

Appendix K – General and Special Provisions

Table of Contents

ACCESS CONTROL AND TEMPORARY SAFETY BARRIER (WL)	K-1
ADOPT-A-HIGHWAY (TR-0156)	K-2
ADOPT-A-HIGHWAY – SAFETY REQUIREMENTS	K-5
ADVERTISING DISPLAYS (AD)	K-6
AIR SPACE DEVELOPMENT (AS)	K-7
ART PROGRAM (AP)	K-8
BANNERS (BR)	K-9
BUS PASSENGER SHELTERS, BENCHES, AND PULLOUTS --ADVERTISING AND LOCATION (BS)	K-10
CABLES/GEOPHYSICAL TESTING (GC)	K-11
CONVENTIONAL HIGHWAY MOBILE WORK (TR-0170)	K-12
DRAINAGE - ROOF AND SURFACE, MINOR (DM)	K-13
DRIVEWAY, COMMERCIAL (RC).....	K-14
DRIVEWAY RECONSTRUCTION (RM).....	K-15
DRIVEWAYS, SINGLE FAMILY (RS)	K-16
EARLY ENTRY (SC)	K-17
FILMING - ACCIDENT RECONSTRUCTION	K-18
FILMING - AIRCRAFT, PYROTECHNICS, STUNTS, ETC. (FS)	K-19
FILMING - INTERMITTENT TRAFFIC CONTROL (FI)	K-20
FILMING - NO MOVING TRAFFIC (FO)	K-21
FILMING - TRAFFIC CONTROL (FL)	K-22
FILMING - WETDOWN PROVISIONS (TR-0169)	K-23
GENERAL PROVISIONS (TR-0045)	K-24
HAZARDOUS MATERIALS AND HAZARDOUS WASTE MANAGEMENT SPECIAL PROVISIONS (TR-0408) ...	K-29
LAW ENFORCEMENT SURVEILLANCE DEVICES (TR-0409)	K-30

MAIL BOX (MB)K-31

NOTIFICATION OF ENCROACHMENT: MEDIA, LOCAL AGENCIES & CHP.....K-32

PEDESTRIAN SAFETY (MCP)K-33

RAILROAD GRADE CROSSING - MAINTENANCE (RX)K-34

ROLLING TRAFFIC BREAKS (TR-0407)K-35

SIDEWALKS (CS)K-36

SPECIAL EVENTS (SE)K-37

STEEL PLATE BRIDGING UTILITY (TR-0157)K-38

STORM WATER SPECIAL PROVISIONS for MINIMAL or NO IMPACT (TR-0400)K-39

STRUCTURE WORKK-41

SURVEYS (SV)K-45

TRAFFIC COUNTERS (SV).....K-46

TRAFFIC SIGNAL CONTROLLER ASSEMBLYK-47

TRAFFIC STRIPING, MARKINGS, AND SIGNS (MCS)K-48

TREE PRUNING (TRIMMING) AND CHEMICAL APPLICATION (TR-0159)K-49

TREE REMOVAL (TR-0171)K-51

UNCASED HIGH PRESSURE NATURAL GAS PIPELINE PROVISIONS (UNG) (TR-0158).....K-52

UTILITY ANNUAL PROVISIONS (TR-0160)K-54

UTILITY LEASINGK-55

UTILITY MAINTENANCE PROVISIONS (UM) (TR-0161)K-56

UTILITY OVERHEAD PROVISIONS (OH) (TR-0162)K-57

UTILITY UNDERGROUND PROVISIONS (UG) (TR-0163)K-58

VIBRIO GENERATING EQUIPMENT (GV)K-61

**ACCESS CONTROL AND TEMPORARY SAFETY BARRIER
RETAINING WALLS AND SOUNDWALLS (WL) SPECIAL PROVISIONS**

In addition to the attached General Provisions (Form TR-0045), the following special provisions are also applicable:

1. A temporary 6' high access control fence shall be provided before removing the existing fence. Existing fence fabric shall be salvaged and delivered to the nearest State facility as directed by the State's representative at no cost to the State. The remaining access control fence shall be tied to the wall.
2. Fence posts are to be removed completely and the holes backfilled with compacted earthen material.
3. Access to the worksite from the freeway is prohibited.
4. Any material stored at the worksite within 30' of the traveled way when work is not in progress shall be protected by Type K barrier railing placed at a 20: 1 taper or as otherwise directed by the State's representative.
5. Any Type K barrier placed within 10' of the traveled way shall have one appropriate reflective marker affixed to the top of each section. A Type "P" object marker shall be installed in front of the approach end section. The end section shall also be protected by a temporary crash cushion array.

ADOPT-A-HIGHWAY PERMIT SPECIAL PROVISIONS

TR-0156 (Rev. 09/2009)

1. **AUTHORITY:** The Department's authority to issue encroachment permits is provided under Division 1, Chapter 3, Articles 1 - 3, Section 660 to 734 of the Streets and Highways Code.
2. **REVOCAION/CANCELLATION:** This permit may be revoked by the Department for noncompliance with permit provisions or for failure of the permittee, or their representative to adhere to direction given by a Departmental representative. These provisions are subject to modification or abrogation at any time. This permit may be temporarily suspended due to construction or other State operations at, or within, the vicinity of the site.

Permittee may cancel their permit at any time without consequence from the Department. Permittees using contractors are responsible for terminating those arrangements.
3. **ASSIGNMENT:** No parties other than the permittee, or permittee's authorized representative, are allowed to work under this permit.
4. **ACCEPTANCE OF PROVISIONS:** Permittee understands and agrees to accept these Adopt-A-Highway Permit Special Provisions and all attachments to this permit, for any work to be performed under this permit. It is understood and agreed by the permittee that performing work under this permit shall constitute acceptance.
5. **PERMITTEE RESPONSIBILITY:** No person shall enter the State's right of way to perform work until the Department's Maintenance Supervisor has given the permittee's group/crew leader a safety orientation, and, all participants have received safety training from the permittee's group/crew leader as described in items 20 and 24.

It is the responsibility of the permittee to notify the District Adopt-A-Highway Coordinator of any change of permittee's address, phone number, or contact person.
6. **PLAN CHANGES:** Changes to plans, specifications, and permit provisions are not allowed without prior approval from the Department.
7. **AGE OF PARTICIPANTS:** No minors under the age of 16 are permitted to participate in the program. Minors, 16 and 17 years of age, may participate; however, there must be one adult supervisor for every five minors present at the work site. The adult supervisor must be at least 21 years old and must walk along with the group. Volunteer group leaders must be adults who are at least 21 years old.
8. **BEGINNING OF WORK:** Work authorized by this permit shall begin **after a safety orientation has been completed and within 30 calendar days from the date of issuance**, regardless of whether or not the permittee's Adopt-A-Highway courtesy sign(s) and/or recognition panel(s) have been installed. Work shall not be discontinued if the permittee's courtesy sign is damaged or stolen.
9. **ADVANCE NOTICE OF WORK:** Permittee must notify the Department's Maintenance Supervisor listed on Attachment A (Adopt-A-Highway Special Provisions) of their plans to work at least five days, but no more than one month, before the event.
10. **WORK DAYS AND HOURS:** Work must be performed during daylight hours. If weather (or other adverse circumstance) causes decreased visibility or a public hazard, work shall immediately be discontinued. Work shall not be conducted on, or within twenty-four hours preceding, the following holidays or holiday weekends: New Year's Day, Martin Luther King, Jr.'s Birthday, Washington's Birthday, Cesar Chavez's Birthday, Easter, Memorial Day, Independence Day (July 4th), Labor Day, Veteran's Day, Thanksgiving and the day after, and Christmas. Unless specified, work is permitted the day following a legal holiday or holiday weekend.
11. **PARTICIPATION IN STATEWIDE EVENTS:** Weather permitting, volunteer litter removal groups shall schedule work during the "Great American Cleanup-California" (March-May) and "California Cleanup Day" (September) events in order to support Adopt-A-Highway's participation in national and international cleanup events.
12. **CONFLICTING ENCROACHMENTS:** Permittee shall yield start of work to ongoing, prior authorized, work adjacent to or within the limits of the project site.
13. **PERMIT AT WORK SITE:** Permittee shall keep the complete permit package (Adopt-A-Highway Encroachment Permit, Adopt-A-Highway Permit Special Provisions, and if applicable, plans and work schedule) or a copy thereof, at the work site and show it upon request to any Department representative or law enforcement officer. If the permit package is not kept and made available at the work site, the work shall be suspended. In addition, a copy of the encroachment permit must be displayed in the windshield of each vehicle parked on the right of way. Vehicles without permits may receive traffic citations.
14. **PARKING AT THE WORK SITE:** Participant's personal vehicles shall not interfere with the free flow of traffic or pedestrians. Vehicles used to transport participants or materials may legally park on the right of way provided that they are located completely *off of the pavement and a minimum of six feet from any traffic lane*. If this is not possible, participants must walk to and from the site or, if the site has a shoulder, participants can use a drop-off and pick-up arrangement.
15. **WORK PROCEDURES:** Work shall proceed in the direction facing traffic. A posted safety lookout shall be used when fellow participants are unable to watch oncoming traffic.

Work shall not be performed on or within six feet from any traffic lane or on median strips. Participants shall not walk or run across access-controlled highways (freeways), including on-ramps and off-ramps unless there are crosswalks. Participants shall not work on unstable or slippery ground, on slopes greater than approximately 40°, on bridges, in tunnels, or inside culverts. Unless excluded by the aforementioned conditions, or entered on Attachment A, Work Procedures, litter removal and vegetation control shall be performed behind soundwalls.
16. **PUBLIC TRAFFIC CONTROL:** All forms of traffic control, including shoulder, lane, and ramp closures, signs, cones, vehicles, or any other traffic control device are prohibited under this permit.
17. **SAFETY EQUIPMENT:** It is required that all participants wear hard hats, safety vests, gloves, and protective eye wear while on the State's right of way. The Department will provide these and, if needed, litter pickers to volunteers free of charge. In addition, participants are required to wear long pants and substantial leather shoes or boots with ankle support. Any State-furnished, personal protective equipment, unused materials, and tools shall be returned upon termination of the permit.
18. **LITTER BAGS:** Participants shall use white, Adopt-A-Highway bags provided by the Department. Securely tied, filled bags must be placed at least six feet from the edge of traffic lanes and off of paved shoulders. Bags must be placed in locations where they are not obstructing drainage and where Departmental maintenance forces can easily see them and safely retrieve them. Whenever possible, bags

should be stacked together and/or placed 100 feet from structures. It is important for participants to leave their filled bags at the site so that the Department can verify that work frequencies are being met. Also, the monthly count of white bags collected, enables the Department to quantify the value of the Adopt-A-Highway Program. (Participants may take bags of recyclables home.)

19. STORAGE OF EQUIPMENT AND MATERIALS: Unless specified in the Permittee's planting and/or work plans, storage of equipment and materials (other than filled, Adopt-A-Highway litter bags) on the State right of way is not authorized under this permit.

20. SAFETY PROCEDURES FOR VOLUNTEER GROUPS:

A. Designate group leaders. Each permittee shall designate a group leader and an alternate group leader to represent the group. Unless otherwise notified, the Department considers the group leader to be the individual whose name appears on the attached encroachment permit.

Unless otherwise notified, the Department considers the alternate group leader to be the individual named as the alternate contact on the Adopt-A-Highway Program Application.

