Deputy Directive

Number: DD-43-R1

Refer to Director's Policy: DP-08, Freeway System Management; DP-23-R1, Energy Efficiency; Conservation, and Climate Change; DP-26, Intelligent Transportation Systems; DP-27-R1, Bus Rapid Transit Implementation Support

Effective Date: 5/29/2015

Supersedes: DD-43 (07/01/1995)

Responsible Program: Traffic Operations

TITLE MANAGED LANE FACILITIES

POLICY

The California Department of Transportation (Caltrans) uses managed lanes on the State Highway System (SHS) as a sustainable transportation system management strategy. Managed lanes are used to promote carpooling and transit usage, improve travel-time reliability, reduce greenhouse gas emissions, and maximize the efficiency of a freeway by increasing person and vehicle throughput while reducing congestion and delay.

Each district that currently operates, or expects to operate, managed lanes within the next twenty years shall prepare, in cooperation with regional transportation agencies and other stakeholders, a Managed Lanes System Plan (MLSP). The MLSP shall contain a list of each managed lane facility that is currently in operation or planned for operation within the next twenty years. Each district shall review and update its MLSP biennially and ensure that future managed lanes are included in regional transportation plans and other system planning documents.

Managed lanes are designed and operated in a manner that will not degrade the overall mobility and safety performance of the freeway. All appropriate guidelines, policies, procedures, and standards, including Caltrans' Highway Design Manual design criteria, shall be applied when planning, designing, and operating managed lanes. Design features and operational strategies for managed lanes, and any changes to those features or strategies, shall be determined by Caltrans in cooperation with regional transportation agencies, the California Highway Patrol (CHP), and other affected stakeholders.

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Tolling may be used as an operational strategy on managed lanes. Caltrans, or a regional transportation agency in cooperation with Caltrans, may seek tolling authority pursuant to applicable laws. The following provisions shall apply for any tolled managed lane on the SHS:

- Tolls shall be collected electronically and use congestion pricing to manage demand.
- Toll revenues shall be used to pay for debt service related to development of the managed lanes project, the costs of administering, operating, and maintaining the managed lanes, including CHP enforcement activities, capital expenses, and reserves for these purposes.
- Unless financing requirements or State laws dictate otherwise, excess toll revenues shall be used for projects or programs that improve or preserve safety, operations, or travel reliability for any transportation mode or provide new or enhanced travel options in the corridor in which the tolls were collected. Excess toll revenues may also be used to augment, but not replace, State resources used for maintenance and operation of adjacent general-purpose lanes.
- A toll revenue expenditure plan shall be developed by Caltrans and the regional transportation agency. This plan shall be updated annually. In some instances, State laws may dictate the process for development of the expenditure plan.
- An agreement shall be made with the CHP regarding enforcement and an Enforcement Plan shall be developed.
- If Caltrans will not be operating the managed lanes, the regional transportation agency shall develop, in cooperation with the CHP and Caltrans, an Incident Management Plan. The Incident Management Plan shall be updated through the life of the project as needed.
- A Concept of Operations shall be developed. This document shall, at a minimum, describe the design and operational characteristics of the managed lanes, enforcement, incident management, and agency and stakeholder coordination. The Concept of Operations shall be prepared during the Project Initiation Document phase and finalized in the Project Approval and Environmental Document phase. It shall be updated through the life of the project as needed.
- Caltrans, the regional transportation agency, and other stakeholders, as appropriate, shall enter into agreements that define overall roles, responsibilities, and requirements related to maintenance and operation of the managed lanes, use of toll revenues, risk management, data sharing, performance monitoring, and annual audits and reports. If the regional transportation agency will have tolling authority, the agreements will include reimbursement to Caltrans for costs incurred relative to the development, operation, maintenance, or improvement of the managed lanes.

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DEFINITION/BACKGROUND

A managed lane is an exclusive- or preferential-use lane that is managed proactively in response to changing conditions in order to achieve improved efficiency and performance. Managed lanes use operational strategies such as access control, vehicle eligibility, and tolling, or a combination thereof. These strategies are determined based on factors such as safety, regional and interregional consistency, impacts on freeway performance, enforcement needs, environmental considerations, and community support. Strategies may be adjusted to meet required performance standards or to address other managed lane or freeway performance issues. For the purposes of this policy, a managed lane is defined as one of the following:

- A high-occupancy vehicle (HOV) lane.
- A high-occupancy/toll (HOT) lane. This HOV lane may also be accessed by tolled vehicles.
- An express toll lane (ETL). All vehicles must pay a toll to access this lane.

A tolled managed lane, such as a HOT lane or an ETL, is also referred to as an "express lane" and signed as such.

Title 23 United States Code sections 129 and 166 authorize public authorities to operate managed lanes on federal-aid highways and provide required performance standards for the lanes. Related California legislation includes the following:

- Vehicle Code section 21655.5 and Streets and Highways Code section 149 authorize Caltrans to operate exclusive- or preferential-use lanes on the SHS for buses and other HOVs.
- Vehicle Code section 21655.6 requires Caltrans to obtain the approval of the appropriate transportation planning agency or county transportation commission prior to establishing exclusive- or preferential-use lanes on the SHS.
- Vehicle Code sections 21655.9 and 5205.5 authorize zero-emission vehicles and certain classes of low-emission vehicles to use HOV lanes without meeting occupancy requirements and to use HOT lanes without paying a toll or by paying a discounted rate.
- Streets and Highways Code sections 149.1 and 149.4 through 149.10 and Public Utilities Code sections 130240 and 130244 authorize various regional transportation agencies to operate, in cooperation with Caltrans, a limited number of tolled managed lanes on the SHS.
- Government Code section 64112 authorizes the California Transportation Financing Authority to grant authority to Caltrans or regional transportation agencies to operate toll facilities such as a tolled managed lane on the SHS.

