Welcome to the Caltrans State Route 37 Planning and Environmental Linkages (PEL) meeting.

Do you have a project or corridor with complicated environmental, design, and stakeholder needs? This is the situation we have on State Route 37 Corridor in the four North Bay counties. Our solution for this corridor is a Planning and Environmental Linkages (PEL) Study, the first such study conducted on the state highway system.

Because PEL studies offer a flexible and innovative approach to transportation planning for projects with a federal nexus that can positively affect the future of Caltrans project development, the focus of this presentation is the PEL Study we have recently initiated for the SR 37 corridor.




Stefan Galvez-Abadia
Caltrans Bay Area – District 4
District Division Chief

Tammy Massengale
Caltrans Bay Area – District 4
Headquarters Coordinator

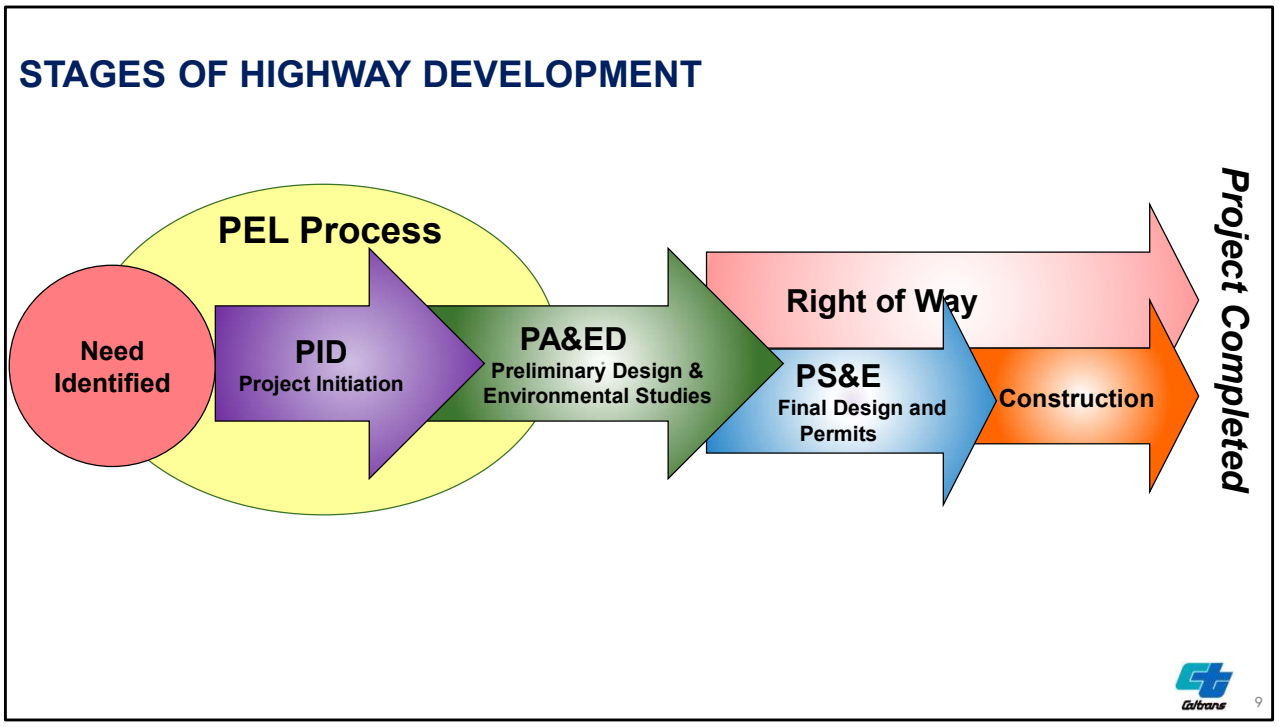
Kelly Hirschberg
Caltrans Bay Area – District 4
Regional Project Manager

Jeff Berna
Jacobs Engineering
Senior Project Manager & Environmental Group Lead

Presenters

8

Stefan Galvez-Abadia covers slides 1 – 8; 32 – 45
Tammy Massengale covers slides 9 – 20
Kelly Hirschberg covers slides 25 – 31
Jeff Berna covers slides 21 – 24



This is the typical Caltrans Project Delivery process.

A need (pink circle) is identified by internal and external stakeholders to improve or correct a current situation.

The first phase is the Project Initiation Document or PID phase of the project (purple arrow). During this phase, high level purpose and need is developed and alternatives are identified. During this phase, the projected cost is identified along with a schedule. The outcome is a programming document that goes to the California Transportation Commission to receive approval and funding for the next phase of the project.

Project Approval and Environmental Document also known as PA&ED (green arrow) is when the purpose, need, and alternatives are refined. Preliminary design, up to 30%, is completed. The environmental practitioners are completing technical studies that feed into the environmental approval – environmental document or categorial exclusion/categorical exemption. During this phase Section 7 of the Endangered Species Act occurs. The final products include the environmental approval and project report.

At the end of PA&ED, two phases begin, Plans, Specifications, and Estimates also

known as PS&E (blue arrow) and Right of Way (pink arrow). During PS&E, the designers are finalizing the design, writing the specifications, and completing the construction costs for the project. Concurrently, the environmental staff is working with resource agencies to obtain permits and complete mitigation, as appropriate,

During the Right of Way phase, the agents are working with property owners to obtain rights of entry, purchase right of way, and work with environmental practitioners to ensure mitigation credits and/or properties are obtained. At the end of this phase the surveyors complete monumentation for the project.

The last phase is Construction (orange arrow). This is when the project is built and opened to the traveling public.

The Planning and Environmental Linkages Process (in yellow oval) takes a lot of work that is typically segmented and brings it together. The purpose and need is finalized along with a thorough alternatives analysis is completed. These products are moved into the environmental process saving time to complete the PA&ED phase.

Planning Processes

TRANSPORTATION PLANS	PLANNING PRODUCTS	GROUPS INVOLVED
Statewide Transportation Improvement Plans Regional and Metropolitan Transportation Improvement Plans	Broad Land Use Assumptions System-level Travel Demand Modeling System-level Performance Analysis Air Quality Conformity Programmatic Mitigation	**Transportation Agencies** **Municipalities** Resource Agencies Tribes Public NGOs and Interest Groups
Corridor Studies Sub-area Studies	Traffic Studies Tolling Studies Bicycle and Trail Plans Safety Plans Access Management Plans	**Transportation Agencies** **Municipalities** Resource Agencies Public NGOs and Interest Groups

10

To start our discussion on Planning and Environmental Linkages, I will review how environmental considerations are factored in traditional transportation planning versus the environmental processes that accompany project development (NEPA/CEQA for example).

We will walk through the table, starting with statewide, or regional plans, which produce a number of supporting studies ranging from broad and system level analysis, to more specific corridors with mode specific studies (bike and trail plans). There is consideration of environmental factors, but the analysis is focused on resources that are best evaluated on a broader scale, such as AQ conformity and opportunities for programmatic mitigation.

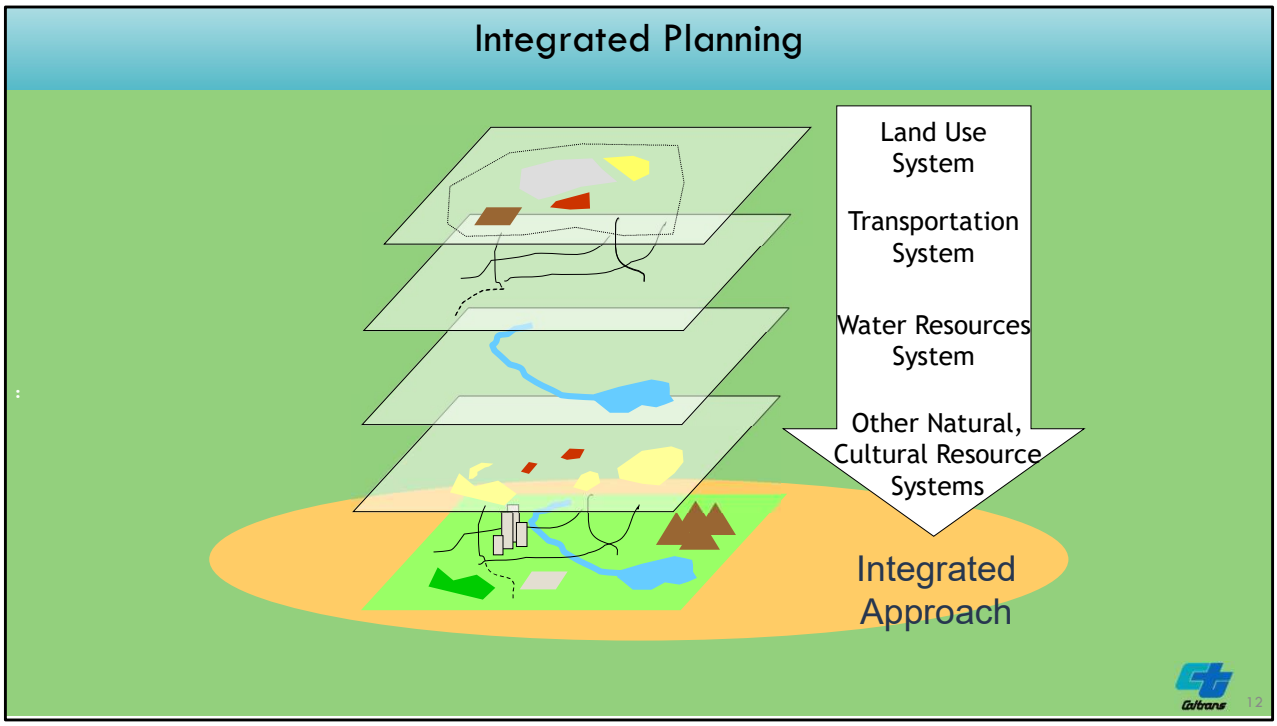
Although all groups are likely to be involved in the various types of planning studies, those groups identified in BOLD font are likely to play a stronger role.

Project Development Process

PROJECT DEVELOPMENT STEPS	PRODUCTS	GROUPS INVOLVED
Project Approval and Environmental Document (PAED) (Up to approximately 30% Design)	Traffic Modeling Safety Analysis Environmental Scoping Purpose and Need Alternatives Analysis Identification of Preferred Alternative Agency and Public Involvement Mitigation **NEPA/CEQA Documentation**	**Transportation Agencies** **Municipalities** Resource Agencies Tribes Public NGOs and Interest Groups
Final Design and Permits	Plans, Specifications and Estimates Mitigation Commitments Permits	**Transportation Agencies** Municipalities Resource Agencies Public NGOs and Interest Groups

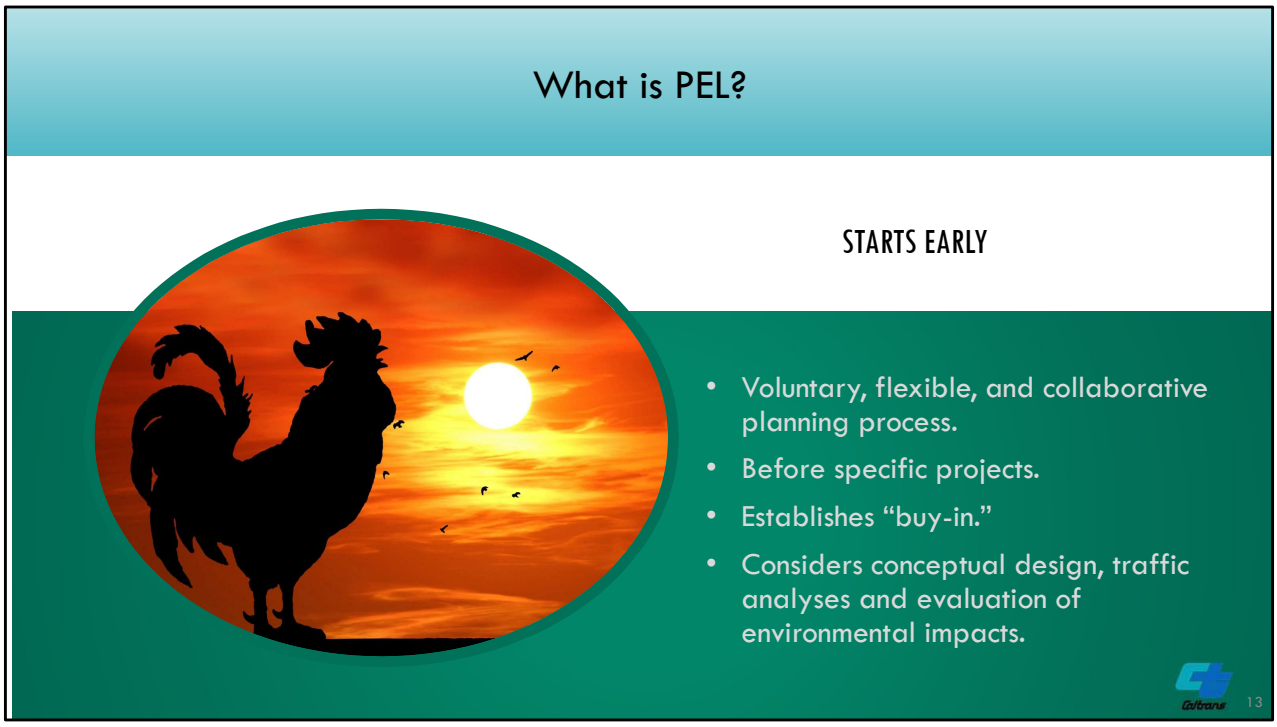
11

A challenge faced by transportation agencies is that some resource agencies have different staff participate in different stages of the planning and environmental processes which may lead to lack of continuity in information exchange and agency input.



Another challenge is how to integrate transportation planning with the needs and priorities of municipalities, agencies, and organizations.

This Integrated Planning graphic represents the best practice concept of transportation planning as a layering of the many local components that effect the transportation system. While resource data can be integrated at any stage of the transportation process early integration is best since it is much more difficult to embrace resource agency goals and priorities at later stages. Early coordination has the potential not only to provide better protection of natural and cultural resources, but also to maximize the efficient use of scarce staff and financial resources by flagging potential problems before the narrowing of alternatives options and the completion of detailed design work. The failure to identify and address inconsistent or incompatible goals and priorities among transportation and resource agencies early typically poses a major source of conflict and delay in program/project development.



So now, lets look at what a PEL study, and its associated process is intended to accomplish and how it integrates planning while also streamlining subsequent environmental processes for projects.

The PEL process is a voluntary, flexible, and collaborative planning process. It examines broad transportation, environmental, community, and economic goals early in the planning process.

It begins before NEPA/CEQA environmental processes focused on specific projects take place.

It establishes "buy-in" from agencies and stakeholders on corridor vision, purpose and need, range of alternatives, and consideration of key environmental issues.

PEL gathers preliminary data and considers conceptual level of design, traffic analyses, and evaluation of environmental impacts.

What is PEL?

LOOKS AT BIG PICTURE

- Examines broad area or corridor.
- Establishes long-term transportation vision.
- Sets the stage for focused, future projects.

14

PEL studies also allow agencies to look at the big picture by examining a broad area or corridor.

PELs establish long-term transportation visions and set the stage for focused, future projects.

Stakeholder involvement is critical to the success of PEL studies.

The process encourages working relationships and early agency involvement which enables more effective decision-making.

PELs also solicit input and, if possible, support from the public, tribes, elected officials, agencies, and other stakeholders regarding agency transportation decisions.

One question you may have, is “under what circumstances would we want to complete a PEL study?”

Since PEL studies are new to Caltrans, lets consider some of the common circumstances where PEL studies may benefit you.

- When a project doesn’t have identified funding, and sequencing is less certain
- For extensive corridors where more than one project may be needed and where logical termini are not clear
- In complex projects where the PEL can address broad corridor decisions
- For highly controversial projects where early consensus can help move project along
- And where Later NEPA phases will benefit from acceleration: such as the new One Federal Decision constrains timelines, or where a tiered document may affect overall schedule

What are the benefits of PEL?

RELATIONSHIP-BUILDING

- Encourages early involvement.
- Provides forum and opportunity to identify concerns as well as opportunities for collaboration.
- Allows more participation in helping shape transportation solutions.

17

Some of the key benefits of a PEL are realized from examining environmental and community values early in transportation project planning, involving agencies and others as partners in identifying both concerns as well as opportunities for collaboration, and allows more participation in helping shape transportation solutions.

What are the benefits of PEL?

IMPROVED PROJECT DELIVERY TIMEFRAMES

- Minimizes duplication.
- Creates one cohesive flow of information.
- Helps resolve differences on key issues.

18

Another benefit of a PEL Study is improved project delivery timeframes by minimizing potential duplication of planning and other environmental compliance processes, thus creating one cohesive flow of information.

Improved inter-agency relationships will also help to resolve differences on key issues moving from planning through design, and ultimately project implementation.

PEL and One Federal Decision

EO 13807: Establishing Discipline and Accountability in the Environmental Review and Permitting Process for Infrastructure Projects (2017)

- EO 13807 sets goals:
  - Two-years from Notice of Project Initiation (NOI) to Record of Decision (ROD)
  - All Federal authorization decisions (e.g. permits) for the construction of a major infrastructure project shall be completed within 90 days of the issuance of a ROD
- FHWA developed Working Agreement with federal resource agencies regarding pre-NOI activities:
  - US Coast Guard
  - US Army Corps of Engineers
  - US Environmental Protection Agency
  - US Fish and Wildlife Service
  - National Marine Fisheries Service

Caltrans 19

In 2017, President Trump signed Executive Order 13807 – Establishing Discipline and Accountability in the Environmental Review and Permitting Process for Infrastructure Projects.

For practical purposes, PEL can be used as the mechanism to meet the two-year requirement by conducting pre-NEPA activities before Notice of Intent for major infrastructure projects

The Federal Highway Administration worked with the U.S. Coast Guard, the U.S. Army Corps of Engineers, the U.S. Environmental Protection Agency, the U.S. Fish and Wildlife Service, and the National Marine Fisheries Services to develop a Written Agreement, committing to work together to achieve the E.O. goals. The agencies collaboratively developed a chart that outlines agencies' processes, both with and without using Planning and Environmental Linkages.

On October 3, 2018, the Associate Administrator of the Office of Planning, Environment and Realty at FHWA headquarters sent a message to FHWA Division Administrators and environmental staff. The message contained a list of the activities that should be completed prior to initiating a new EIS for "major infrastructure projects" subject to the OFD process, in alignment with the OFD MOU and FHWA's

Working Agreement.

The CEQ and OMB jointly issued guidance regarding applicability of EO 13807 to state agencies that have been assigned National Environmental Policy Act (NEPA) responsibilities. California is a NEPA Assignment state and Caltrans will be the federal lead agency leading the PEL effort.

What are the benefits of PEL?

DIRECT OUTCOMES

- Yields better transportation programs and projects that serve the community's transportation needs more effectively.
- Provides agencies with tools to design better projects while avoiding and minimizing impacts on communities and natural resources.

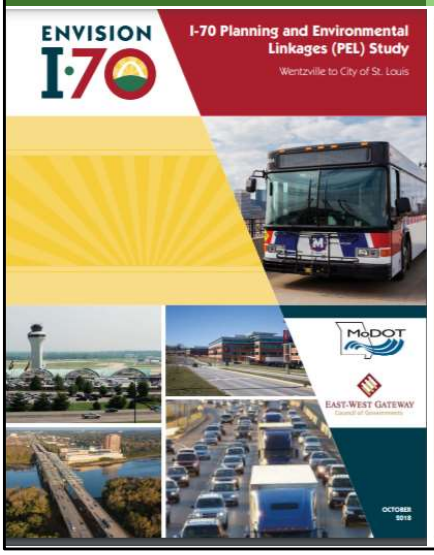
20

And perhaps most importantly, one of the direct outcomes of a PEL study is that the enhanced and early coordination with resource agencies and the public yields better transportation programs and projects that serve communities transportation needs more effectively.

The PEL study, and its many supporting studies, provide agencies with tools to design better projects while avoiding and minimizing impacts on communities and natural resources.

PELs in Action

Missouri: I-70 PEL



Wentzville to City of St. Louis

Now we will examine three PEL examples that highlight what can be accomplished with a PEL.
Each of these examples illustrate the key reasons for doing a PEL:
1. Funding uncertainties
2. Extensive corridors
3. Complex corridor and issues

This first example comes from the state of Missouri. The Envision I-70 PEL covers an approximately 40-mile corridor of I-70 stretching from the Mississippi River westward.

As you can imagine, there are numerous jurisdictions along the corridor. Whereas the traditional planning process was able to identify and document numerous issues within the corridor, what was challenging was how to pull all these needs together and understand how they interacted with one another.

Therefore, key to this PEL was the generation of a common vision that all the jurisdictions could get behind.

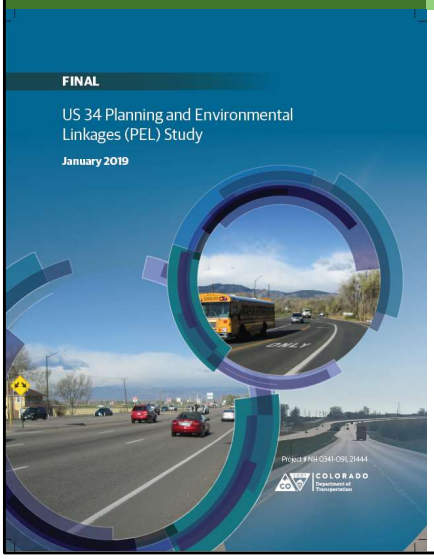
The PEL developed strategies to help meet the various needs within the corridor.

The PEL study was able to grasp broad and comprehensive issues that couldn't be studied in a typical NEPA analysis.

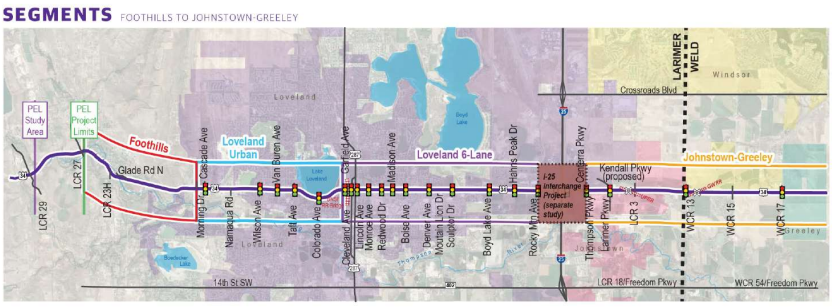
The study team also developed an Evaluation Criteria tool to help locals evaluate proposed projects against the goals and objectives for the corridor.

PELs in Action

Colorado: US 34 PEL



Between Larimer County Road 29 and Weld County Road 53



- ✓ Provided an understanding of the existing conditions of the study area
- ✓ Worked with stakeholders to develop and evaluate a range of improvements to:
  - increase safety,
  - accommodate increased travel and tourism demands to maintain the economic vitality of the region,
  - increase reliability of east-west regional travel while balancing local access, mobility, and freight needs.
- ✓ Access Management was key issue

Caltrans

22

Our second example PEL comes from the state of Colorado. CDOT has been a leader in utilizing PEL studies. According to the current CDOT PEL Manager in a recent webinar, CDOT has prepared over 30 PEL studies and as a consequence, has not started a new Environmental Impact Statement in over 15 yrs.

Access management issues is a key issue on the US 34 corridor.

Similar to the I-70 example, there are numerous jurisdictions along this portion of the US 34 corridor and each has its own goals and objectives.

The PEL study was able to get everyone on the same page and develop solutions that met the various needs, including multi-modal issues, business access and visibility, and throughput on US 34 for commuter and freight traffic.

PELs in Action

Colorado: I-25 South PEL

34 miles of Interstate 25 between Denver and Colorado Springs

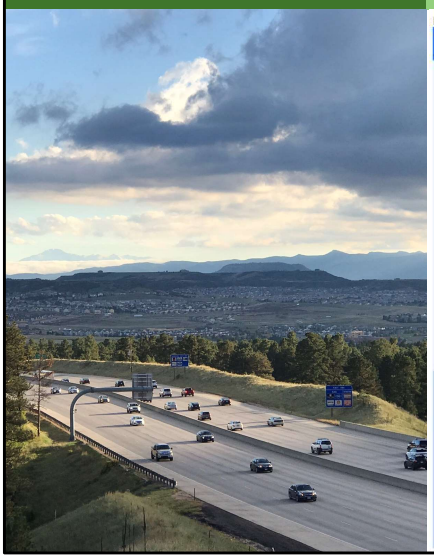


Figure 1-1. Key Steps in Process to Develop PEL Study Recommendations

STEP 1	STEP 2	STEP 3	STEP 4
Establish a Purpose and Goals The Study's Purpose statement defines the transportation problem to be solved. Goals state the other desired outcomes that need to be considered and addressed as part of a successful solution to the transportation problem.	**Understand the Needs** Input from agencies, stakeholders, and the public, combined with data on existing conditions and corridor issues, were studied to identify transportation Needs to be addressed in the Study. The Purpose and Need statement and Goals guide the development and evaluation of long-term solutions to be implemented in the corridor.	**Explore and Evaluate Solutions** Technical experts evaluated corridor-wide and segment-specific alternatives for how to address the identified transportation needs. Alternatives were evaluated against the Purpose and Need and Goals and rated based on how well they performed.	**Develop Recommendations** The Study team, with input from the Steering Committee and the Technical Working Group (TWG), reviewed the evaluations results and developed a mainline recommendation and supplemental elements to achieve and satisfy the Purpose and Needs of the corridor. The environmental considerations for recommended actions were evaluated to identify key resource issues.
Chapter 2: Documents the Purpose statement and Goals.	**Chapter 2:** Documents the transportation Needs identified within the corridor. **Chapter 7:** Explains the engagement process used to explore the transportation Needs of the corridor.	**Chapter 3:** Documents the initial improvement concepts, the evaluation process, and evaluation results.	**Chapter 4:** Documents recommendations. **Chapter 5:** Documents the implementation plan. **Chapter 6:** Discusses environmental resource considerations.

- ✓ Established vision for entire corridor.
- ✓ Findings led to development of 18-mile breakout project to address immediate needs.
- ✓ Breakout project EA completed in 8 months due to PEL front-loading work.
- ✓ Early public involvement led voters to approve redirecting tax refunds to project.
- ✓ Prepared updated PEL Questionnaire

Caltrans

23

Another example from Colorado.

The Interstate 25 segment between Colorado Springs and Denver South connects the two largest population centers in CO, and is a vital freight corridor.

Key issues were congestion, safety, and travel reliability.

This PEL was highly successful in demonstrating the benefits of a PEL study and is similar to the SR 37 corridor.

I am sharing this graphic (middle chart) to highlight that PEL is both a process, but it also concludes in a report.

Each of the steps involved in the study are purposeful, and the conversations, deliberations, and decisions made are captured and memorialized in chapters of the report (with most data and details provided in appendix to the report).

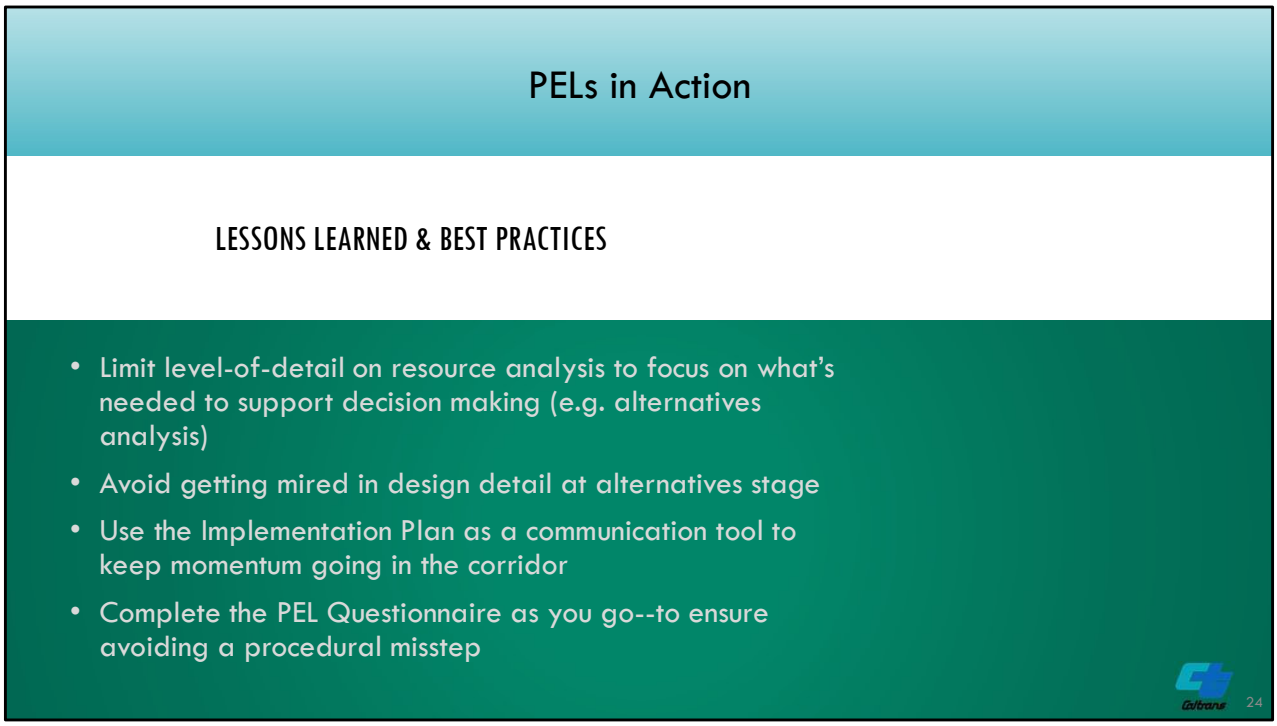
Key to the study was the development of a unified understanding and definition of a corridor vision and ultimate build out of the interstate.

The vision and associated design footprint provides a blueprint for not only CDOT, but all the jurisdictions along the corridor.

Now every time a local wants to make an improvement that intersects with the interstate, they know what to accommodate.

Some of the key takeaways on this study includes use of a focused, biology work group that was able to develop and design numerous wildlife-related fencing, undercrossings, over crossing, and related gates. The biology group was able to help the design team improve their plans and has been so successful that they continue to meet even thought the study is now concluded.

The PEL was also able to identify projects of mutual interest that would benefit from collaboration, sharing of costs, and sequencing.



Some of the lessons learned from other PEL studies includes having a clear understanding as to the purpose and scope of the PEL study and then being sure to limit the amount of detail (whether traffic, design, or environment analysis) to that which is necessary to address the questions at hand. This can be difficult for some stakeholders that are seeking more details. The PEL is not at the NEPA/CEQA level of design (refer back to planning slides).

The PEL study needs to be managed carefully to prevent unnecessary delays to develop this level of detail.

Because the implementation plan is a concise listing of projects, funding opportunities, constraints, sequencing, etc., it provides the blueprint for the study sponsor and many other stakeholders along the corridor and can be used to communicate priorities and opportunities. It is important to keep the vast momentum and relationships moving forward and the Implementation plan is great for that.

Lastly, it is best to use the FHWA PEL Questionnaire to guide the study team since it contains many good questions that will clarify the scope of the study and identifies what information can be used in subsequent NEPA/CEQA analysis.

SR 37 Corridor

25

I would like to spend some time providing an overview of SR 37.

This 21-mile long route from US 101 in Novato to Interstate 80 in Vallejo connects job markets and housing within Marin, Sonoma, Napa and Solano counties, following along the northern shore of San Pablo Bay.

The western portion shown in purple from US 101 to SR 121 Junction (Sears Point) spans between Marin County and Sonoma County; it is ~7 miles long and has a 4-lane divided expressway with 2 lanes in each direction.

The middle portion shown in blue from US 101 (Sears Point) to Mare Island spans between Sonoma County and Solano County; it is ~10 miles long and has a 2-lane facility with a median concrete barrier.

The eastern portion shown in green from Mare Island to I-80 Junction is entirely in Solano County; it is ~4 miles of a 4-lane freeway facility.

There are few waterways that flows into San Pablo Bay, starting from the west:
- Novato Creek
- Petaluma River

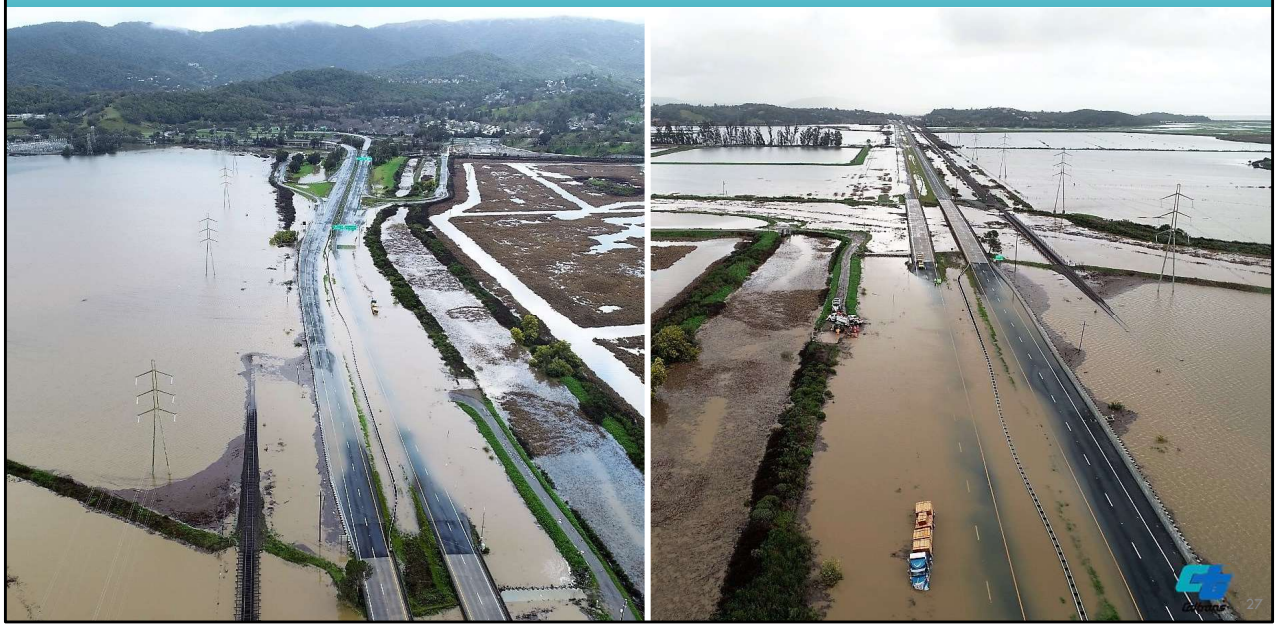
- Tolay Creek
- Sonoma Creek, and
- Napa River

SR 37 is located in the diverse ecological and natural resources with large tidal marsh and Baylands as well as part of Pacific Flyway.

Within the corridor, currently there are some issues beyond maintenance and operational improvements that require near term as well as long term solution which we will get into later slides.

Here is an aerial photo, pristine SR 37 looking west.

Long Term: Sea Level Rise/ Flooding



As mentioned previously, SR 37 follows the northern shore of San Pablo Bay, and a large portion of the roadway is lower than the surrounding levees.

Therefore, it has been inundated numerous times. Most recently, SR 37 was closed for many days during the winter months in 2019 due to flooding. The pictures above are from Novato Creek in Marin County during a flooding event; the picture on the left is looking West to US 101 and the picture on the right is looking east to the Petaluma River.

With more extreme weather from climate change, the SR 37 closures may be more frequent.

Additionally, with the projected sea level rise, most of the existing SR 37 will likely become permanently inundated by the mid-century and even as early as by 2040, thus cutting off a major regional transportation route.

There is an urgency to develop an improvements for the near term as well as long term.

Near Term: Congestion Issues

So, is there a viable detour when SR 37 is closed due to during flooding?
The traffic will be routed to:

- either northern (red) or
- southern (blue)
- These are over 40 miles long compare to SR 37 21-mile corridor, doubling the length.

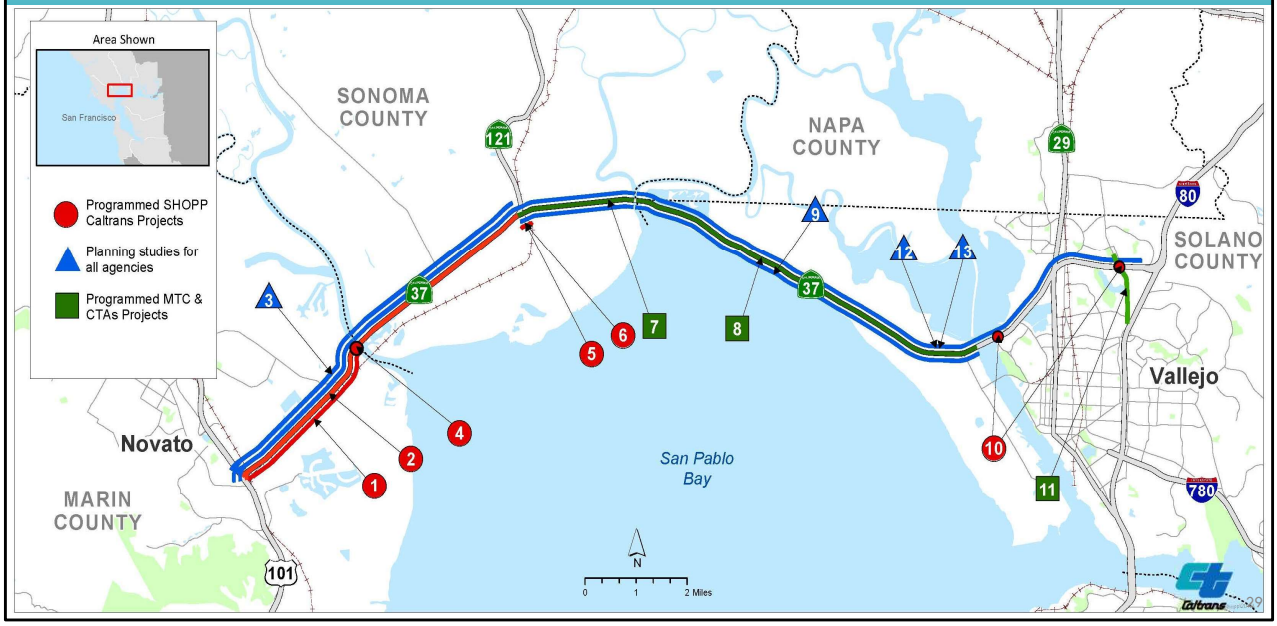
While there has been less traffic on the roadway recently, SR 37 still experiences congestion and daily delays during peak periods.

Most people reside in Solano County and commute to work in Sonoma and Marin counties resulting in westbound AM peak direction and eastbound PM peak direction.

Traffic during these peak periods in the peak direction can take up to 100 minutes compared to 20 minutes in the free flow condition.

This is another near term need within the corridor.

SR 37 Studies and Projects



With the near term and long-term issues of flooding, congestion, and sea level rise, Caltrans along with MTC and four North Bay County Transportation Authorities have been working on various studies and projects.
Here's a quick summary of the map:

- The six (6) projects shown in red are State/Caltrans projects programmed in the State Highway Operation and Protection Program (SHOPP), and the projects include: maintaining pavement and bridges, enhancing safety measures, making operational improvements, and addressing flooding. There is also long-lead work for the environmental process to address the projected sea level rise between US 101 to SR 121 Junction.
- The three (3) projects shown in green are MTC and County Transportation Authority-sponsored projects to address the near-term congestion issues in the middle portion of SR 37, and interchange improvements at the Fairgrounds Interchange in Solano County, as well as looking into addressing sea level rise from SR 121 to Mare Island.
- Presently, there are four (4) studies shown in blue.
    - Item #3 is the MTC-led Design Alternatives Analysis from US 101 to SR 121 Junction.
    - Item #13 is the PEL Study for the entire SR 37 Corridor from US 101 to I-80.

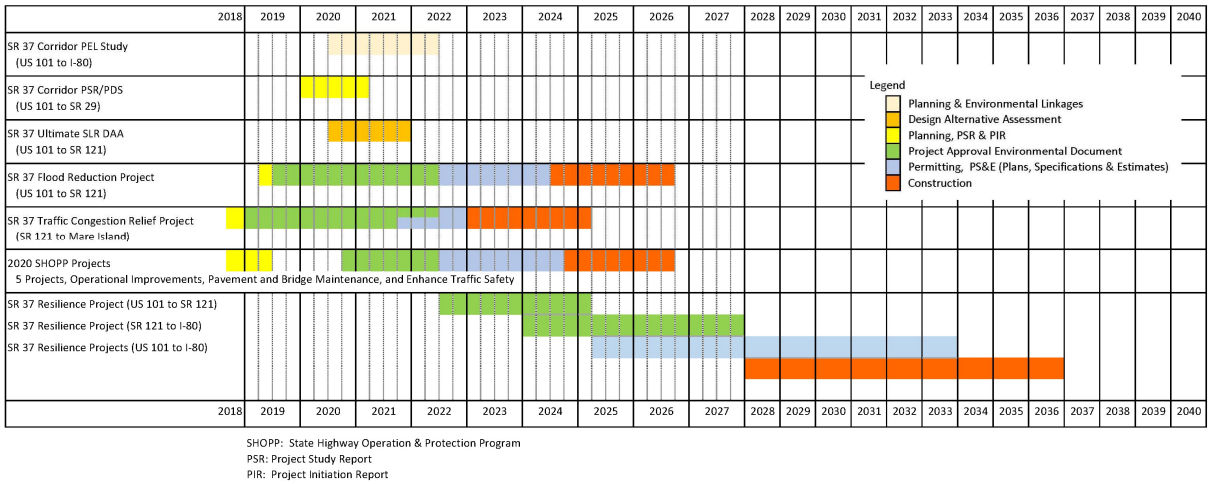
SR 37 Studies and Projects

Map ID	EA	County	Postmile	Project Name/Descriptions	Sponsors	Estimated Capital Cost
1	2K740	MRN	R11.2/14.6	SR 37 Pavement Rehabilitation - CAPM	Caltrans	$ 18.9M
2	4Q320	MRN/ SON	R11.2/14.6; 0.0/3.9	SR 37 Resilience Project (US 101 to SR 121) SR 37 Flood Reduction Project (US 101 to SR 121)	Caltrans	TBD
3		MRN/ SON	R11.2/14.6; 0.0/3.9	SR 37 Ultimate SLR Resilience Design Alternatives Assessment (US 101 to SR 121)	MTC	TBD
4	2Q500	MRN	14.5/15.0	SR 37 Petaluma River Bridge Preservation	Caltrans	$ 32.0M
5	1Q480	SON	3.8/4.0	Reconstruct Intersection of SR 37 and SR 121	Caltrans	$ 6.0M
6	2Q200	SON	3.9/4.1	SR 37 Lane Extension and RR Crossing at Tolay Creek	Caltrans	$ 11.7M
7	1Q761	SON/ SOL	3.9/6.2; 0.0/R7.4	SR 37 Traffic Congestion Relief Project (SR 121 to Mare Island)	MTC/CTAs	TBD
8	1Q762	SON/ SOL	3.9/6.2; 0.0/R7.4	SR 37 SLR Resilience Project (SR 121 to Mare Island)	MTC/CTAs	TBD
9		SON/ SOL	3.5/6.2 0.0/R7.4	SR 37 Ultimate SLR Resilience Design Alternatives Assessment (SR 121 to Mare Island)	MTC	TBD
10	0P760	SOL	VAR	SR 37 Pedestrian Enhancements at Wilson Ave and Fairgrounds Drive	Caltrans	$ 6.0M
11	4A441	SOL	10.6/11.2	Fairgrounds Drive Interchange Improvements	STA	$ 25.0M
12	4Q960	MRN/SON/ NAP/SOL	R11.2/14.6; 0.0/6.2; 0.0/ R9.6	SR 37 Corridor Sea Level Rise and Complete Streets (US 101 to SR 29)	Caltrans	TBD
13		MRN/SON/ NAP/SOL	R11.2/14.6; 0.0/6.2; 0.0/ R11.4	SR 37 Corridor PEL Study (US 101 to I-80)	Caltrans	TBD

This table corresponds to the previous slide map ID including location, description, sponsoring agencies, and programmed construction capital estimates.

How will the SR 37 PEL incorporate existing data from ongoing projects?

PEL will inform current and future projects



SHOPP: State Highway Operation & Protection Program
PSR: Project Study Report
PIR: Project Initiation Report

Caltrans 31

Now that we briefly went over the list of studies and projects, let's look at how all these efforts are related and when they will be delivered.

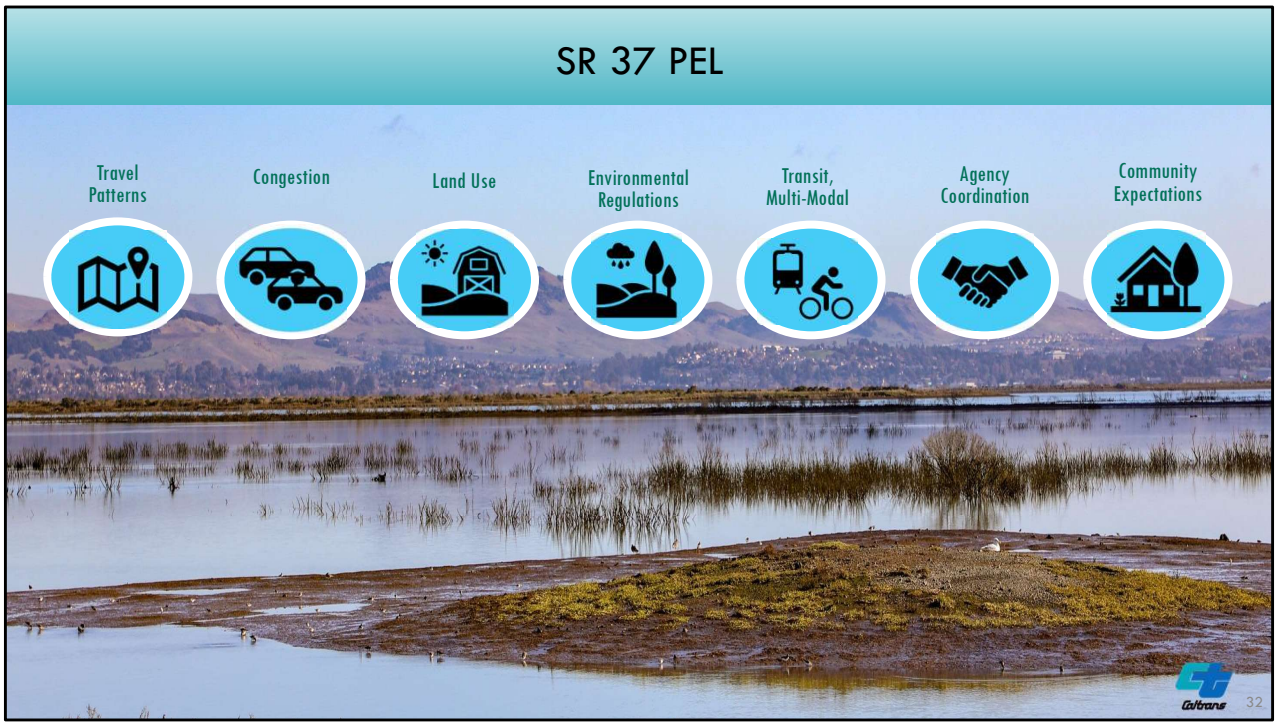
- The left column provides a list of different efforts, studies, and projects.
- The legend contains different colors for the project delivery process that Tammy mentioned earlier.
    - Yellow indicates the Planning phase
    - Green indicates the Project Approval Enviornmental Document (PAED)/Environmental Clearance phase
    - Blue indicates the Permitting, PS&E phase (Plans, Specifications, and Estimates)
    - Orange indicates the Construction phase

There are other projects on this table that I would like to walk you through.

- The near-term improvements starting from the fourth row from the top include: the SR 37 Flood Reduction Project, the SR 37 Traffic Congestion Relief Project, and the 2020 SHOPP Projects. These projects started last year (2019) and are going through the project development process (environmental clearance to construction completion) for 6 to 7 years, through to 2026.
    - During July 2020, there was a public scoping meeting for SR 37 Congestion Relief Project from SR 121 to Mare Island.

Next, I would like to go over the PEL (first row on the table) and the long-term SR 37 Resilience Projects (last row on the table).

- The Resilient Projects will address sea levels rise, multi-modal issues, ecological restoration, public access and others. These projects will start in 2022 as the completion of this SR 37 PEL. It will go through project development process and will take up until 2036. We are working on these various projects for the next 16 years to address these near-term and long-term issues as previously mentioned.



Given the challenges in the corridor that Kelly discussed, Caltrans has decided to prepare a PEL study for the SR 37 corridor.

Our SR 37 PEL study will allow for early agency and stakeholder input into the identification of transportation needs, environmental issues, and community expectations, as well as involvement in the development of broad corridor strategies to address these issues. It will be key to get buy-off early on and throughout the PEL process.

Our PEL study will address conceptual design and broad environmental impacts to allow regulatory agencies and stakeholders to sign off on decisions, such as:

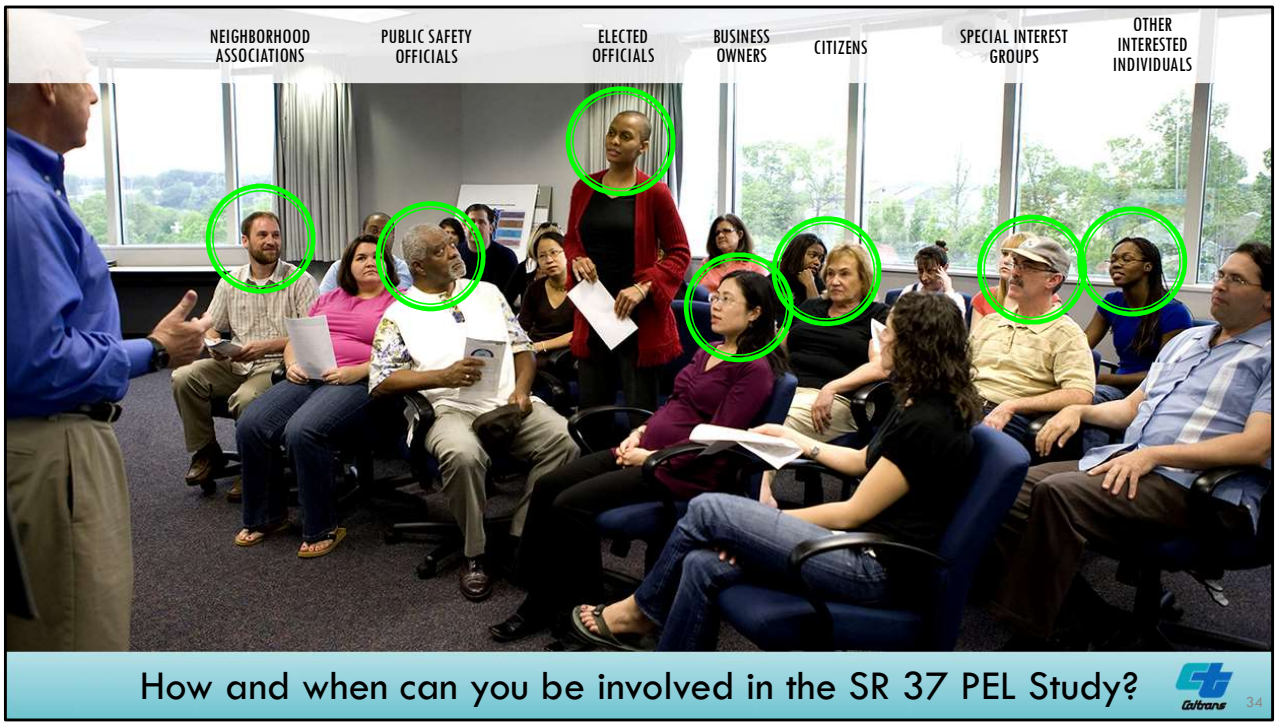
- corridor vision,
- purpose and need,
- corridor assessment of existing and future issues and needs,
- alternatives and strategies for meeting transportation needs, and
- implementation plan that prioritizes improvements and identifies potential funding sources

Our PEL will thereby address concerns already voiced by agencies in the corridor, and decrease the risk of challenges in subsequent NEPA/CEQA environmental impact analyses and permitting processes of future projects.

So what do we hope to accomplish through the SR 37 PEL study?

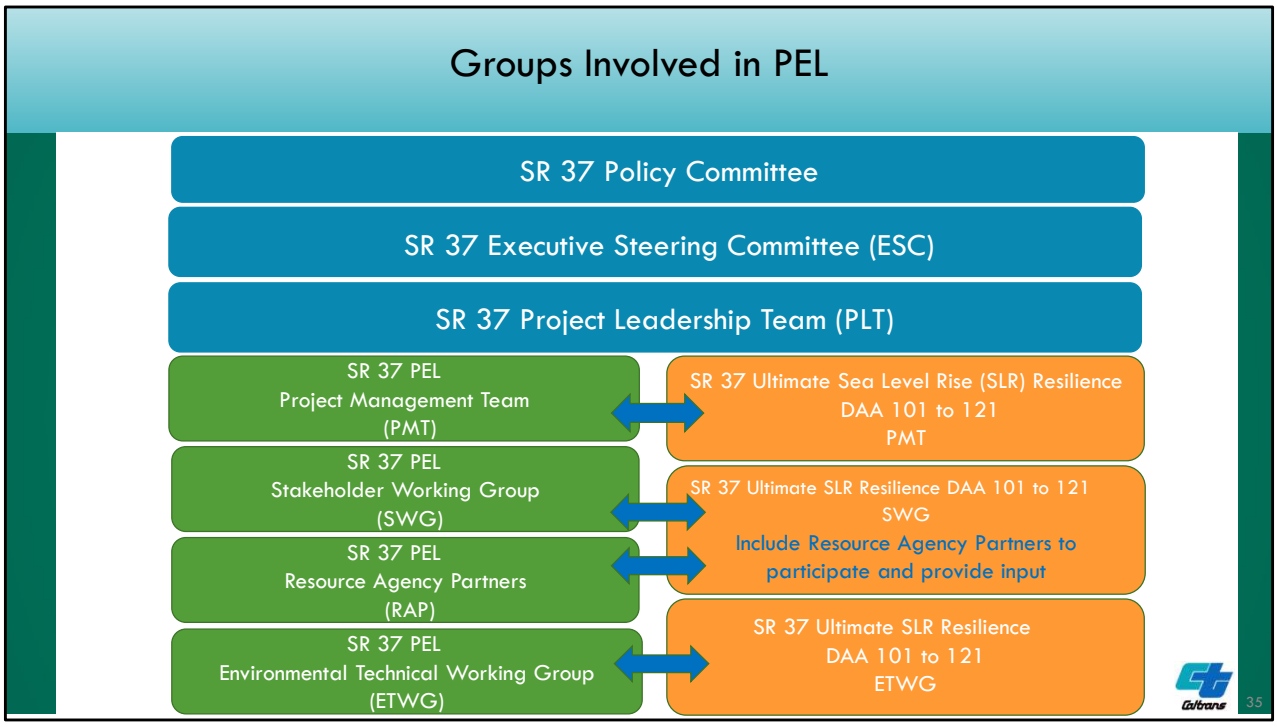
The SR 37 PEL Study will most likely develop and recommend a transportation solution that:

- Integrates transportation, ecosystem, and sea level rise adaptation into one, larger design
- Increases corridor resiliency to storm surges and sea level rise
- Improves mobility across all modes and maintaining public access
- Addresses roadway rehabilitation requirements, and
- Considers Ecological Restoration Opportunities



So, how can you be involved in the SR 37 PEL Study?

PEL Studies provide a comprehensive forum and approach to public engagement involving resource and regulatory agencies, tribes, local stakeholders, and the public on an ongoing basis and through key milestone meetings as the PEL steps are advanced. Your participation is critical in the PEL study to help us identify solutions.



I want to provide clarity on how we will all be working together in the PEL Study. The length and complexity of this project corridor calls for a solid project management structure through which to engage a diverse array of professionals, experts, and stakeholders to guide project outcomes. This structure consists of the following groups:

Blue Rows

SR 37 Policy Committee: comprised of elected officials with jurisdiction in the SR 37 corridor.

SR 37 Executive Steering Committee (ESC): The Executive Directors of BATA, Caltrans, STA, SCTA, TAM, and NVTA serve on the ESC to provide strategic direction to the Policy Committee and PLT.

SR 37 Project Leadership Team (PLT): The Directors and their staffs of BATA, 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.

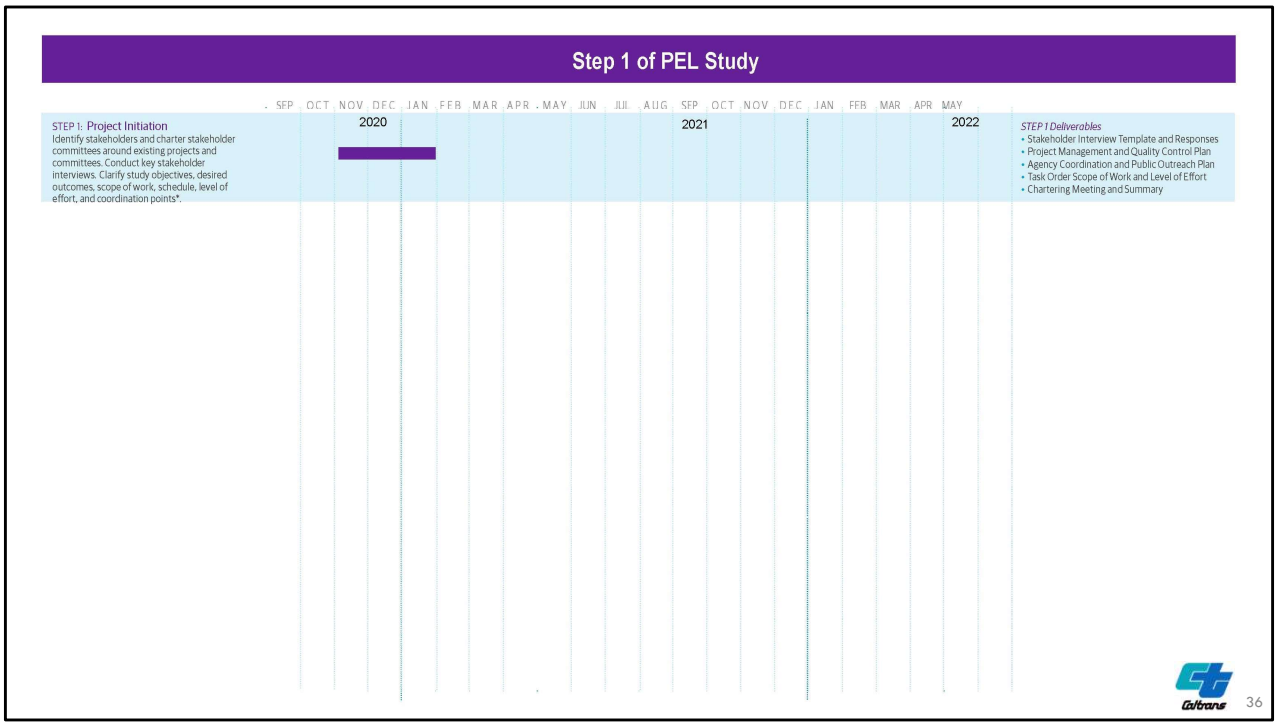
Green Rows

SR 37 PEL Project Management Team (PMT): comprised of Caltrans and consultant staff; manages the PEL Study. Caltrans is the lead agency and we will be leading this effort.

SR 37 PEL Stakeholder Working Group (SWG): comprised of different interest groups - residents, businesses, tribes, organizations, and agencies; informs the PEL process, reviews progress and direction for consistency with local corridor needs and areas of jurisdiction.
SR 37 Resource Agency Partners (RAP): comprised of regulatory resource agencies; focus on their role/responsibility related to their areas of expertise and jurisdiction.
SR 37 PEL Technical Working Group (TWG): comprised of engineering, planning and environmental staff from Caltrans and local jurisdictions; advise on technical aspects of the study. May meet as smaller, technically focused groups, for example **Environmental Technical Working Group (ETWG).**

Orange Rows
The orange represents MTC's Design Alternatives Analysis (DAA) effort on the portion of the Corridor between US 101 to 121. We are going to have a parallel process with MTC, and many of you will be participating in those meetings and interacting in the similar structure that has already been set up in terms of PMT, SWG, ETWG, etc.

To clarify, the green rows represent the PEL process and is corridor-wide (from US 101 to I-80), and will create the comprehensive, umbrella PEL document. The orange covers the DAA between US 101 to SR 121, and that effort will eventually inform the PEL for that portion.



STEP 1: Project Initiation

Identify stakeholders

Charter stakeholder committees around existing projects and committees.

Conduct key stakeholder interviews.

Clarify study objectives, desired outcomes, scope of work, schedule, level of effort, and coordination points.

Groups Involved

Once the PEL study is initiated, Caltrans will conduct interviews with the other transportation agencies and stakeholders to identify key issues and concerns that can be considered in the PEL.

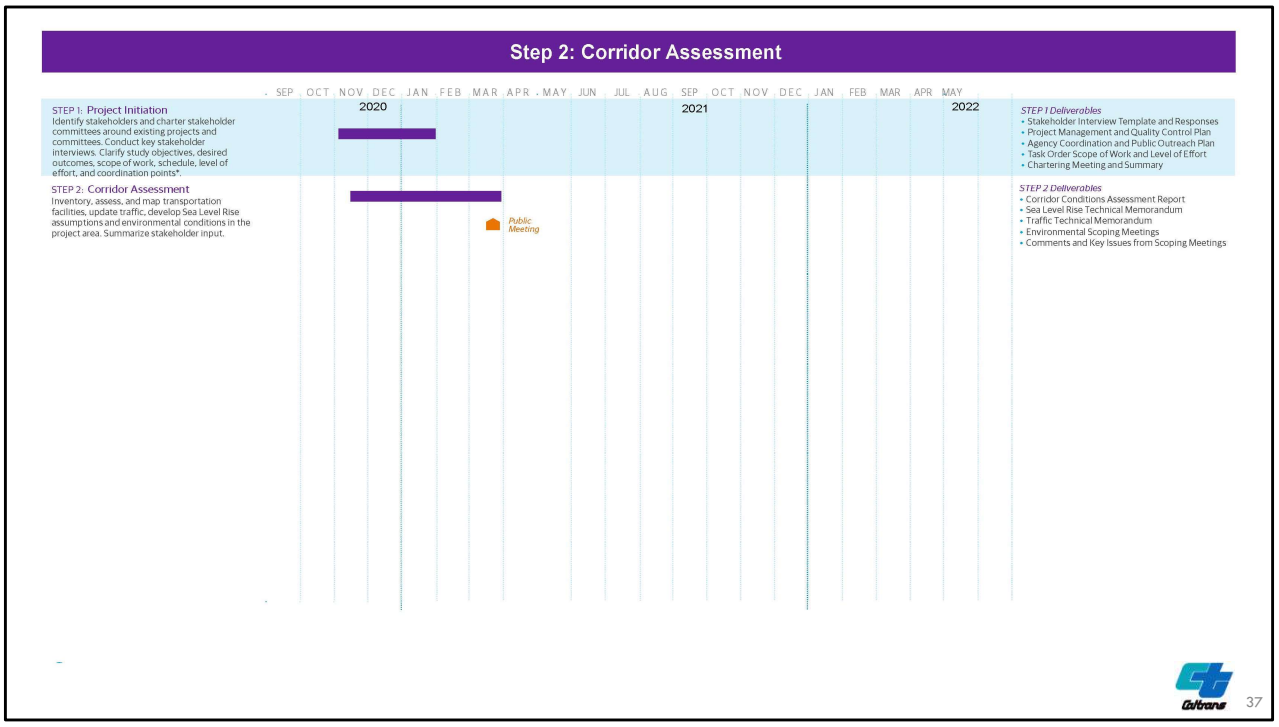
Key findings will be shared with the SR 37 Policy Committee for input.

STEP 1 Deliverables

Predominantly administrative and set up documents to set up for a successful study.

Caltrans will produce the following:

- Task Order Scope of Work and Level of Effort
- Project Management and Quality Control Plan
- Agency Coordination and Public Outreach Plan
- Stakeholder Interview Template and Responses
- Chartering Meeting and Summary



STEP 2: Corridor Assessment

Inventory, assess, and map transportation facilities, update traffic, develop Sea Level Rise assumptions and environmental conditions in the project area.
Summarize stakeholder input.

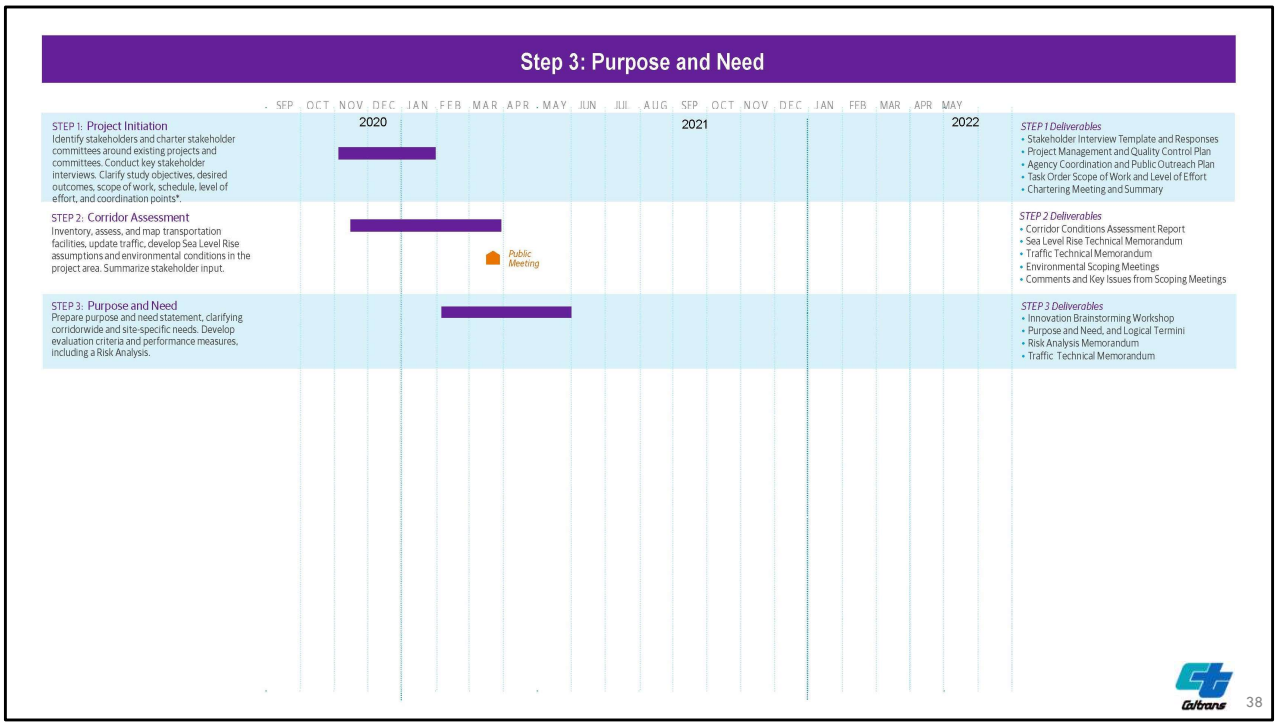
Groups Involved

Through the working groups, Caltrans will work with the transportation and resource agencies as well as other interested parties and the public to consolidate existing transportation and resource data in the corridor.
Caltrans will also identify any data gaps that may be necessary to address before proceeding to Step 3.

STEP 2 Deliverables

Caltrans will produce the following:

- Corridor Conditions Assessment Report
- Sea Level Rise Technical Memorandum
- Traffic Technical Memorandum
- Working Group Meetings
- Public Meeting #1
- Comments and Key Issues from Meetings



STEP 3: Purpose and Need

Prepare purpose and need statement, clarifying corridor-wide and site-specific needs. Develop evaluation criteria and performance measures, including a Risk Analysis.

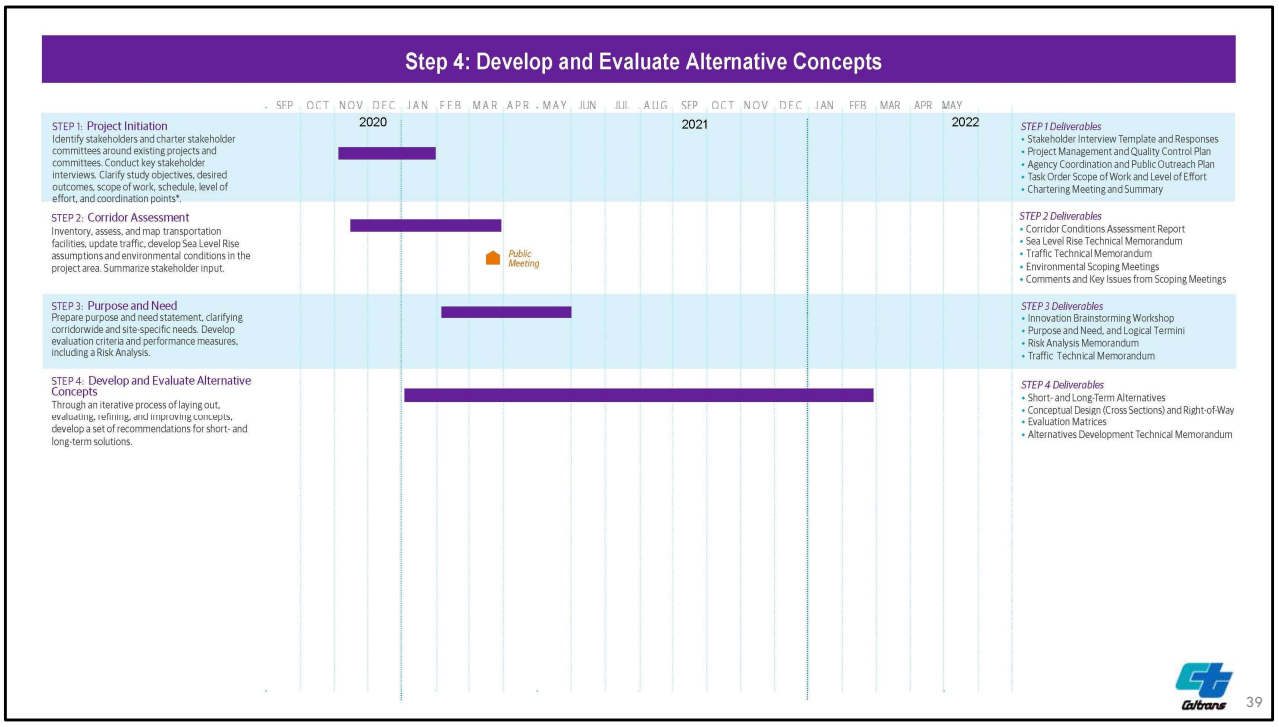
Groups Involved

Based on input received through the Corridor Assessment, Caltrans will draft a Purpose and Need in collaboration with the Working Groups and solicit input at Public Meeting #1. Caltrans will likely draw on existing purpose statements and criteria for evaluation prepared for ongoing projects in the corridor.

STEP 3 Deliverables

Caltrans will produce the following:

- Innovation Brainstorming Workshop
- Purpose and Need, and Logical Termini
- Risk Analysis Memorandum
- Traffic Technical Memorandum



STEP 4: Develop and Evaluate Alternative Concepts

Through an iterative process of laying out, evaluating, refining, and improving concepts, develop a set of recommendations for short- and long-term solutions.

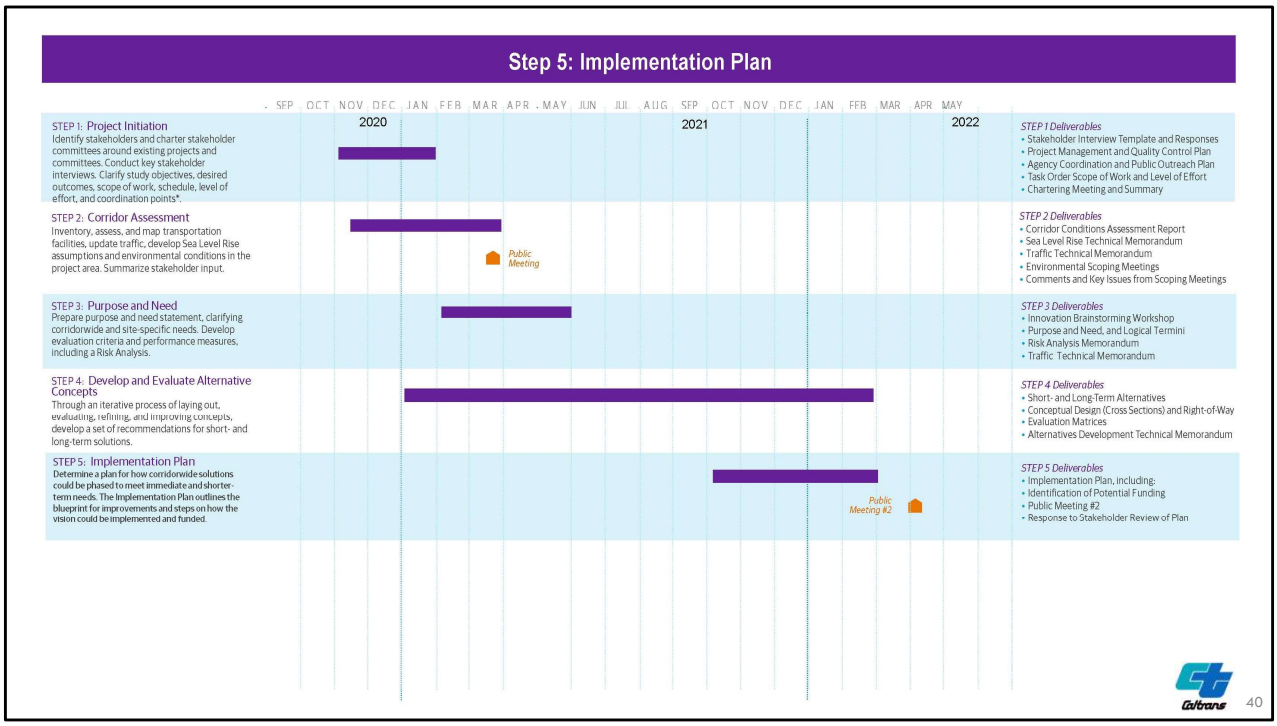
Groups Involved

Caltrans will draft preliminary PEL alternatives based on input received from various Working Groups. To the extent necessary, Caltrans will prepare conceptual design drawings for each alternative carried forward for more detailed evaluation.

STEP 4 Deliverables

Caltrans will produce the following:

- Short- and Long-Term Alternatives
- Conceptual Design (Cross Sections) and ROW
- Evaluation Matrices
- Alternatives Development Technical Memorandum



STEP 5: Implementation Plan

Determine a plan for how corridor-wide solutions could be phased to meet immediate and shorter term needs. The Implementation Plan outlines the blueprint for improvements and steps on how the vision could be implemented and funded.

Groups Involved

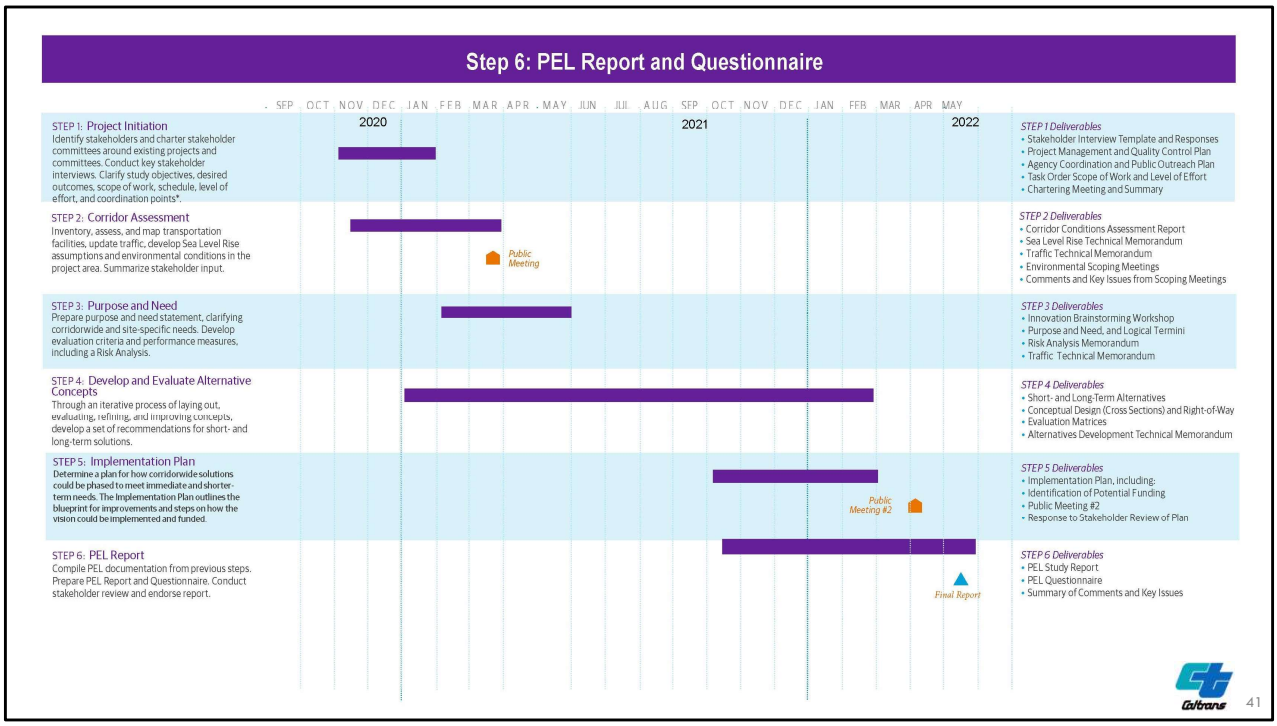
Caltrans will prepare an Implementation Plan with the input of all Working Groups, local jurisdictions, interested parties, and the SR 37 Policy Committee.

Caltrans will seek input regarding project prioritization, sequencing, and funding sources and identify opportunities for collaboration.

STEP 5 Deliverables:

Caltrans will produce the following:

- Implementation Plan, including:
    - Identification of Potential Funding
    - Public Meeting #2
    - Response to Stakeholder Review of Plan



STEP 6: PEL Report

Compile PEL documentation from previous steps. Prepare PEL Report and Questionnaire. Conduct stakeholder review and endorse report.

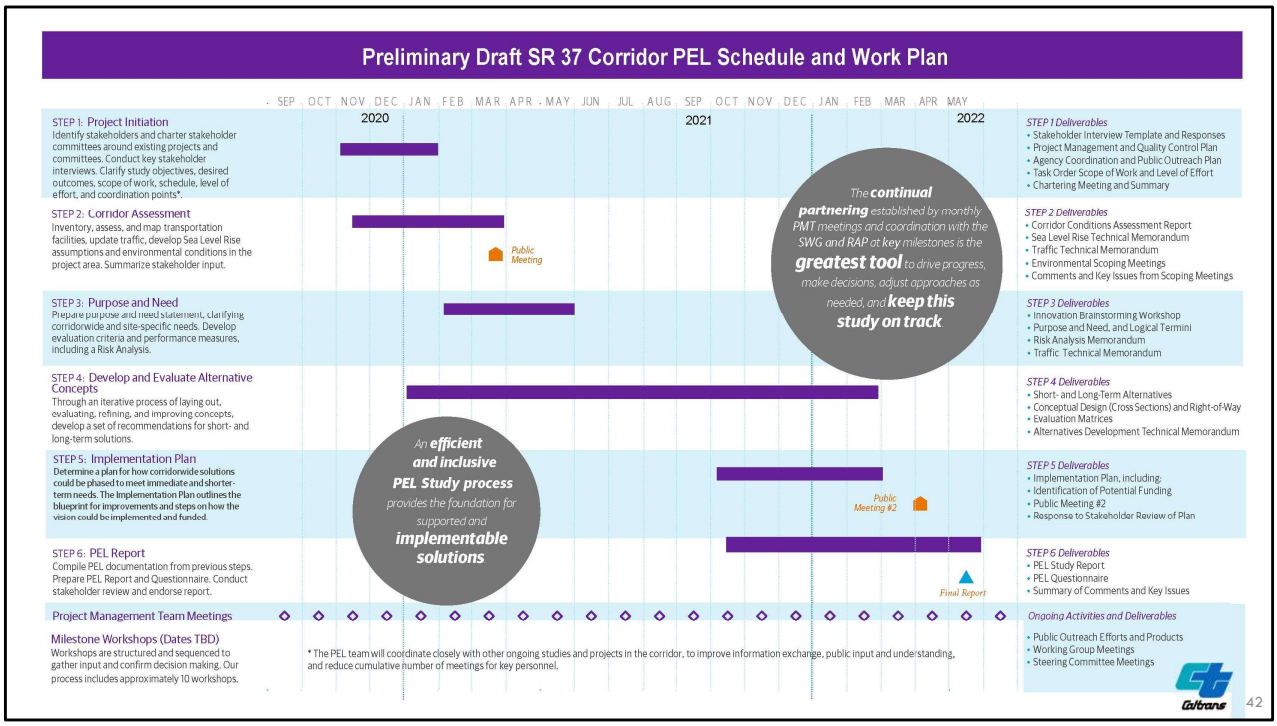
Groups Involved

Caltrans will consolidate all technical studies and outreach results and compile a PEL Study Report and Questionnaire. Once in a complete draft form, Caltrans will cycle through the Working Groups, SR 37 Policy Committee, and when ready for public consumption, will be share at Public Meeting #2.

STEP 6 Deliverables:

Caltrans will produce the following:

- PEL Study Report
- PEL Questionnaire
- Summary of Comments and Key Issues



In essence, the PEL is a continual partnering tool that we will be using. We are in the process of refining when the meetings will take place but we will have plenty of meetings to work on the PEL, and we hope to share that information with you shortly.

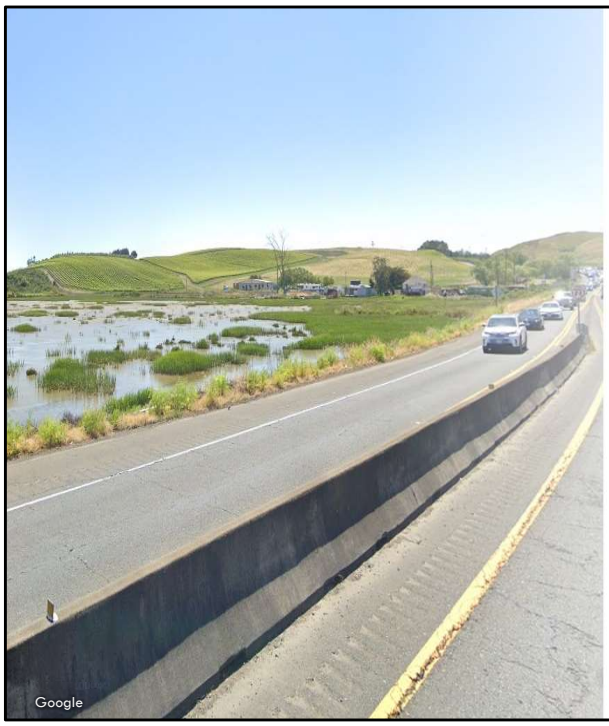
Through the Stakeholder Working Group, Caltrans will engage stakeholders like yourselves:

- To gather information you have on recent, current, or near future planning studies or projects that may relate to the SR 37 corridor. Your information will be incorporated into our Corridor Assessment and broaden our knowledge of ongoing and planned improvements in the study area. This information will also help us develop an implementation plan that considers sequencing and timing issues of interrelated projects and help us identify opportunities for coordinating with other projects and building off existing data. To the extent possible, we will also be coordinating our outreach efforts with ongoing studies (like the DAA study I mentioned earlier in the training), which will ultimately make for an efficient PEL process and maximize the use of your time if involved in these other projects or studies.
- We will also be reaching out to you to document your specific transportation needs and priorities and understand the relationship of these needs to the SR 37 corridor. We recognize that there are many needs within the corridor, some of which are mutual and others that are very specific and/or may conflict with one another. Therefore, we really want to know what your needs are so we can best consider them in our study.
- When it comes time for developing and evaluating alternatives, we will seek your

input on identifying appropriate evaluation criteria that meet the purpose and needs and goals of the study, and then we will encourage your participation in developing and screening alternatives and identifying a preferred recommendation or recommendations.

- Through the SWG discussions, you will have the ability to listen to other stakeholders in the area to develop partnerships and identify opportunities for collaboration with other stakeholders. This collaboration may occur whether directly related to the PEL study or not.
- Seek your endorsement of the PEL study findings and recommendations at its conclusion.
- So, our immediate next steps include an official kickoff meeting for the PEL study. At this point, it looks like we will be hosting the kickoff meeting in early December.


Any Questions?



Caltrans
CALIFORNIA DEPARTMENT OF TRANSPORTATION

For additional information:

Stefan Galvez-Abadia (510-867-6785)
Stefan.Galvez@dot.ca.gov
Tammy Massengale (916-531-0058)
Tammy.Massengale@dot.ca.gov

SR 37 Project
Website: www.SR37CorridorProjects.com
Email: StateRoute37@dot.ca.gov
Phone No: (510) 286-1204

45

Thank you for your time. If you have any additional questions regarding the SR 37 PEL Study, you may reach out to Stefan directly.

If you have questions about PEL studies in general, or would like to discuss how you can capitalize on this innovated planning process, please reach out to Tammy Massengale.

Our contact information is included for your convenience.

You may also find more information on our Project website, and you may email us or call with questions.