B. Attend a Caltrans safety orientation. Both the group leader and the alternate group leader shall schedule and attend a safety orientation given by the Department's Maintenance Supervisor. The "Adopt-A-Highway Safety Orientation Checklist for Volunteers" will be reviewed, signed, and copies given to the group leaders.

C. Obtain safety equipment: Safety equipment and a copy of the Adopt-A-Highway safety video shall be issued during the Caltrans safety orientation. Participants who need them will also receive Adopt-A-Highway litter bags and litter pickers. Additional safety equipment and litter bags may be obtained as needed throughout the permit period from the Department's Maintenance Supervisor.

D. Provide safety training to all group members. The group leader or alternate group leader shall then provide safety training for all participants before they attend a work event. The encroachment permit and special provisions shall be explained and part two of the Adopt-A-Highway safety video must be viewed.

E. Conduct safety reviews before each work event. The group leader or alternate group leader shall conduct a brief, off-site safety review each time the group goes out to work. The "Safety Requirements for Participants" and the "Bag It, Move It, or Leave It?" handouts shall be reviewed. The group leader or alternate group leader shall ensure that all participants are equipped with safety gear and that minors will be adequately supervised. The group leader or alternate group leader must participate in the work event.

F. Provide annual safety training. The group leader or alternate group leader shall hold an annual safety training refresher for all participants. Once again, the encroachment permit and special provisions shall be explained and part two of the Adopt-A-Highway safety video viewed.

G. Report Injuries, Accidents, and Incidents. The following occurrences shall be reported to the District Adopt-A-Highway Coordinator by the next business day: injuries resulting in an individual seeking medical treatment, vehicular damage resulting in an insurance claim and/or police report, and incidents where the California Highway Patrol was contacted.

H. Report changes in contact information or leadership to the District Adopt-A-Highway Coordinator. New group leaders, appointed during the permit period, must make arrangements to attend a safety orientation given by the Department's Maintenance Supervisor, not the permittee's previous group leaders.

21. ADOPT-A-HIGHWAY SIGNS: The Department shall furnish, install, and maintain an Adopt-A-Highway courtesy sign(s) and standard recognition panel(s) at the adoption site in recognition of the Permittee's contribution. Standard recognition panels shall display the Permittee's name in black, block letters on a white background. Permittees may furnish a customized, recognition panel(s) at their own expense. Specifications for the recognition panel's wording, size, color, type style, placement, and any subsequent modifications shall be solely determined and approved by the Department. (Note: "Spot" Wildflower and Supplemental Litter Removal adoptions do not meet minimum requirements for a courtesy sign.) **Neither the Adopt-A-Highway Program nor its courtesy signs are intended to provide a forum for advertisement, solocitation, or public discourse.**

22. WHEN AN ADOPT-A-HIGHWAY CONTRACTOR IS UTILIZED: Individuals, organizations, and businesses may adopt segments of highway and have the required adoption work performed by a professional business through contract or agreement. Contractors must submit a separate Adopt-A-Highway Permit Application and will be issued a "double permit." Only contractors that have been pre-approved by the Department may be utilized. In order to receive Departmental approval, contractors must submit and maintain the following documents:

A. Liability Insurance: Contractors with employees shall maintain \$1,000,000 of general liability insurance for each occurrence, plus \$2,000,000 of excess liability insurance (totaling \$3,000,000). Contractors who do not utilize paid employees shall maintain \$1,000,000 in general liability insurance for each occurrence; no excess liability insurance is required. All certificates of liability insurance shall name the State of California Department of Transportation as additional insured.

B. Vehicular insurance, in the minimum amount of one million dollars, is required of all contractors.

C. Worker's compensation insurance, in the minimum amount of one million dollars, is required for contractors who employ persons to perform work authorized under this permit.

D. Professional licensing as required by the California Contractors State License Board and/or the California Department of Pesticide Regulation to perform work authorized under this permit. **Subcontracting is not permitted under the Adopt-A-Highway Program.**

E. County and/or city business licenses as required by local governments to perform work authorized under this permit.

Contractors are required to provide a minimum notice of 30 days to the Department's District Adopt-A-Highway Coordinator or State-wide Adopt-A-Highway Coordinator before any reduction in coverage and/or cancellation of coverage becomes effective.

23. INSTALLATION OF RECOGNITION PANELS BY ADOPT-A-HIGHWAY CONTRACTORS: Adopt-A-Highway contractors may install recognition panels at specific locations if the work is authorized on page one of the attached Encroachment Permit (Adopt-A-Highway) and they have received an Adopt-A-Highway Service Contractor Recognition Panel Installation Order.

24. SAFETY PROCEDURES FOR ADOPT-A-HIGHWAY CONTRACTORS:

- A. Attend a Caltrans safety orientation.** Adopt-A-Highway contractors shall abide by safety requirements set forth by California Occupational Safety and Health Administration (Cal-OSHA). In addition, the contractor's crew leader must schedule and attend a safety orientation given by the Department's Maintenance Supervisor. The "Safety Orientation Checklist for Adopt-A-Highway Contractors" will be reviewed, signed, and a copy given to the crew leader.
- B. Report Injuries, Accidents, and Incidents.** The following occurrences shall be reported to the District Adopt-A-Highway Coordinator by the next business day. Injuries resulting in an individual seeking medical treatment, vehicular damage resulting in an insurance claim and/or police report, and incidents where the California Highway Patrol was contacted.
- C. Contractor's crew must carry an identification card.** The card must list the employee's name, the name of the Adopt-A-Highway contractor, and a phone number where the crew leader can be reached during working hours.

25. PERMITS FROM OTHER AGENCIES: This permit is invalid if the permittee has not obtained all permits necessary and required by law, from Cal-OSHA, the Public Utilities Commission of the State of California (PUC), the California Contractors State License Board, the California Department of Pesticide Regulation, or any other public agency having jurisdiction.

26. COST OF WORK: Unless stated in the permit, or a separate written agreement, the permittee shall bear all costs incurred for work within the State right of way and waives all claims for indemnification or contribution from the State.

27. LABOR CODE COMPLIANCE - PREVAILING WAGES: If the scope of work granted under this Adopt-A-Highway permit is performed under a contract between the permittee/adopter and a contractor, and falls within the parameters of the Labor Code section 1720(a)(1) definition of a "public work" in that it is construction, alteration, demolition, installation, repair or maintenance, The permittee/adopter herein agrees to require its contractor to conform to the provisions of Labor Code sections 1720 through 1815, all applicable regulations and coverage determinations issued by the Department of Industrial Relations. Adopt-A-Highway adopters agree to include prevailing wage requirements in any service contract for public work. Work performed by Adopt-A-Highway adopter's own forces or persons working voluntarily without compensation are exempt from the Labor Code's prevailing wage requirements.

28. UNDERGROUND SERVICE ALERT (USA) NOTIFICATION: Any excavation requires compliance with the provisions of Government Code Section 4216 et. seq., including, but not limited to, notice to a regional notification center, such as Underground Service Alert (USA). The permittee shall provide notification at least 48 hours before performing any excavation work within the right of way.

29. ARCHAEOLOGICAL/HISTORICAL: If any archaeological or historical resources are revealed in the work vicinity, the permittee shall immediately stop work and notify the Department's Maintenance Supervisor.

30. DURATION OF PERMIT: Unless otherwise specified, this permit is valid for five calendar years from the date of issuance. Permittees may apply for additional five-year permits, provided that the permittee and/or the permittee's contractor have satisfactorily met

the terms of the existing permit and the site remains suitable for adoption. If the permittee wishes to reapply, a notice of such intent shall be submitted to the District Adopt-A-Highway Coordinator at least 30 days prior to the expiration date of this permit.

31. NO PRECEDENT ESTABLISHED: This permit is issued with the understanding that it does not establish a precedent.

32. RESPONSIBILITY FOR DAMAGE: The State of California and all officers and employees thereof, including but not limited to the Director of Transportation and the Deputy Director, shall not be answerable or accountable in any manner for injury to or death of any person, including but not limited to the permittee, persons employed by the permittee, persons acting in behalf of the permittee, or for damage to property from any cause. The permittee shall be responsible for any liability imposed by law and for injuries to or death of any person, including but not limited to the permittee, persons employed by the permittee, persons acting in behalf of the permittee, or for damage to property arising out of work, or other activity permitted and done by the permittee under a permit, or arising out of the failure on the permittee's part to perform his obligations under any permit in respect to maintenance or any other obligations, or resulting from defects or obstructions, or from any cause whatsoever during the progress of the work, or other activity or at any subsequent time, work or other activity is being performed under the obligations provided by and contemplated by the permit.

The permittee shall indemnify and save harmless the State of California, all officers, employees, and State's contractors, thereof, including but not limited to the Director of Transportation and the Deputy Director, from all claims, suits or actions of every name, kind and description brought for or on account of injuries to or death of any person, including but not limited to the permittee, persons employed by the permittee, persons acting in behalf of the permittee and the public, or damage to property resulting from the performance of work or other activity under the permit, or arising out of the failure on the permittee's part to perform his obligations under any permit in respect to maintenance or any other obligations, or resulting from defects or obstructions, or from any cause whatsoever during the progress of the work, or other activity or at any subsequent time, work or other activity is being performed under the obligations provided by and contemplated by the permit, except as otherwise provided by statute.

The duty of the permittee to indemnify and save harmless includes the duties to defend as set forth in Section 2778 of the Civil Code. The permittee waives any and all rights to any type of expressed or implied indemnity against the State, its officers, employees, and State contractors. It is the intent of the parties that the permittee will indemnify and hold harmless the State, its officers, employees, and State's contractors, from any and all claims, suits or actions as set forth above regardless of the existence or degree of fault or negligence, whether active or passive, primary or secondary, on the part of the State, the permittee, persons employed by the permittee, or acting on behalf of the permittee.

For the purpose of this section, "State's contractors" shall include contractors and their subcontractors under contract to the State of California performing work within the limits of this permit.



ADOPT-A-HIGHWAY

Safety Requirements for Participants: "C R E W P L A N S"

Contact Caltrans. Notify your Maintenance field representative of your plans to work at least five days, but no more than one month, before the event. If State construction or maintenance activities have been scheduled at your adoption site on that same day, you will not be permitted to work.

Review safety procedures. Review these "Safety Requirements for Participants" and the "Bag It, Move It, or Leave It?" instructions with all participants at an off-site location prior to each work event.

Evaluate weather conditions. Work must be performed during daylight hours. Do not work, or discontinue working, if weather (or other adverse circumstance) decreases visibility or causes a public hazard.

Wear your safety gear. It is required that participants wear safety vests, hard hats, gloves, protective eye wear, long pants, and substantial leather shoes or boots with ankle support. Light-colored clothing and long-sleeved shirts are recommended. Put on your safety gear before travelling to your site and do not take it off on until you have left the roadside.

Park in a safe place. Please carpool. Vehicles must park completely off of paved areas and be at least six feet from any traffic lane. If this is not possible and your site has a shoulder, then use a drop-off and pick-up arrangement instead. Or, enter and exit your site on foot from locations that allow you to face oncoming traffic. If in doubt about the safest way to access your site, please contact your Maintenance field representative for advice.

Look out for danger and look out for each other. Always work facing oncoming traffic. Use a safety lookout when fellow workers are unable to see oncoming traffic. Watch your footing and be alert for snakes, stinging insects, and poisonous plants. If your encroachment permit authorizes minors to participate, you must have at least one adult supervisor over the age of 21 at the site for every five minors present. Do not work alone.