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RESPONSIBILITIES

Deputy Director, Finance
Ensures revenues from tolled managed lanes are appropriated in accordance with State and federal laws and with the plan and agreements outlined in the Policy section herein.

Chief, Division of Traffic Operations
- Develops, implements, and maintains statewide policies, procedures, standards, and guidance concerning managed lanes.
- Provides direction, training, and assistance with the development and operation of managed lanes, including necessary agreements, to divisions, districts, and other stakeholders.
- Ensures consistent implementation and operation of managed lanes throughout the districts.
- Provides direction, training, and assistance with the development of MLSPs, in partnership with the Division of Transportation Planning, to district Traffic Operations staff.
- Maintains a statewide inventory of planned, programmed, and constructed managed lanes.
- Ensures managed lanes are monitored for compliance with State and federal performance requirements. Reviews managed lanes performance reports and shares trends and findings with the districts, the Federal Highway Administration, the CHP, and regional transportation agencies.
- Coordinates and evaluates research studies and best practices pertaining to managed lane systems operational methods, strategies, enforcement, and equipment.
- Collaborates with the districts, other divisions, regional transportation agencies, the CHP, and other external stakeholders, as appropriate, to develop proposals for tolled managed lanes.

Chief, Division of Transportation Planning
- Provides direction, training, and assistance with the development of MLSPs, in partnership with the Division of Traffic Operations, to district Planning staff.
- Ensures consistent development of MLSPs throughout the districts.
- Integrates MLSPs into applicable statewide system planning documents.
- Collaborates with the Division of Traffic Operations developing, implementing, and revising statewide policies, procedures, standards, and guidance concerning managed lanes.

Chief, Division of Maintenance
Develops, implements, and revises statewide policies, procedures, standards, and guidance concerning the maintenance of managed lanes.

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Chief, Division of Design
- Develops, implements, and revises statewide policies, procedures, standards, and guidance concerning the design of managed lanes.
- Provides direction, training, and assistance with the design of managed lanes to divisions, districts, and other stakeholders.

District Directors
- Ensure the use of managed lanes where appropriate on the SHS is considered and encouraged.
- Ensure selected managed lane strategies are appropriate for each SHS corridor.
- Collaborate with regional transportation agencies to implement managed lanes where appropriate.
- Collaborate with regional transportation agencies and other project stakeholders to develop and update toll revenue expenditure plans for tolled managed lanes.

Deputy District Directors, Traffic Operations
- Implement managed lane strategies in cooperation with regional transportation agencies, the CHP, and other stakeholders, as appropriate.
- Review performance of managed lanes and identify and implement operational changes on managed lanes in cooperation with regional transportation agencies, the CHP, and other stakeholders, as appropriate.
- Ensure consistent managed lane operations between neighboring jurisdictions and districts to the greatest extent possible.
- Ensure Incident Management Plans and Concepts of Operations are developed for tolled managed lanes, in cooperation with the Federal Highway Administration and the CHP.
- Ensure annual performance monitoring reports of managed lanes are developed and submit this information to headquarters, regional transportation agencies, the CHP, and other stakeholders, as appropriate.
- Provide cost estimates of division activities associated with tolled managed lanes for tracking and reimbursement purposes.

Deputy District Directors, Planning and Modal Programs
- Collaborate with district Traffic Operations staff and regional transportation agencies to develop and maintain the district MLSP.
- Incorporate managed lanes projects into system and corridor planning documents developed by regional transportation agencies or Caltrans.
- Ensure consistency of the district MLSP with neighboring districts’ MLSPs.
- Provide traffic forecasting for development of the district MLSP, in coordination with district Traffic Operations staff.

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Deputy District Directors, Maintenance

- Ensure managed lane facility operations are considered when maintaining the SHS.
- Provide cost estimates of division activities associated with tolled managed lanes for tracking and reimbursement purposes.

Deputy District Directors, Design and Construction

Ensure managed lane facility operations are considered when designing and constructing improvements to the SHS.

Deputy District Directors, Program/Project Management

Work with Headquarters divisions and regional transportation agencies to develop and execute any necessary agreements for tolled managed lanes.

Employees

- Adhere to statewide policies, procedures, standards, and guidance concerning planning, designing, operating, and maintaining managed lanes.
- Collaborate with stakeholders to implement managed lane strategies or adjustments to existing managed lane operations.
- Identify and report impediments to implementing managed lane strategies or adjusting existing managed lane operations and seek expeditious resolution.
- Identify and report opportunities to include appropriate managed lane strategies in capital projects.

APPLICABILITY

All Caltrans employees involved in the planning, design, construction, maintenance, and operation of managed lane facilities on the SHS.

KOME AJISE
Chief Deputy Director

May 29, 2015
Date Signed

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