily*	Data*	Future Build	Future No Build	Change (Build - No Build)	Increase/Decrease
Congestion Reduction	Change in Daily Vehicle Miles Traveled (VMT)	Miles	Daily	Year 20	1,038,462	1,128,847	(90,385)	Decrease in VMT
	Person Hours of Travel Time Saved	Person-Hours	Daily	Year 20	34,299	73,891	(39,592)	Decrease in Hours
	(Optional) Change in Daily Vehicle Hours of Delay	Vehicle-Hours	Daily	Year 20	26,325	57,259	(30,934)	Decrease in Hours
	(Optional) Per Capita Total Person Hours of Delay per Year	Person-Hours	Annual	Year 20	12,519,198	26,970,235	(14,451,037)	Decrease in Delay
Throughput	(Optional) Peak Period Person Throughput--by applicable mode	Person-Trips	Daily	Year 20	123,420	151,422	(28,002)	Decrease in Trips
System Reliability	Peak Period Travel Time Reliability Index	Index	Daily	Most current available	n/a	1.96	n/a	n/a
Safety	Number of Fatalities	Number of fatalities	Annual	Most current available	0.311	0.363	(0.052)	Decrease in Fatalities
	Rates of Fatalities (per 100 million VMT)	Fatalities per 100 million VMT	Annual	Most current available	0.004	0.005	(0.001)	Decrease in Rate
	Number of Serious Injuries	Number of serious injuries	Annual	Most current available	3.57	4.17	(0.60)	Decrease in Injuries
	Rates of Serious Injuries (per 100 million VMT)	Serious Injuries per 100 million VMT	Annual	Most current available	0.052	0.061	(0.009)	Decrease in Rate
	(Optional) Number of Property Damage Only (PDO) Collisions	Crashes	Annual	Year 20	86	100	(14)	Decrease in Collisions
	(Optional) Number of Non-Serious Injury Collisions	Crashes	Annual	Year 20	30	35	(5)	Decrease in Collisions
	(Optional) Accident Cost Savings	\$ millions, discounted at 4%	Annual	Total Years 1-20			(\$21.88)	Decrease in Accident Costs

Measure	Metric	Unit*	Annual or Daily*	Data*	Future Build	Future No Build	Change (Build - No Build)	Increase/Decrease
Economic Development	Jobs Created	Job-years	n/a	n/a	3,025	0	3,025	Increase in Jobs Created
Air Quality and Greenhouse Gases	Particulate Matter (PM 10)	Short Tons	Annual	Average Year 1-20	0.45	0.72	(0.28)	Decrease in Emissions
	Particulate Matter (PM 2.5)	Short Tons	Annual	Average Year 1-20	0.42	0.68	(0.26)	Decrease in Emissions
	Carbon Dioxide (CO2)	Short Tons	Annual	Average Year 1-20	117,808.02	129,803.29	(11,995.26)	Decrease in Emissions
	Volatile Organic Compounds (VOC)	Short Tons	Annual	Average Year 1-20	4.00	7.20	(3.20)	Decrease in Emissions
	Sulphur Oxides (SOx)	Short Tons	Annual	Average Year 1-20	1.16	1.27	(0.11)	Decrease in Emissions
	Carbon Monoxide (CO)	Short Tons	Annual	Average Year 1-20	278.83	318.20	(39.48)	Decrease in Emissions
	Nitrogen Oxides (NOx)	Short Tons	Annual	Average Year 1-20	29.88	37.36	(7.48)	Decrease in Emissions
Accessibility	(Optional) Number of jobs accessible by mode	jobs	n/a	n/a	n/a	n/a	n/a	n/a
	(Optional) Access to key destinations by mode	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Cost Effectiveness	Cost-Benefit Ratio	n/a	n/a	n/a	n/a	n/a	4.11	n/a