Alert the California Highway Patrol (call 911) if you find an extremely hazardous item. Identify all objects before touching them and handle found items according to the procedures outlined in the "Bag It, Move It, or Leave It" instructions.

Never risk injury. Work shall not be performed on median strips. Stay completely off of paved areas and always remain at least six feet from any traffic lane; this includes crossing freeway on-ramps and off-ramps. Use extreme caution when crossing conventional, two-lane highways; plan to use crosswalks and signals where available. Do not work on unstable or slippery ground, on bridges, in tunnels, or in drainage facilities. Avoid behaviors that will distract motorists; this includes working in groups of more the three or four persons. Drink plenty of water. Use tools to help prevent over exertion. For example, litter removal groups should use litter pickers instead of bending to pickup litter and graffiti removal groups should use rollers instead of brushes to paint large areas.

Stack your bags. Do not overload or compact litter bags and be sure to tie them securely closed. Whenever possible, stack several filled bags together. Place bags completely off of paved areas and at least six feet from any traffic lane. Make sure that the bags are located where Caltrans maintenance crews can easily see them and safely retrieve them.

ADDITIONAL REQUIREMENTS: 1) No person shall enter the State's right of way to perform work until a Caltrans representative has given the permittee's safety leader a safety orientation, and, all participants have received safety training from that safety leader. 2) A complete encroachment permit "package" (encroachment permit, special provisions, and any plans and schedules) must be present at the site. In addition, a copy of the encroachment permit must be displayed on the dashboard of each vehicle parked on the State's right of way. 3) Work shall not be conducted on, or within twenty-four hours preceding, holidays or holiday weekends. Refer to your Encroachment Permit Special Provisions for a listing of holidays and possible additional work restrictions specific to your adoption site.

ADVERTISING DISPLAYS (AD) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

I. GENERAL

1. Signs, Marquees and Awnings overhanging State highway right of way (R/W) shall comply with the requirements of the applicable local agency, the latest edition of the Uniform Building Code (UBC) or these special provisions, whichever is the higher standard.

II. SIGNS

1. Vertical Clearance: The minimum clearance of signs from the sidewalk shall be 12'.
2. Codes: Must be structurally adequate and conform to applicable building code and Caltrans' Outdoor Advertising Regulations.
3. Location: Support shall be off the right of way. The overhang shall be at least 2' behind the curb line. If no curbs are in place, the signs should be placed so that some physical barrier prevents them from being struck.
4. Advertising: The wording on the sign may only identify either the owner, the goods sold or manufactured on the premises or the services rendered.
5. Lights: No flashing, rotating or intermittent lights shall be allowed except approved public service information. Signs that contain red, yellow, or green lights shall not be permitted where they could interfere with the driver's perception of traffic signals.
6. No displays shall interfere with or hide traffic signals or traffic signs.
7. Any future change of copy or location must be covered by a separate permit.

III. MARQUEES

1. The horizontal clearance between a marquee and the curb line shall not be less than 2'.
2. The minimum vertical clearance from the sidewalk shall be 12'.
3. A marquee shall be supported entirely by the building.
4. Any drainage from the marquee shall not fall on or drain across the sidewalk.

IV. AWNINGS

1. An awning is a temporary shelter supported entirely from the exterior wall of a building.
2. Awnings may identify the owner or place of business.

AIR SPACE DEVELOPMENT (AS) SPECIAL PROVISIONS

In addition to the attached General Provisions, (TR-0045), the following special provisions are also applicable:

1. Column Protection: shall be lumber at least 2" nominal thickness and at least 4" nominal width with 2" maximum clear space between pieces. The lumber shall be strapped to columns with a minimum of three (3) galvanized steel bands. The bottoms of the pieces of lumber shall be 2' or less above the ground and tops 8' minimum above the ground.
2. Fencing: a standard 6' high chain link fence may be installed around the perimeter of the leasing area with gate (s) as designated. Security may be enhanced by the installation of vertical brackets on the fence posts and attaching three (3) strands of barbed wire to the brackets. THE USE OF RAZOR RIBBON COILS ATOP THE FENCE IS PROHIBITED.
3. The improvements shall not be occupied by the leasee until all work is completed to the satisfaction of the State and a notice of completion has been issued to the permittee.
4. Upon completion of the work, the permittee shall submit one set of film positive reproducible, either matte or clear, "As-Built" plans to the District Permit Engineer.

ART PROGRAM (AP) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Artwork located within State right of way will be considered a gift to the people of California.
2. Caltrans reserves the right to reproduce the artwork for publicity type purposes.
3. No commercial advertising on State right of way is allowed. Any identification of the donor or sponsor must have prior approval by Caltrans.
4. The permittee must maintain the integrity of the artwork until further notice. The permittee agrees to remove the artwork if so ordered by Caltrans.
5. The permittee shall abide by Caltrans' safety rules and regulations, including traffic control.

BANNERS (BR) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

I. BANNERS

1. The banners shall not contain private advertising nor be of a political nature.
2. The lower edge of the banners shall be at least 18' above the highway pavement at its closest point.
3. Suspension or installation on State owned traffic signal poles or other State owned facilities is prohibited.
4. Local police shall provide traffic control while banner is being installed or removed.
5. The display may not be in place more than two weeks prior to the event and shall be immediately removed after the event.

II. HOLIDAY DECORATIONS

1. Installation of Holiday decorations shall not begin prior to the day after Thanksgiving Day.
2. Decorations attached to vertical structures such as power, telephone, or light poles, are not to project beyond the curb line and shall not hang below a height of 14'. Decorations which project beyond the curb line or cross the highway shall have a minimum vertical clearance of 18'.
3. Decorations shall not be attached to State owned poles.
4. Decorative lighting displaying red, yellow, or green lights shall not be placed where they could interfere with the driver's perception of traffic signals.

BUS PASSENGER SHELTERS, BENCHES, AND PULLOUTS--ADVERTISING AND LOCATION (BS) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Advertising displays on bus passenger shelters or benches may not be within 660' of and visible from any Federal Aid Interstate or Primary highway. Advertising displays shall only be placed at approved passenger loading areas. The advertising displays must not extend beyond the exterior limits of the shelter or bench. Advertising shall not exceed two (2) display panels per shelter or bench.
2. Bus passenger shelters and benches shall be located a minimum of 2' behind the face of curb, with a minimum of 4' width of walkway available.
3. All pavement shall be saw cut prior to removal.
4. Pavement markings obliterated shall be replaced in kind by permittee.
5. No telephone installations are authorized by this permit.

CABLES/GEOPHYSICAL TESTING (GC) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable:

1. The shear wave method of geo-physical testing is prohibited.
2. Cables shall not be left on the roadbed overnight.
3. Personnel working within the right of way shall wear orange colored outer garments and hard-hats.
4. No equipment shall be parked on or operated on the traveled way except for normal legal travel.
5. No holes shall be drilled and no blasting shall be conducted on State right of way.
6. On overcrossing structures, cables shall be placed within 6" of curb face.
7. No equipment, work, or personnel shall be allowed within access controlled rights of way except for personnel and cable necessary to place cable crossings required for continuity. Cable shall cross access-controlled rights of way in culverts or at crossing structures if available within 500' of proposed crossing. Any drainage channel shall not be disturbed.
8. Cables shall be placed as close to the right of way line a practical.
9. Cable shall be securely attached to the traveled way by taping. No nails, spikes or other material shall be driven into the pavement.
10. No paint shall be placed upon highway pavements, signs or markers. If pavement markings are necessary, traffic tape, chalk or crayon shall be used. All tape, stakes and other obvious markers shall be removed upon completion of permitted work.
11. All mud, dirt or gravel tracked onto the highway pavement shall be immediately and completely removed.
12. Any ruts or other damage to unpaved shoulder areas caused by driving or operating equipment on soft shoulders shall be repaired immediately.
13. Should any deviation from these procedures be observed, all work shall be suspended until satisfactory steps have been taken to insure compliance.
14. Except as specifically provided herein, all requirements of the vehicle code and other applicable laws must be complied with in all particulars.
15. Work shall be limited to normal working hours unless otherwise specifically authorized on the permit. Permittee will be required to deposit an amount equal to four-hours minimum of overtime per day for inspection charges, if work is permitted beyond normal working hours, weekends or holidays.

CONVENTIONAL HIGHWAY MOBILE WORK SPECIAL PROVISIONS

TR-0170 (Rev. 05/2006)

LANE WIDTH REMAINING FOR TRAFFIC	APPROACH SPEED	STOP DURATION IN MINUTES	TYPE OF TRAFFIC CONTROL REQUIRED
10 ft or more	55 mph or more	10 or more	Standard Plan T11 or T13
		Less than 10	Flashing/rotating amber lights on vehicle
	Less than 55 mph	10 or more	Flashing/rotating amber lights on vehicle and place cones 300 ft @ 50 ft spacing upstream from work area
		Less than 10	Flashing/rotating amber lights on vehicle
Less than 10ft	55 mph or more	10 or more	Standard Plan T-11 or T13
		Less than 10	Standard Plan T-11 or T13 or Shadow Vehicle Escort
	Less than 55 mph	10 or more	Standard Plan T-11 or T13 or Shadow Vehicle Escort
		Less than 10	Standard Plan T-11 or T13 or Shadow Vehicle Escort

NOTES:

- MOBILE WORK IS CONSIDERED TO BE ENCROACHMENT ACTIVITIES THAT INCLUDE SLOW CONTINUOUS MOTIONS AND/OR FREQUENT STOPS WITHIN A TRAFFIC LANE.
- TRAFFIC SHALL NOT BE MOVED ACROSS THE CENTERLINE STRIPE OF ANY HIGHWAY WITHOUT A STANDARD LANE CLOSURE OR OTHER APPROVED TRAFFIC CONTROL.
- ON HIGHWAYS WITH PAVED SHOULDERS OF 8' OR MORE IN WIDTH, AND WHERE WORK IS TO BE CONDUCTED WITHIN 6' OF THE TRAVELED WAY, A SHOULDER CLOSURE PER STANDARD PLAN T10 SHALL BE IMPLEMENTED.
- SHADOW VEHICLE ESCORTS ARE VEHICLES WEIGHING A MINIMUM OF 18000 lbs AND SHALL BE EQUIPPED WITH A TRUCK MOUNTED CRASH CUSHION. A "LANE CLOSED" SIGN PANEL AND A FLASHING ARROW SIGN SHALL BE MOUNTED ON THE REAR OF THE SHADOW VEHICLE FOR A MULTILANE HIGHWAY. A "DO NOT PASS" SIGN PANEL SHALL BE MOUNTED ON THE REAR OF THE SHADOW VEHICLE FOR A 2-LANE HIGHWAY.
- PERMITEES MAY CONTACT CALTRANS MAINTENANCE REGIONAL OFFICE FOR SHADOW VEHICLE ESCORTS. CALTRANS MAINTENANCE WILL PROVIDE SUCH ASSISTANCE WHEN AVAILABLE. CALTRANS IS TO BE REIMBURSED BY THE PERMITTEE.
- ANY WORKING HOUR RESTRICTIONS ARE TO BE INCLUDED WITHIN THE ENCROACHMENT PERMIT OR AS DETERMINED BY THE DEPARTMENTS'S REPRESENTATIVE.

DRAINAGE - ROOF AND SURFACE, MINOR (DM) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable.

1. Drains must be restricted to the exclusive purpose of draining rain water from the roof of permittee's building and/or paved parking lot. Drains if used for any other purpose, such as draining waste water or domestic supply water into the highway, will not be authorized. Drains shall be installed at right angles to the curb line unless otherwise authorized.
2. Removal of PCC Sidewalks or Curbs: Concrete sidewalks or curbs shall be saw cut to the nearest score marks and replaced equal in dimension to that removed with score marks matching existing adjacent sidewalk or curb.
3. After pipe drains are installed, curb and sidewalk shall be replaced with Portland Cement Concrete in accordance with State Standard Specifications.

DRIVEWAY, COMMERCIAL (RC) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Asphalt Concrete or PCC pavement shall be saw-cut at conform location.
2. Excavations made within the limits of the right of way shall be backfilled before leaving the work for the night unless otherwise authorized by State's representative. After backfilling, temporary surfacing shall be placed if required by State's representative.
3. The permittee shall contact State's representative before placing structural section materials for the roadway pavement.
4. The approach fill area shall slope away from the highway pavement or improved shoulder and shall be so constructed as to avoid any flowing water reaching the traveled way and to avoid pocketing or ponding of water.
5. If not shown on project plans, the road approach or driveway shall conform to the "Design Guidelines for Typical Rural Driveways in State Right of Way".

DRIVEWAY RECONSTRUCTION (RM) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable:

1. Where reconstruction requires removal of existing asphalt concrete pavement, it shall be either saw-cut before removal or removed by grinding.
2. Existing drainage shall not be impaired.

DRIVEWAYS, SINGLE FAMILY (RS) SPECIAL PROVISIONS

In addition to the attached General Provision (TR-0045), the following special provisions are applicable:

I. RURAL LOCATIONS

1. The driveway shall be surfaced with a minimum of 3" of asphalt concrete placed on 6" of well graded and compacted aggregate base and shall conform to the existing pavement.
2. Existing drainage shall not be impaired. Either a valley gutter or a culvert shall be provided.
3. Where a culvert is installed, it shall be installed in the flowline of the existing drainage ditch at a slope to provide maximum drainage.
4. A standard tapered end section shall be installed at the inlet and outlet of the culvert.
5. Any change in the existing drainage pattern, whether occasioned by increase or diversion, and the cost of any damage, repair or restoration of the State highway right of way shall be the responsibility of the permittee.
6. Driveway installation shall conform to the attached plan, "Design Guidelines for Typical Rural Driveways in State Right of Way".

II. URBAN LOCATIONS

1. Where curbs exist, the driveway structural section shall be a minimum of 4" of Portland Cement Concrete (PCC) over 6" of aggregate base.
2. Driveway details shall comply with State standards unless local standards exceed the State's.
3. Any existing utility boxes must be either relocated or adjusted to grade at the permittee's expense.
4. Removal of PCC Sidewalks or Curbs: sidewalks or curbs shall be saw cut to the nearest score marks and replaced equal in dimension to that removed with score marks matching existing adjacent sidewalk or curb.

EARLY ENTRY (SC) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. In the event contract is not awarded to permittee, he/she is liable for all charges for surveying material inspection and construction inspection by State personnel relating to this permit.
2. Prior to starting any work under this permit, the contractor will sign Attachment No.1 and return it to the State's representative.

FILMING - ACCIDENT RECONSTRUCTION SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions also applicable:

1. Permittee shall strictly comply with conditions of this permit. Minor variations require written Caltrans' State Representative approval; changes require a Caltrans Permit Rider.
2. Caltrans State representative or CHP may stop work not being performed in strict compliance with conditions of this permit.
3. UNLESS SPECIFICALLY ALLOWED IN THIS PERMIT, WETTING ROADWAYS IS STRICTLY PROHIBITED.
4. UNLESS SPECIFICALLY ALLOWED IN THIS PERMIT, TRAFFIC SHALL NOT BE DETOURED.
5. UNLESS SPECIFICALLY ALLOWED IN THIS PERMIT, STAGED ACCIDENTS, AND PYROTECHNICS ARE STRICTLY PROHIBITED.
6. Road closures and detours, if specifically allowed in this permit, require state specification advance warning signs and traffic control devices provided and installed to Caltrans standards by qualified private traffic control companies.
7. Traffic control activities shall be approved by Caltrans' State Representative prior to institution.
8. Accident reconstruction filming involving aircraft shall be done in strict compliance with FAA regulations.
9. When filming or photography is permitted, stationary cameras adjacent to roadways open to public traffic, shall be located at least 10' from edge of pavement or at least 2' behind curb face on raised sidewalks. Cameras shall NOT be allowed in medians of roadways open to public traffic. At locations of fixed cameras, Permittee' s staff shall not exceed four persons.
10. On freeways, permittee's personnel, vehicles, and equipment not involved in the permitted activities shall be legally located outside freeway right of way.
11. On conventional highways open to public traffic, permittee's personnel, vehicles, and equipment not involved in the permitted activities, shall be legally located off the traveled way and not interfere with free traffic and pedestrian flow.
12. Highway operational problems require immediate cessation of permitted activities.
13. When filming or photography is permitted, lighting fixtures, mirrors, reflectors, and supports shall be placed to not present a glare or safety hazard.
14. Permittee equipment situated on sidewalks open to public, or interfering with pedestrians, shall be provided with devices for pedestrian protection.
15. Permittee vehicles operating in public traffic shall conform to California vehicle code.
16. Well functioning communications equipment shall be supplied by Permittee in sufficient quantity for all organizations involved.

**FILMING - AIRCRAFT, PYROTECHNICS, STUNTS, ETC. (FS)
SPECIAL PROVISIONS**

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable:

1. The Permit Inspector or the CHP has the authority to stop any or all work that is not being performed in strict compliance with the provisions of this permit.
2. Traffic shall not be detoured from the State Highway without the written approval of the Permit Engineer.
3. Any filming involving the use of any type aircraft shall be done in accordance with FAA regulations.
4. All approved closures shall be done by a qualified traffic control contractor (retained by the Permittee) using current State Specifications and Standards.
5. Well functioning communications equipment shall be supplied by the Permittee in sufficient quantity for all parties involved in the activity.
6. Operational decisions and/or emergency situations may require the roadway to be reopened immediately. This decision may be made by either the CHP or the Permit Engineer.
7. Film company vehicles, personnel, camera and equipment shall be parked at least 30' from the edge of roadway unless protected by existing barriers.
8. A maximum of four (4) persons associated with the filming company will be allowed at fixed camera locations.
9. Stopping or slowing vehicles being filmed on the highway shall not be allowed.
10. Wetting of the roadway is prohibited.

FILMING - INTERMITTENT TRAFFIC CONTROL (FI) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Permittee shall comply with this permit. Permit conditions shall not be modified without a Caltrans permit rider.
2. Permittee shall provide signs and equipment for traffic control conforming to the attached plan at permittee expense.
3. The CHP officer in charge shall be present at initiation of permit authorized filming operations.
4. Wetting roadways is prohibited.
5. Traffic shall not be detoured.
6. Stunts, staged accidents, and pyrotechnics are strictly prohibited.
7. Filming involving aircraft flying over state highways at an altitude of 500 feet or less is prohibited.
8. Specific camera locations require on site approval by CHP officer in charge.
9. Stationary cameras shall be mounted at least 10' from edge of pavement or at least 2' behind curb face on raised sidewalks. Unless specifically allowed in this permit cameras shall not be in medians.
10. Permittee's personal vehicles and equipment shall be legally located off the traveled way and not interfere with free traffic or pedestrian flow.
11. Highway operational problems may require immediate cessation of permitted activities.
12. Intermittent traffic breaks normally not to exceed five minutes duration, are approved by the CHP officer in charge, and provided by uniformed peace officers in marked law enforcement vehicles.
13. Permitted lighting fixtures, mirrors, reflectors, and supports shall not present a glare or other safety hazard.
14. Permittee equipment situated on sidewalks or interfering with pedestrians shall be provided with devices for pedestrian protection.
15. Vehicles with lights or cameras mounted or attached that, in the opinion of the CHP officer in charge, interfere with the driver's view, shall be legally towed with a drawbar.
16. Filmed vehicles used in filming dialogue between driver and passenger shall be legally towed with a drawbar.
17. Properly functioning communications equipment shall be supplied by permittee in sufficient quantity for all organizations involved.

FILMING - NO MOVING TRAFFIC (FO) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. The Permit Inspector or the CHP has the authority to stop any or all work that is not being performed in strict compliance with the provisions of this permit.
2. Traffic shall not be detoured from the State highway without the written approval of the Permit Engineer.
3. All of the permittee's production vehicles and equipment shall be legally parked off the traveled way so that the equipment and personnel do not interfere with the free flow of traffic and/or pedestrians.
4. Any filming involving the use of any type aircraft shall be done in accordance with FAA regulations.
5. All cables and step extensions that cross the sidewalk shall be shielded or coned for pedestrian traffic.
6. On conventional highways, stationary cameras shall be mounted
7. In a position at least 10' from the edge of pavement or at least 2' behind curb face on raised sidewalks. Cameras will not be allowed on the raised median.
8. No lights shall be erected on the traveled way.
9. The location of camera within the right of way shall be approved by the State's representative.
10. Intermittent traffic breaks [not to exceed three (3) minutes] shall be approved and provided by the CHP.
11. Well functioning communications equipment shall be supplied by the permittee in sufficient quantity for all organizations involved in the event.
12. Wetting of the roadway is prohibited.

FILMING - TRAFFIC CONTROL (FL) SPECIAL PROVISIONS

In addition to the standard attached General Provisions (TR-0045), the following special provisions are also applicable.

1. The permit Inspector or the CHP has the authority to stop any or all work that is not being performed in strict compliance with the provisions of this permit.
2. Traffic shall not be detoured from the State Highway without the written approval of the Permit Engineer.
3. All of the permittee's production vehicles and equipment shall be legally parked off the traveled way so that the equipment and personnel do not interfere with the free flow of traffic and/or pedestrians.
4. Any filming involving the use of any type aircraft shall be done in accordance with the FAA regulations.
5. On conventional highways, stationary cameras shall be mounted in a position at least 10' from the edge of pavement or on raised sidewalks. Cameras will not be allowed on the raised median.
6. Traffic control shall not exceed three (3) minutes duration.
7. Intermittent traffic breaks (not to exceed three (3) minutes) shall be approved and provided by the CHP.
8. Any vehicle involved in filming dialogue between the driver and someone else shall be legally towed with a tow bar.
9. Any vehicle that has lights and/or cameras mounted or attached, that in the opinion of either Caltrans or the CHP interferes with the driver's view, shall be legally towed with a tow bar.
10. All traffic control shall be approved through the State's representative and/or the CHP prior to filming.
11. Any vehicles in public traffic including camera truck and towed picture car or camera truck and separate picture cars must conform to the California Vehicle Code requirement while filming. A CHP officer must be in attendance during the filming.
12. Well functioning communications equipment shall be supplied by the permittee in sufficient quantity for all organizations involved in the event.
13. Wetting of the roadway is prohibited.

ENCROACHMENT PERMIT FILMING - WETDOWN PROVISIONS

TR-0169 (NEW. 3/95)

1. Traffic control for wetdowns shall be in conformance with the Department of Transportation Standard Plans T-10, T-11, T-12, T-13, or T-14, whichever is applicable.
2. Placement of signs shall be far in advance of the work site, to accommodate the backup queue of traffic when traffic is stopped for filming purposes. These traffic breaks should not exceed five (5) minutes at each given occurrence.
3. Placement of "Wet Pavement Ahead" signs, 48" x 48" black lettering on an orange background, shall be required at all wetdown worksites. These signs are required to meet Caltrans requirements for lettering size and made by a recognized sign manufacturer. Placement of these signs shall be in succession of the "Road Work Ahead" sign (C-18), in both directions of traffic.
4. When traffic control is to be maintained by law enforcement officers (i.e. C.H.P., P.D. , or S.O.), a minimum of 3 officers is normally required, (flaggers may not be required). Officers and their vehicles would be utilized in lieu of flaggers.
5. When traffic control safety devices are required (i.e. signs, cones, lights), placement of these devices shall be installed by a recognized traffic control contractor.
6. If it is determined by Caltrans and C.H.P. that flaggers are required, the traffic control contractor shall supply or utilize his employees as the flaggers.
7. Caltrans and C.H.P. reserve the right to require the reopening of the highway at any given time as may be necessary. All cost shall be borne by the permittee.
8. C.H.P. will be present during all wetdown filming operations. For safety purposes C.H.P. will determine when traffic is allowed over wetdown area.
9. In the event of an adverse condition or incident that would require the response of Caltrans Traffic Management Team, this permit operation will be terminated.
10. No wetdown will be allowed if there is a possibility of creating a ponding situation and/or flooding of the highway.
11. Placement and time of the wetdown will be determined by Caltrans.

**STATE OF CALIFORNIA, DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT GENERAL PROVISIONS
TR-0045 (REV. 09/2017)**

1. **AUTHORITY:** The California Department of Transportation (“Department”) has authority to issue encroachment permits under Division 1, Chapter 3, Article 1, Sections 660 through 734 of the Streets and Highways Code.
2. **REVOCATION:** Encroachment permits are revocable on five (5) business days’ notice unless otherwise stated on the permit and except as provided by law for public corporations, franchise holders, and utilities. Notwithstanding the foregoing, in an emergency situation as determined by the Department, an encroachment permit may be revoked immediately. These General Provisions and any applicable Special Provisions are subject to modification or abrogation at any time. Permittees’ joint use agreements, franchise rights, reserved rights or any other agreements for operating purposes in State of California (“State”) highway right-of-way are exceptions to this revocation.
3. **DENIAL FOR NONPAYMENT OF FEES:** Failure to pay encroachment permit fees when due may result in rejection of future applications and denial of encroachment permits.
4. **ASSIGNMENT:** No party other than the permittee or permittee’s authorized agent is allowed to work under this encroachment permit.
5. **ACCEPTANCE OF PROVISIONS:** Permittee understands and agrees to accept and comply with these General Provisions, the Special Provisions, any and all terms contained in this encroachment permit, and all attachments to this encroachment permit, for any work to be performed under this encroachment permit.
6. **BEGINNING OF WORK:** When traffic is not impacted (see General Provision # 35), the permittee must notify the Department’s representative two (2) business days before starting permitted work. Permittee must notify the Department’s representative if the work is to be interrupted for a period of five (5) business days or more, unless otherwise agreed upon. All work must be performed on weekdays during regular work hours, excluding holidays, unless otherwise specified in this encroachment permit.
7. **STANDARDS OF CONSTRUCTION:** All work performed within State highway right-of-way must conform to all applicable Departmental construction standards including but not limited to: Standard Specifications, Standard Plans, Project Development Procedures Manual, Highway Design Manual and Special Provisions.

Other than as expressly provided by these General Provisions, the Special Provisions, the Standard Specifications, Standard Plans, and other applicable Departmental standards, nothing in these General Provisions is intended to give any third party any legal or equitable right, remedy, or claim with respect to these General Provisions or any provision herein. These General Provisions are for the sole and exclusive benefit of the permittee and the Department.

Where reference is made in such standards to “Contractor” and “Engineer,” these are amended to be read as “Permittee” and “Department’s representative,” respectively, for purposes of this encroachment permit.
8. **PLAN CHANGES:** Deviations from plans, specifications, and/or encroachment permit provisions are not allowed without prior approval from the Department’s representative.
9. **INSPECTION AND APPROVAL:** All work is subject to monitoring and inspection. Upon completion of work, permittee must request a final inspection for acceptance and approval by the Department. The local public agency permittee must not give final construction approval to its contractor until final acceptance and approval by the Department is obtained.
10. **PERMIT AT WORKSITE:** Permittee must keep the permit package or a copy thereof at the work site at all times, and must show it upon request to any Department representative or law enforcement officer. If the permit package, or a copy thereof, is not kept and made available at the work site at all times, the work must be suspended.
11. **CONFLICTING ENCROACHMENTS:** Permittee must yield start of work to ongoing, prior authorized work adjacent to or within the limits of the permittee’s project site. When existing encroachments conflict with permittee’s work, the permittee must bear all cost for rearrangements (e.g., relocation, alteration, removal, etc.).
12. **PERMITS FROM OTHER AGENCIES:** This encroachment permit is invalidated if the permittee has not obtained all permits necessary and required by law, including but not limited to permits from the California Public Utilities Commission (CPUC), California Occupational Safety and Health Administration (Cal-OSHA), or any other public agency having jurisdiction. Permittee warrants all such permits have been obtained before beginning work under this encroachment permit.
13. **PEDESTRIAN AND BICYCLIST SAFETY:** A safe minimum continuous passageway of four (4) feet must be maintained through the work area at existing pedestrian or bicycle facilities. At no time must pedestrians be diverted onto a portion of the street used for vehicular traffic. At locations where safe alternate passageways cannot be provided, appropriate signs and barricades must be installed

at the limits of construction and in advance of the limits of construction at the nearest crosswalk or intersection to detour pedestrians to facilities across the street. Attention is directed to Section 7-1.04, *Public Safety*, of the Department's Standard Specifications.

- 14. PUBLIC TRAFFIC CONTROL:** As required by law, the permittee must provide traffic control protection, warning signs, lights, safety devices, etc., and take all other measures necessary for the traveling public's safety. While providing traffic control, the needs of all road users, including but not limited to motorists, bicyclists and pedestrians, including persons with disabilities in accordance with the Americans with Disabilities Act, must be an essential part of the work activity.

Lane and/or shoulder closures must comply with the Department's Standard Specifications and Standard Plans for traffic control systems, and with the applicable Special Provisions. Where issues are not addressed in the Standard Specifications, Standard Plans, and/or Special Provisions, the California Manual on Uniform Traffic Control Devices (Part 6, *Temporary Traffic Control*) must be followed.

- 15. MINIMUM INTERFERENCE WITH TRAFFIC:** Permittee must plan and conduct work so as to create the least possible inconvenience to the traveling public, such that traffic is not unreasonably delayed. On conventional highways, permittee must place properly attired flagger(s) to stop or warn the traveling public in compliance with the California Manual on Uniform Traffic Control Devices (Chapter 6E, *Flagger Control*).

- 16. STORAGE OF EQUIPMENT AND MATERIALS:** The storage of equipment or materials is not allowed within State highway right-of-way, unless specified within the Special Provisions of this encroachment permit. If encroachment permit Special Provisions allow for the storage of equipment or materials within the State highway right-of-way, the equipment and material storage must also comply with Section 7-1.04, *Public Safety*, of the Department's Standard Specifications.

- 17. CARE OF DRAINAGE:** Permittee must provide alternate drainage for any work interfering with an existing drainage facility in compliance with the Department's Standard Specifications, Standard Plans, and/or as directed by the Department's representative.

- 18. RESTORATION AND REPAIRS IN STATE HIGHWAY RIGHT-OF-WAY:** Permittee is responsible for restoration and repair of State highway right-of-way resulting from permitted work (Streets and Highways Code, section 670 et seq.).

- 19. STATE HIGHWAY RIGHT-OF-WAY CLEAN UP:** Upon completion of work, permittee must remove and dispose of all scraps, refuse, brush, timber, materials, etc.

off the State highway right-of-way. The aesthetics of the highway must be as it was before work started or better.

- 20. COST OF WORK:** Unless stated otherwise in the encroachment permit or a separate written agreement with the Department, the permittee must bear all costs incurred for work within the State highway right-of-way and waives all claims for indemnification or contribution from the State, the Department, and from the Directors, officers, and employees of the State and/or the Department.

- 21. ACTUAL COST BILLING:** When specified in the permit, the Department will bill the permittee actual costs at the currently set Standard Hourly Rate for encroachment permits.

- 22. AS-BUILT PLANS:** When required, permittee must submit one (1) set of folded as-built plans within thirty (30) calendar days after completion and acceptance of work in compliance with requirements listed as follows:

- a) Upon completion of the work provided herein, the permittee must submit a paper set of As-Built plans to the Department's representative.
- b) All changes in the work will be shown on the plans, as issued with the permit, including changes approved by Encroachment Permit Rider.
- c) The plans are to be prominently stamped or otherwise noted "AS-BUILT" by the permittee's representative who was responsible for overseeing the work. Any original plan that was approved with a Department stamp, or by signature of the Department's representative, must be used for producing the As-Built plans.
- d) If construction plans include signing or striping, the dates of signing or striping removal, relocation, or installation must be shown on the As-Built plans when required as a condition of the encroachment permit. When the construction plans show signing and striping for staged construction on separate sheets, the sheet for each stage must show the removal, relocation, and installation dates of the appropriate staged striping and signing.
- e) As-Built plans must contain the Encroachment Permit Number, County, Route, and Post Mile on each sheet.
- f) The As-Built Plans must not include a disclaimer statement of any kind that differs from the obligations and protections provided by sections 6735 through 6735.6 of the California Business and Professions Code. Such statements constitute non-compliance with Encroachment Permit requirements, and may result in the Department retaining Performance Bonds or deposits until proper plans are submitted. Failure to comply may also result in denial of future encroachment permits or a provision requiring a public agency to supply additional bonding.

23. PERMITS FOR RECORD PURPOSES ONLY: When work in the State highway right-of-way is within an area under a Joint Use Agreement (JUA) or a Consent to Common Use Agreement (CCUA), a fee exempt encroachment permit is issued to the permittee for the purpose of providing a notice and record of work. The permittee's prior rights must be preserved without the intention of creating new or different rights or obligations. "Notice and Record Purposes Only" must be stamped across the face of the encroachment permit.

24. BONDING: The permittee must file bond(s), in advance, in the amount(s) set by the Department and using forms acceptable to the Department. The bonds must name the Department as obligee. Failure to maintain bond(s) in full force and effect will result in the Department stopping all work under this encroachment permit and possibly revoking other encroachment permit(s). Bonds are not required of public corporations or privately owned utilities unless permittee failed to comply with the provisions and/or conditions of a prior encroachment permit. The surety company is responsible for any latent defects as provided in California Code of Civil Procedure section 337.15. A local public agency permittee also must comply with the following requirements:

- a) In recognition that project construction work done on State property will not be directly funded and paid by State, for the purpose of protecting stop notice claimants and the interests of State relative to successful project completion, the local public agency permittee agrees to require the construction contractor to furnish both a payment and performance bond in the local public agency's name with both bonds complying with the requirements set forth in Section 3-1.05 *Contract Bonds* of the Department's Standard Specifications before performing any project construction work.
- b) The local public agency permittee must defend, indemnify, and hold harmless the State and the Department, and the Directors, officers, and employees of the State and/or Department, from all project construction related claims by contractors, subcontractors, and suppliers, and from all stop notice and/or mechanic's lien claimants. The local public agency also agrees to remedy, in a timely manner and to the Department's satisfaction, any latent defects occurring as a result of the project construction work.

25. FUTURE MOVING OF INSTALLATIONS: Permittee understands and agrees to relocate a permitted installation upon notice by the Department. Unless under prior property right or agreement, the permittee must comply with said notice at the permittee's sole expense.

26. ENVIRONMENTAL:

a) **ARCHAEOLOGICAL/HISTORICAL:** If any archaeological or historical resources are identified or encountered in the work vicinity, the permittee must immediately stop work, notify the Department's representative, retain a qualified archaeologist who must evaluate the site at permittee's expense, and make recommendations to the Department's representative regarding the continuance of work.

b) **HAZARDOUS MATERIALS:** If any hazardous waste or materials (such as underground storage tanks, asbestos pipes, contaminated soil, etc.) are identified or encountered in the work vicinity, the permittee must immediately stop work, notify the Department's representative, retain a qualified hazardous waste/material specialist who must evaluate the site at permittee's expense, and make recommendations to the Department's representative regarding the continuance of work.

Attention is directed to potential aerially deposited lead (ADL) presence in unpaved areas along highways. It is the permittee's responsibility to take all appropriate measures to protect workers in conformance with California Code of Regulations Title 8, Section 1532.1, "Lead," and with Cal-OSHA Construction Safety Orders, and to ensure roadway soil management is in compliance with Department of Toxic Substances Control (DTSC) requirements.

27. PREVAILING WAGES: Work performed by or under an encroachment permit may require permittee's contractors and subcontractors to pay appropriate prevailing wages as set by the California Department of Industrial Relations. Inquiries or requests for interpretations relative to enforcement of prevailing wage requirements must be directed to the California Department of Industrial Relations.

28. LIABILITY, DEFENSE, AND INDEMNITY: The permittee agrees to indemnify and save harmless the State, the Department, and all Directors, officers, employees, agents and/or contractors of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description brought for or on account of property damage or injury to or death of any person, including but not limited to members of the public, the permittee, persons employed by the permittee, and persons acting on behalf of the permittee, arising out of or in connection with: (a) the issuance and/or use of this encroachment permit, and/or (b) the work or other activity conducted pursuant to this encroachment permit, and/or (c) the installation, placement, subsequent operation, and/or maintenance of said encroachment, and/or (d) the failure by the permittee or anyone acting on behalf of the permittee to perform permittee's obligations under this encroachment

permit in respect to maintenance or any other obligation, and/or (e) a defect or defects in the work, or obstructions related to the work, or from any cause whatsoever. The duty of the permittee to indemnify and save harmless includes the duties to defend as set forth in Section 2778 of the Civil Code.

It is the intent of the parties that except as prohibited by law, the permittee will defend, indemnify, and hold harmless as set forth above regardless of the existence or degree of fault or negligence, whether active or passive, primary or secondary, on the part of the State, the Department, the Directors, officers, employees, agents and/or contractors of the State and/or Department, including but not limited to the Director of Transportation and the Deputy Directors, the permittee, persons employed by the permittee, and/or persons acting on behalf of the permittee.

The permittee waives any and all rights to any type of expressed or implied indemnity against the State, the Department, the Directors, officers, employees, agents, and/or contractors of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors.

The permittee understands and agrees to comply with the obligations of Titles II and III of the Americans with Disabilities Act in the conduct of the permitted activity, and further agrees to defend, indemnify, and save harmless the State, the Department, the Directors, officers, employees, and/or agents of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising out of or by virtue of the Americans with Disabilities Act.

Permittee understands and agrees the Directors, officers, employees, and/or agents of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, are not personally responsible for any liability arising from or by virtue of this encroachment permit.

For the purpose of this section and all paragraphs herein, "State's contractors" includes contractors and their subcontractors under contract to the State and/or the Department performing work within the same postmile limits as the work under this encroachment permit.

This section and all paragraphs herein take effect upon issuance of this encroachment permit, and apply both during and after the work or other activity contemplated under this encroachment permit, except as otherwise provided by California law.

29. NO PRECEDENT ESTABLISHED: This encroachment permit is issued with the understanding that it does not establish a precedent.

30. FEDERAL CIVIL RIGHTS REQUIREMENTS FOR PUBLIC ACCOMMODATION:

a) As part of the consideration for being issued this encroachment permit, the permittee, on behalf of permittee and on behalf of permittee's personal representatives, successors in interest, and assigns, does hereby covenant and agree that:

- i. No person on the grounds of race, color, or national origin may be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities.
- ii. That in connection with the construction of any improvements on said lands and the furnishings of services thereon, no discrimination must be practiced in the selection and retention of first-tier subcontractors in the selection of second-tier subcontractors.
- iii. That such discrimination must not be practiced against the public in their access to and use of the facilities and services provided for public accommodations (such as eating, sleeping, rest, recreation), and operation on, over, or under the space of the State highway right-of-way.
- iv. That the permittee must use the premises in compliance with all other requirements imposed pursuant to Title 15, Code of Federal Regulations, Commerce and Foreign Trade, Subtitle A. Office of the Secretary of Commerce, Part 8 (15 C.F.R. Part 8) and as said Regulations may be amended.

b) That in the event of breach of any of the above nondiscrimination covenants, the State and the Department have the right to terminate this encroachment permit and to re-enter and repossess said land and the facilities thereon, and hold the same as if said permit had never been made or issued.

31. MAINTENANCE OF HIGHWAYS: By accepting this encroachment permit, the permittee agrees to properly maintain any encroachment. This assurance requires the permittee to provide inspection and repair any damage, at permittee's expense, to State facilities resulting from the encroachment.

32. SPECIAL EVENTS: In accordance with subdivision (a) of Streets and Highways Code section 682.5, the Department is not responsible for the conduct or operation of the permitted activity, and the applicant agrees to defend, indemnify, and hold harmless the State, the Department, and the Directors, officers, employees, agents, and

contractors of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising out of any activity for which this encroachment permit is issued.

The permittee understands and agrees to comply with the obligations of Titles II and III of the Americans with Disabilities Act in the conduct of the event, and further agrees to defend, indemnify, and save harmless the State and the Department, and the Directors, officers, and employees of the State and/or Department, including but not limited to the Director of the Department and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising out of or by virtue of the Americans with Disabilities Act.

33. **PRIVATE USE OF STATE HIGHWAY RIGHT-OF-WAY:** State highway right-of-way must not be used for private purposes without compensation to the State. The gifting of public property use and therefore public funds is prohibited under the California Constitution, Article 16.
34. **FIELD WORK REIMBURSEMENT:** Permittee must reimburse the Department for field work performed on permittee's behalf to correct or remedy hazards or damaged facilities, or to clear refuse, debris, etc. not attended to by the permittee.
35. **NOTIFICATION OF CLOSURES TO DEPARTMENT AND TRAFFIC MANAGEMENT CENTER (TMC):** The permittee must notify the Department's representative and the Transportation Management Center (TMC) at least seven (7) days before initiating a lane closure or conducting an activity that may cause a traffic impact. A confirmation notification should occur three (3) days before closure or other potential traffic impact. In emergency situations when the corrective work or the emergency itself may affect traffic, TMC and the Department's representative must be notified as soon as possible.
36. **SUSPENSION OF TRAFFIC CONTROL OPERATION:** The permittee, upon notification by the Department's representative, must immediately suspend all lane closure operations and any operation that impedes the flow of traffic. All costs associated with this suspension must be borne by the permittee.
37. **UNDERGROUND SERVICE ALERT (USA) NOTIFICATION:** Any excavation requires compliance with the provisions of Government Code section 4216 et. seq., including but not limited to notice to a regional notification center, such as Underground Service Alert (USA). The permittee must provide notification to the regional notification center at least forty-eight (48) hours

before performing any excavation work within the State highway right-of-way.

38. **COMPLIANCE WITH THE AMERICANS WITH DISABILITIES ACT (ADA):** All work within the State highway right-of-way to construct and/or maintain any public facility must be designed, maintained, and constructed strictly in accordance with all applicable Federal Access laws and regulations (including but not limited to Section 504 of the Rehabilitation Act of 1973, codified at 29 U.S.C. § 794), California Access laws and regulations relating to ADA, along with its implementing regulations, Title 28 of the Code of Federal Regulations Parts 35 and 36 (28 C.F.R., Ch. I, Part 35, § 35.101 et seq., and Part 36, § 36.101 et seq.), Title 36 of the Code of Federal Regulations Part 1191 (36 C.F.R., Ch. XI, Part 1191, § 1119.1 et seq.), Title 49 of the Code of Federal Regulations Part 37 (49 C.F.R., Ch. A, Part 37, § 37.1 et seq.), the United States Department of Justice Title II and Title III for the ADA, and California Government Code section 4450 et seq., which require public facilities be made accessible to persons with disabilities.

Notwithstanding the requirements of the previous paragraph, all construction, design, and maintenance of public facilities must also comply with the Department's Design Information Bulletin 82, "Pedestrian Accessibility Guidelines for Highway Projects."

HAZARDOUS MATERIALS AND HAZARDOUS WASTE MANAGEMENT SPECIAL PROVISIONSTR-0408 (New 09/2017)

By acceptance of this encroachment permit, Permittee hereby agrees that:

1. All construction debris/materials/water/excess soil must become the property of the Permittee, and must be transported and disposed of, outside of Caltrans' right-of-way, in accordance with all applicable environmental laws and regulations. The Permittee must be identified as the generator for all construction debris/materials/water/excess soil and must be responsible for proper identification (including sampling and analysis) and management of all construction and contaminated debris/materials/water/excess soil that are removed, and/or excavated, from the work site. If hazardous waste is generated, the Permittee must obtain an Environmental Protection Agency (EPA) Identification Number issued in their name. State Permit Inspector does not sign any manifests or shipping papers. The Permittee must be named as the generator on all Uniform Hazardous Waste Manifests and shipping papers. Caltrans must not be identified or written anywhere on the manifests or shipping papers. Prior to waste disposal, the Permittee should submit the waste generator form(s) to State Permit Inspector for verification. The Permittee must submit to the State Permit Inspector, a copy of all manifests and/or shipping papers generated for materials removed, transported and/or excavated from the state right-of-way.
2. If contaminated material is encountered, Permittee is to stop work and contact the State Permit Inspector immediately. The Permittee must submit a Sampling and Analysis Plan (SAP), and a Health and Safety Plan (HaSP) prepared by a Certified Industrial Hygienist (CIH) and in conformance with California Code of Regulations title 8, section 5192, "Hazardous Waste Operations and Emergency Response" for sampling activity through a separate permit application. Upon the permit review, additional environmental documents may be required prior to resumption of construction activity.
3. Permittee is responsible for any violation, penalty, enforcement action, corrective action, remedial action, and any other type of consequences resulting from cross contamination of groundwater (including perched groundwater), improper handling/managing of hazardous materials and/or placement of contaminated materials inside Caltrans right-of-way.
4. It is the Permittee's responsibility to comply with the Department of Toxic Substances Control (DTSC) ADL requirements for roadway soil management. Reuse of soils containing greater than 80 mg/kg total lead is not allowed without written approval of the DTSC and Caltrans. The Soil Management Agreement for Aerially Deposited Lead-Contaminated Soils between Caltrans and the DTSC does not constitute written approval for the Permittee to reuse soils containing greater than 80 mg/kg total lead.
5. The Permittee must implement the emergency notification requirements established in the California Office of Emergency Management Hazardous Materials, Spill / Release Notification Guidance (<http://www.caloes.ca.gov/>).
6. Any imported material used for backfill must be free of contamination, and a certificate of the material as "clean" with the source area of the material must be provided to Permit Inspector upon request. Importing soils containing greater than 80 mg/kg total lead for use in state right-of-way is not allowed.
7. Stockpiles of material containing aerially deposited lead shall not be placed where affected by surface run-on or run-off. Stockpiles shall be covered with plastic sheeting 13 mils minimum thickness or with one foot of nonhazardous material. Stockpiles shall not be placed in environmentally sensitive areas. Stockpiled material shall not enter storm drains, inlets, or waters of the State.

LAW ENFORCEMENT SURVEILLANCE DEVICES SPECIAL PROVISIONSTR-0409 (New 01/2018)

In addition to the attached “Encroachment Permit General Provisions” (TR-0045), the following special provisions are also applicable:

1. The permittee must comply with all applicable state and federal laws with respect to all activities relating to this encroachment permit. This includes, but is not limited to, Law Enforcement Surveillance Devices (LESD) and the data collected by LESD.
2. The following statement is added between the first and second paragraphs of section 28 of the “Encroachment Permit General Provisions” (TR-0045):

“The permittee agrees to indemnify and save harmless the State, the Department, and all Directors, officers, employees, agents and/or contractors of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising from any and all alleged violations of State and/or Federal law with respect to any and all activities relating to this encroachment permit, including, but not limited to, invasion of privacy, section 1983 of title 42 of the United States Code, and the Fourth Amendment to the United States Constitution, and regardless of whether such are brought by or on behalf of any entity or natural person including but not limited to members of the public, the permittee, persons employed by the permittee, and persons acting on behalf of the permittee, arising out of or in connection with: (a) the issuance and/or use of this encroachment permit, and/or (b) the work or other activity conducted pursuant to this encroachment permit, and/or (c) the installation, placement, subsequent operation, and/or maintenance of said encroachment, and/or (d) the failure by the permittee or anyone acting on behalf of the permittee to perform permittee's obligations under this encroachment permit in respect to maintenance or any other obligation, and/or (e) a defect or defects in the work, or obstructions related to the work, or from any cause whatsoever. The duty of the permittee to indemnify and save harmless includes the duties to defend as set forth in Section 2778 of the California Civil Code.”

3. Upon termination of surveillance activities, permittee must notify the Department’s District Permits Office in writing within 30 days, and remove all LESD infrastructure from the Department’s highway rights-of-way. If the permittee fails to comply, the Department may remove the LESD system and the permittee must reimburse the Department for all the associated cost of removal and storage.

MAIL BOX (MB) SPECIAL PROVISIONS (Rev 04/09)

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

I. LOCATION

1. Whenever possible, mailboxes shall be located outside State highway right of way (R/W).
2. Mailboxes may be located inside State Highway right of way in compliance with AASHTO's "Roadside Design Guide", 3rd Edition, Chapter 11 "Erecting Mailboxes on Streets and Highways". (A copy can be found in Appendix H of the Encroachment Permits Manual)
3. Coordination with the local postmaster is required to determine the exact site.
4. In areas where curbs or dikes exist, mailboxes shall be located no closer than 1' behind the face of curb or dike to face of box.

II. INSTALLATION

1. Installation shall be as shown in the "Roadside Design Guide".
2. Mailboxes supported by structures such as masonry columns, railroad rails and ties, tractor wheels, plow blades, concrete filled barrels are strictly prohibited.
3. Postmaster approved, neighborhood delivery and collection box units (NDCBU) shall be installed in a location where they will not pose a hazard to errant vehicles.
4. Request for exceptions must follow the exception process described in Chapter 300 of the Encroachment Permits Manual.

NOTIFICATION OF ENCROACHMENT SPECIAL PROVISIONS

When highway or ramp closures, detours, and work with significant traffic impacts occur, use paragraphs 1, 2, and 3. Additional possible impacted activities include: CD, MC, FL, and FS permits.

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

Media Notification for Special Events (SE):

1. Permittee shall verify to State's representative that local or regional media, including radio, television or newspapers serving the area affected by the special event, have been notified by letter or press release format. Media contact must allow sufficient time for print or broadcast two days prior to the permitted activity. Letter or press release shall include date, time, location, duration, permitted activity, and identify detours for impacted State highways and local roads.

Highway Signing for Special Events (SE):

Public Notification Signs

2. Permittee shall place public notification signs at locations designated on the approved signing plan a minimum of seven (7) calendar days before the activity begins. Signs shall be constructed and installed to Caltrans specifications and standards.

Detour Signs

3. Permittee shall place detour signs prior to the permitted activity in accordance with State Standard Specifications.

When encroachment activities create significant traffic impacts, used paragraph 4 for local agency notification. Possible impacted activities include: SE, CD, MC, FL, and FS permits.

Local Agency Notification

4. Permittee shall make written notice to, and coordinate with, local emergency services, law enforcement agencies and public road departments seven (7) calendar days prior to the scheduled permitted activity. Letter copies shall be provided to the State's representative to evidence contacts.

When special event (SE) encroachments create significant traffic impacts use paragraph 5 for CHP notification.

CHP Notification

5. Permittee shall make written notice to, and coordinate with, CHP seven (7) calendar days before encroachment activities are scheduled. Letter copies shall be provided to the State's representative to evidence contacts.

PEDESTRIAN SAFETY (MCP) SPECIAL PROVISIONS

In addition to the attached General Provisions (Form TR-0045), the following special provisions are also applicable:

1. When the work area encroaches upon a sidewalk, walkway, or crosswalk area, special consideration must be given to pedestrian safety. Protective barricades, fencing, handrails and bridges, together with warning and guidance devices and signs must be utilized so that the passageway for pedestrians, especially blind and other physically handicapped, is safe and well defined and shown on the approved permit plan.
2. Pedestrian walkways and canopies within State Right of Way shall comply with the requirements of the applicable local agency or of the latest edition of the Uniform Building Code whichever contains the higher standards

RAILROAD GRADE CROSSING - MAINTENANCE (RX)

Annual Maintenance Standard Special Provisions

1. This permit does not authorize work on freeways, expressways or other activities not specifically provided for in this permit.
2. Work that reduces the vertical clearance over highways or changes the load carrying capacity of structures is not authorized by this permit.
3. Railroad work shall conform to Railroad, and applicable California Public Utilities Commission standards. Work affecting State highway facilities shall conform to current Caltrans standards.
4. Permittee may control or alter the flow of highway traffic only if absolutely necessary for public safety or to prevent a serious interruption of railroad service. Traffic control shall conform to Caltrans Traffic Control Systems published in the current State Standard Plans.
5. No excavation within 30' of the traveled way shall be left open after daylight hours, unless specifically authorized and adequate protection of traffic is provided in accordance with the General Provisions "Protection of Traffic." Backfill and highway paving shall conform to Standard Specifications and the General Provisions.
6. Routine maintenance taking place from the State highway shall be conducted between 9 am and 3 p.m. or as directed by the State representative.
7. Methods of installation and time of work for replacing aerial lines for railroad communication shall be approved by the State representative.

ROLLING TRAFFIC BREAKS SPECIAL PROVISIONS

TR-0407 (Rev 10/2017)

1. Permittee must arrange a meeting with the California Highway Patrol (CHP) and the Caltrans permit inspector, at least two (2) weeks prior to the start of work in order to determine the appropriate number of CHP vehicles required for planned traffic breaks. A minimum of two (2) CHP vehicles in each direction are required. One CHP vehicle will be conducting the planned traffic break and the second CHP vehicle will be stationed on the shoulder with its rear emergency lights on to caution motorists at the end of the queue. Additional CHP vehicles may be required if determined to be necessary by the CHP. It is the responsibility of the permittee to make arrangements with CHP for providing planned traffic breaks to facilitate the approved work.
2. The duration of a planned traffic break **MUST NOT** exceed five (5) minutes. If additional traffic breaks are required, traffic backup must be cleared before performing another break.
3. The permittee must provide a minimum of one (1) Portable Changeable Message Sign (PCMS). Additional PCMSs must be provided if required by Caltrans permit inspector or CHP. PCMS(s) must be placed at the locations directed by the CHP and be moved or relocated as needed. Each PCMS must comply with section 12-3.32 of the Caltrans Standard Specifications. PCMS(s) must be removed promptly after the planned traffic break is completed.
4. Message to be displayed on the PCMSs must be coordinated with Caltrans permit inspector/representative and CHP.
5. All aerial crossings should be scheduled on Sunday mornings (excluding holidays), from daylight to 10:00 AM, unless otherwise authorized by the District Permit Engineer or authorized Caltrans' representative.
6. No aerial crossings must be performed in rainy, foggy or other inclement weather.

SIDEWALKS (CS) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable:

1. A State issued permit is required for any landscaping or tree installation, including installation of tree wells.
2. A separate permit must be obtained from Caltrans for any driveway, handicap-ramp installations or any sidewalks that are other than Portland Cement Concrete constructed in compliance with Caltrans Standard Specifications.
3. Traffic control is authorized only between 9 am and 3 p.m., Monday through Friday, holidays excluded. Any traffic control that requires lane closure shall be in compliance with the appropriate traffic control plan. Where required by the plan, the use of a flashing arrowboard is MANDATORY.
4. New curb and gutter installations shall be State Standard Type A2-6, unless necessary to conform to existing adjacent curb and gutter installations.
5. The minimum width of a sidewalk should be 8 feet between a curb and a building when in urban and rural main street place types. For all other locations the minimum width of sidewalk should be 6 feet when contiguous to a curb or 5 feet when separated by a planting strip.
6. Alignment and grade of gutter and sidewalk shall match the existing.
7. Existing concrete curb and paved shoulder shall be saw cut to a neat line prior to excavating and forming. Existing concrete sidewalk shall be saw cut at the scoreline. Paved shoulder shall be replaced with asphalt concrete paving material equal "in kind" and thickness to existing shoulder and shall conform to lip of new curb and gutter.
8. Permittee shall be responsible for the relocation or adjustment of any utility required as the result of work authorized by this permit, and utility relocation shall be completed prior to the installation of any new curb, gutter or sidewalk.
9. A monolithic pour of sidewalk and curb and gutter shall not be permitted.

SPECIAL EVENTS (SE) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable.

- 1) In accordance with subdivision (a) of Streets and Highways Code section 682.5, the Department is not responsible for the conduct or operation of the permitted activity, and the applicant agrees to defend, indemnify, and hold harmless the State, the Department, and the Directors, officers, employees, agents, and contractors of the State and/or of the Department, including but not limited to the Director of Transportation and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising out of any activity for which this encroachment permit is issued.
- 2) The permittee understands and agrees to comply with the obligations of Titles II and III of the Americans with Disabilities Act in the conduct of the event, and further agrees to defend, indemnify, and save harmless the State and the Department, and the Directors, officers, and employees of the State and/or Department, including but not limited to the Director of the Department and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind and description arising out of or by virtue of the Americans with Disabilities Act.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT STEEL PLATE BRIDGING UTILITY PROVISIONS

TR -0157 (Rev. 04/2018)

To accommodate excavation work, steel plate bridging may be necessary. All conditions for use of steel plate bridging should be set forth in the special provisions.

Consideration of steel plate bridging should take into account the following factors:

1. Traffic speed.
2. Traffic Volume and Composition.
3. Duration and dimensions (width & daily estimated lengths) of the proposed excavation.
4. Weather conditions.

When backfilling operations of an excavation in the traveled way, whether transverse or longitudinal, cannot be properly completed within a work day, steel plate bridging with a non-skid surface and shoring (see Trenching & Shoring) may be required to preserve unobstructed traffic flow. In such cases, the following conditions shall apply:

1. Steel plate bridging on freeways is not allowed.
2. Steel plates used for bridging must extend a minimum of 12" beyond the edges of the trench.
3. Steel plate bridging shall be installed to operate with minimum noise.
4. The trench shall be adequately shored, (as mentioned in Section 603.6B-2 of the Encroachment Permits Manual) to support the bridging and traffic loads.
5. Temporary paving with cold asphalt concrete shall be used to feather the edges of the plates, if plate installation by Method (2) described below, is used.
6. Bridging shall be secured against displacement by using adjustable cleats, shims, or other devices.

As required by the district, steel plate bridging and shoring shall be installed using either Method (1) or (2):

Method 1 For speeds of 45 MPH or greater:

The pavement shall be cold planed to a depth equal to the thickness of the plate and to a width and length equal to the dimensions of the plate.

Approach plate(s) and ending plate (if longitudinal placement) shall be attached to the roadway by a minimum of 2 dowels pre-drilled into the corners of the plate and drilled 2" into the pavement. Subsequent plates are to be butted and tack welded to each other.

Method 2 For Speeds less than 45 mph:

Approach plate(s) and ending plate (if longitudinal placement) shall be attached to the roadway by a minimum of 2 dowels pre-drilled into the corners of the plate and drilled 2" into the pavement. Subsequent plates are to be butted and tack welded to each other. Fine graded asphalt concrete shall be compacted to form ramps, maximum slope 8.5 % with a minimum 12" taper to cover all edges of the steel plates. When steel plates are removed, the dowel holes in the pavement shall be backfilled with either graded fines of asphalt concrete mix, concrete slurry, epoxy or an equivalent that is satisfactory to the Caltrans' representative.

The permittee is responsible for maintenance of the steel plates, shoring, asphalt concrete ramps, and ensuring that they meet minimum specifications. Unless specifically noted or granted in the special provisions, or approved by the State representative, steel plate bridging shall not exceed 4 consecutive working days in any given week. Backfilling of excavations shall be covered with a minimum 3" temporary layer of cold asphalt concrete.

The following table shows the advisory minimal thickness of steel plate bridging required for a given trench width (A-36 grade steel, designed for HS20-44 truck loading per Caltrans Bridge Design Specifications Manual).

Trench Width	Minimum Plate Thickness
10"	1/2"
1'-11"	3/4"
2'-7"	7/8"
3'-5"	1"
5'-3"	1 3/4"

NOTE: For spans greater than 5'-3", a structural design shall be prepared by a California registered civil engineer.

All steel plates within the right of way whether used in or out of the traveled way shall be without deformation. Inspectors can determine the trueness of steel plates by using a straight edge and should reject any plate that is permanently deformed.

Steel plates used in the traveled portion of the highway shall have a surface that was manufactured with a nominal Coefficient Of Friction (COF) of 0.35 as determined by California Test Method 342 (See Appendix H, Encroachment Permits Manual). If a different test method is used, the permittee may utilize standard test plates with known coefficients of friction available from each Caltrans District Materials Engineer to correlate skid resistance results to California Test Method 342. Based on the test data, the permittee shall determine what amount of surface wear is acceptable, and independently ascertain when to remove, test, or resurface an individual plate.

Caltrans Inspectors should not enforce plate removal unless it is permanently deformed or delivered without the required surfacing. However, an inspector should document in a diary all contacts with the contractor.

A "Rough Road" (W8-8) sign and a "Steel Plate Ahead" (W8-24) sign with black lettering on an orange background must be used in advance of steel plate bridging along with the required construction area signs. These signs must be used along with any other construction area signs.

Surfacing requirements are not necessary for steel plates used in parking strips, on shoulders not used for turning movements, or on connecting driveways, etc., not open to the public.

1. GENERAL: The purpose of these Special Provisions is to provide the Permittee with specifications for water pollution control to minimize, prevent, or control the discharge of material into the air, surface waters, groundwater, and storm sewers owned by the State or local agencies. These provisions are not intended to take the place of the Caltrans Water Pollution Control Program (WPCP) for projects where soil disturbance from work activities less than one acre, or work activities of one acre or more subject to the preparation of the Caltrans Storm Water Pollution Prevention Plan (SWPPP). The Permittee must comply with the following Special Provisions and the direction of the State Representative. All Stormwater Best Management Practices (BMPs) must conform to Section 13 Water Pollution Control of Caltrans' Standard Specifications.

2. NPDES REQUIREMENTS: The Permittee must be responsible for full compliance with the Caltrans Storm Water Program and the Caltrans National Pollutant Discharge Elimination System (NPDES) Permit requirements (*Order No. 2012-0011-DWQ, NPDES No CAS000003*) and for and projects disturbing one acre or more of soil, full compliance with the California Construction General Permit (*Order No. 2009-0009-DWQ, NPDES No CAS000002*) or for projects for projects that have one acre or more of soil disturbance in the Lahontan Region (*Order No. R6T-2016-0010, NPDES No CAG616002*). It is the Permittee's responsibility to install, inspect, and repair or maintain facilities and devices used for water pollution control practices (BMPs) before performing daily work activities. Installation, inspection and maintenance responsibilities on the job site include: 1) soil stabilization materials in work areas that are inactive or prior to storm events, 2) water pollution control devices to control sediment and erosion, 3) implementation of spill and leak prevention procedures for chemical and hazardous substances stored on the job site, 4) material storage, 5) stockpile management, 6) waste management, 7) non-stormwater management, 8) water conservation, 9) tracking controls and 10) illicit connection, illegal discharge detection and reporting. The Permittee must report to the State representative when discharges enter into receiving waters, adjacent property, drainage systems or when discharges could be a cause or a threat for water pollution. The Permittee must also control illicit discharges or illegal dumping prior to start of daily work schedule. Copies of written notices or orders from the Regional Water Quality Control Board or other regulatory agency must be provided to the State representative within 48 hours of reported activity. For additional information on stormwater compliance, visit the State Water Resources Control Boards storm water Website at:

http://www.waterboards.ca.gov/water_issues/programs/stormwater

3. RESPONSIBILITY FOR DEBRIS REMOVAL: The Permittee must be responsible for preventing sediment, trash, debris, and other construction waste from entering the street, the storm drains, local creeks, or any other bodies of water.

4. SPOILS AND RESIDUE: The Permittee must vacuum any saw-cut concrete waste material, debris, residue, etc. No spoils, debris, residue, etc. must be washed into a drainage system.

5. SWEEPING: Sweep paved roads at construction entrance and exit locations and surrounding paved areas daily within the job site during: 1) clearing and grubbing, 2) earthwork, 3) trenching, 4) soil disturbance, 5) pavement grinding and/or cutting, and 6) after observing tracking of material onto or off the State property. Keep dust to a minimum during sweeping activities. Use vacuum whenever dust generation is excessive or sediment pickup is ineffective.

Roadways or work areas must not be washed down with water. Street sweeping operations must conform to Section 13 Water Pollution Control of Caltrans' Standard Specifications.

6. VEHICLES AND EQUIPMENT: Permittee must prevent all vehicles, equipment, etc. from leakage or mud tracking onto roadways. If leaks cannot be repaired immediately, remove the vehicle or equipment from the job site.

7. MAINTENANCE AND FUELING OF VEHICLES AND EQUIPMENT: Maintenance and fueling of equipment must not result in any pollution at the job site. The Permittee must immediately clean up spills/leaks, and properly dispose of contaminated soil and materials.

8. CLEANING VEHICLES AND EQUIPMENT: Limit vehicle and equipment cleaning or washing at the job site except what is necessary to control vehicle tracking or hazardous waste. The Permittee must clean all equipment within a bermed area or over a drip pan large enough to prevent run-off. No soaps, solvents, degreasers, etc. must be used in State right-of-way. Any water from this operation must be collected and disposed of at an appropriate site. Containment berms or dikes must be used for fueling, washing, maintaining and washing vehicles or equipment in outside areas. Containment must be performed at least 100 feet from concentrated flows of storm water, drainage courses, and storm drain inlets if within a flood plain, otherwise at least 50 feet if outside the floodplain. Keep adequate quantities of absorbent spill- cleanup material and spill kits in the fueling or maintenance area and on fueling trucks.

9. DIESEL FUELS: The use of diesel fuel from petroleum or other fossil fuel as a form-oil or solvent is not allowed.

10. WEATHER CONDITIONS AT WORKSITE: Any activity that would generate fine particles or dust that could be transported off site by stormwater must be performed during dry weather.

11. WIND EROSION PROTECTION: The use of Wind Erosion BMPs must be deployed year-round in instances where dust or fine particles could be transported off site.

11. HOT MIX ASPHALT: Runoff from washing hot mix asphalt must not enter into any drainage conveyances.

12. PROTECTION OF DRAINAGE FACILITIES: The Permittee must protect/cover gutters, ditches, drainage courses, and inlets with gravel bags, fiber rolls, State approved fabric filters, etc., to the satisfaction of the State representative during grading, paving, saw-cutting, etc. and materials must conform to Section 13-6.02 Materials for Water Pollution Control of Caltrans' Standard Specifications. No such protection measures must cause an obstruction to the traveling public. The Permittee must implement spill and leak prevention procedures for chemicals and hazardous substances stored on the job site (including secondary containment requirements) in accordance to section 13-4.03B Spill Prevention and Control, and 14-11 Hazardous Waste and Contamination, Water Pollution Control of Caltrans' Standard Specifications.

13. PAINT: Rinsing of painting equipment and materials is not permitted in State right-of-way. When thoroughly dry, dispose of the following as solid waste: dry latex paint, paint cans, used brushes, rags, gloves, absorbent materials, and drop cloths. Oil based paint sludge and unusable thinner must be disposed of at an approved hazardous waste site.

14. CONSTRUCTION MATERIALS: Stockpile of all construction materials, including, but not limited to; pressure treated wood, asphalt concrete, cold mix asphalt concrete, concrete, grout, cement containing premixes, and mortar, must conform to section 13-4.03C (2) Material Storage & 13-4.03C (3) Stockpile Management of Caltrans' Standard Specifications.

15. CONCRETE EQUIPMENT: Concrete equipment must be washed in a designated washing area in a way that does not contaminate soil, receiving waters, or storm drain systems.

16. EXISTING VEGETATION: Established existing vegetation is the best form of erosion control. Minimize disturbance to existing vegetation. Damaged or removed vegetation must be replaced as directed by the State Representative.

17. SOIL DISTURBANCE: Soil disturbing activities must be avoided during the wet weather season. If construction activities during wet weather are allowed in your permit, all necessary erosion control and soil stabilization measures must be implemented in advance of soil disturbing activity.

18. SLOPE STABILIZATION AND SEDIMENT CONTROL: Consider a certified expert in Erosion and Sediment control in cases where slopes are disturbed during construction. The Permittee is directed to comply with Section 13.5 Temporary Soil Stabilization and Section 21 Erosion Control of Caltrans' Standard Specifications during application of temporary soil stabilization measures to the soil surface. Fiber rolls or silt fences may be required down slope until permanent soil stabilization is established. