

**California Transportation Commission
Public Partnership Application
for
High Occupancy Toll Lanes**

Part I	Certification
Part II	Project Fact Sheet
Part III	Project Cost & Funding Plan
Part IV	HOT Lane Eligibility Documentation

**California Transportation Commission
Public Partnership Application
For High Occupancy Toll Lanes**

Certification

County:	Route:	PPNO:
Project Title:		

We acknowledge the scope, cost, schedule, benefits, and information as identified on the attached application and project fact and funding sheets are true to the best of our knowledge and belief. We certify that funding sources cited are committed and expected to be available; the estimated costs represent full project funding, and the description of benefits is the best estimate possible.

Name: _____ Date _____
Title: _____
Agency: _____

California Transportation Commission

Public Partnership Application for High Occupancy Toll Lanes Project Fact Sheet							
Lead Agency:				Fact Sheet Date:			
Contact Person							
Phone Number				Fax Number			
Email Address							
Project Information:							
County	Caltrans District	PPNO *	EA *	Region/MPO/ TIP ID*	Route / Corridor *	Post Mile Back *	Post Mile Ahead *
* NOTE: PPNO & EA assigned by Caltrans. Region/MPO/TIP ID assigned by RTPA/MPO. Route/Corridor & Post Mile Back/Ahead used for State Highway System.							
Legislative Districts	Senate:			Congressional:			
	Assembly:						
Implementing Agency (by component)	E&P (PA&ED):			PS&E:			
	R/W:			CON:			
Project Title							
Location - Project Limits - Description and Scope of Work (Provide a project location map on a separate sheet and attach to this form)							
Description of Major Project Benefits							
Daily Vehicle Hours of Delay Saved						Hrs.	
Daily Peak Duration Person-Minutes Saved						Min.	
Other:							
Corridor System Management Plan							Month/Year
Lead Agency:							
Plan Adoption Date:							
Plan Implementation Date:							
Expected Source(s) of Additional Funding if the Current Funding Plan Proves Insufficient							
Project Delivery Baseline (Milestones)							Month/Year
Begin Environmental Phase (PA&ED)							
Draft Environmental Document Milestone	Document Type:						
Draft Project Report Milestone							
End Environmental Phase (PA&ED Milestone)							
Begin Design Phase							
End Design Phase (Plans, Specifications, and Estimates Milestone)							
Begin Right-of-Way							
End Right-of-Way (Right-of-way Certification Milestone)							
Begin Construction Phase							
End Construction Phase (Construction Contract Acceptance Milestone)							
Begin Closeout Phase							
End Closeout Phase (Closeout Report Milestone)							

California Transportation Commission

Public Partnership - HOT Lane Application
 Project Fact Sheet - Project Cost and Funding Plan
 (dollars in thousands and escalated)

				Date:
County	CT District	PPNO *	EA*	Region/MPO/TIP ID *
Project Title:				

* NOTE: PPNO and EA assigned by Caltrans. Region/MPO/TIP ID assigned by RTPA/MPO

Proposed Total Project Cost								Project Total
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

**California Transportation Commission
Public Partnership Transportation Projects
High Occupancy Toll Lane Application**

Hot Lane Eligibility Documentation

The California Transportation Commission will consider the eligibility of those project applications that are completed comprehensively. Those applications received that do not provide sufficient evidence to support the eligibility criteria will be rejected and returned to the proposer.

For each of the requirements below, please provide detailed information and supporting documentation. Please ensure that all information provided is identified to correspond with the applicable document reference set forth below.

I. Project Eligibility

PART A – COMPLIANCE WITH STREETS & HIGHWAYS CODE

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Provide evidence to support that the proposed project is consistent with the established standards, requirements, and limitations that apply to those facilities in Sections 149, 149.1, 149.3, 149.4, 149.5, 149.6 and 149.7 of the Streets and Highways Code.	<u>A 1</u>
Provide the reason for pursuing this project.	<u>A 2</u>

PART B – DEPARTMENT OF TRANSPORTATION COOPERATION & STATE HIGHWAY COMPATIBILITY

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Provide evidence that the Department of Transportation (Department) supports this project and that the project application was submitted in cooperation with the Department.	<u>B 1</u>
Provide evidence that the Department determined the project to be consistent with State Highway System requirements.	<u>B 2</u>

PART C – TECHNICAL FEASIBILITY

Description of Required Documentation for Submission	Document Reference
Provide a Project Study Report/Project Report (PSR/PR) or a PSR equivalent that describes, but is not limited to, the following:	<u>C</u>
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.	<u>C 1</u>
The timeframe for project completion.	<u>C 2</u>
How the proposed schedule is reasonable given the scope and complexity of the project.	<u>C 3</u>
The methods expected to be followed to assure that the project will be completed and will be completed on time.	<u>C 4</u>
The plan for operation of the facility.	<u>C 5</u>
The technology that will be used to maximize interoperability with relevant local and statewide transportation technology.	<u>C 6</u>
How the proposed project is consistent with applicable state and federal statutes and regulations and standards. Document the applicable state and federal standards and provide evidence that the proposed design meets the standards.	<u>C 7</u>
Whether the project is outside the purview of federal oversight, or whether it will 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.	<u>C 8</u>
Evidence that the project has received environment clearance. If environmental clearance was not yet received, explain whether the project is likely to receive environmental clearance to meet the timeline set forth in the project proposal.	<u>C 9</u>
The required state and local permits and the schedule to obtain them.	<u>C 10</u>
All negative impacts known for the project. For each negative impact, document whether there is a mitigation plan identified.	<u>C 11</u>

Part IV

If not too early to determine, the method by which the operator proposes to secure all property interests required for the transportation facility.	<u>C 12</u>
Whether there is a process in place to develop a maintenance plan with the Department. Specifically, whether there is a process to clearly define assumptions or responsibilities during the operational phase including law enforcement, toll collection and maintenance.	<u>C 13</u>

PART D – FINANCIAL FEASIBILITY

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Provide information relative to the project financial plan and feasibility.	<u>D 1</u>
Document a financial plan and financial guarantees which will allow for access to the necessary capital to finance the facility.	<u>D 2</u>
Provide evidence of the proposer’s ability and commitment to provide sufficient equity in the project as well as the ability to obtain the other necessary financing.	<u>D 3</u>
Explain how shortfalls will be funded if revenues do not meet projections.	<u>D 4</u>
Explain how the financial plan demonstrates a reasonable basis for funding project development and operations.	<u>D 5</u>
If, applicable, describe the nature and amount of the proposer’s financial contribution to the project.	<u>D 6</u>
Describe how the estimated cost of the facility is reasonable in relation to the cost of similar projects through a cost/benefit analysis.	<u>D 7</u>
Provide an analysis of the projected rate of return and life cycle cost estimate of the proposed project and/or facility.	<u>D 8</u>
Explain how the financial information submitted is sufficient to determine the financial capability to fulfill the obligations described in the project application.	<u>D 9</u>

Part IV

Identify the proposed ownership arrangements for each phase of the project and indicate assumptions on legal liabilities and responsibilities during each phase of the project.	<u>D 10</u>
Describe the extent that adequate and transparent procurement policies have been adopted to maximize competitive bidding opportunities for potential contractors and suppliers.	<u>D 11</u>

PART E – REGIONAL TRANSPORTATION PLAN & COMMUNITY SUPPORT

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Provide documentation to show that the project is consistent with City and County comprehensive plans and regional transportation plans and with plans and documents for the Regional Transportation Agency’s long range plan. If the project is not consistent, please identify the steps proposed that will achieve consistency with such plans.	<u>E 1</u>
Describe how the project proposed includes improvements that are compatible with the present and planned transportation system. Include the methods by which the project provides continuity with existing and planned state and local facilities.	<u>E 2</u>
Explain how the proposed project helps to achieve performance, safety, mobility, and air quality or transportation demand management goals.	<u>E 3</u>
Explain whether the proposed project is consistent with applicable state and federal environmental statutes and regulations, the air quality component of the RTP, and whether the proposal adequately addresses or improves air quality conformity.	<u>E 4</u>
Identify any emission reductions provided by the proposed project.	<u>E 5</u>
Explain how the project improves connections among the transportation modes.	<u>E 6</u>
Identify the project benefits to the affected community transportation system and provide an explanation whether this project enhances adjacent transportation facilities.	<u>E 7</u>

Part IV

Explain whether the proposed project will enhance the state's economic development efforts.	<u>E 8</u>
Explain if the project is critical to attracting or maintaining competitive industries and businesses to the region, consistent with state objectives.	<u>E 9</u>
Explain whether the regional agency governing body has taken action to approve this proposal and whether local impacts have been addressed. Provide the Board or other resolution to document the action taken.	<u>E 10</u>
Explain whether this project will bring a significant transportation and economic benefit to the community, the region, and/or the state.	<u>E 11</u>
Describe any ancillary benefits to the communities because of the project.	<u>E 12</u>
Explain the extent of support or opposition for the project. Explain the national and regional transportation issues and needs, as well as the impacts this project may have on those needs.	<u>E 13</u>
Describe any plans intended to work with the community. List the affected local jurisdictions and provide clear written statements of the extent of support for the project from all affected local jurisdictions, if available. Describe any environmental justice issues or concerns.	<u>E 14</u>

PART F – PERFORMANCE MEASURES

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Describe the Regional Transportation Agency's performance measures used to track and report annually on the following: Safety Mobility Accessibility Reliability Productivity System Preservation Return on investment/Lifecycle Cost Emission Reduction	<u>F 1</u>

II. Secondary Evaluation and Project Eligibility Criteria

The following criteria are to be completed only if the project team is known. Where a project team is not known given the stage of the project, this secondary evaluation and eligibility criteria is not required.

<u>Description of Required Documentation for Submission</u>	<u>Document Reference</u>
Describe the team’s qualifications and experience.	<u>G 1</u>
Describe the extent of experience with similar infrastructure projects.	<u>G 2</u>
Provide a description of the team’s ability to perform work.	<u>G 3</u>
Describe the leadership structure.	<u>G 4</u>
Provide a description/backgroup relative to the Project Manager’s experience.	<u>G 5</u>
Describe the anticipated management approach for this project.	<u>G 6</u>
Describe the planned public involvement strategy.	<u>G 7</u>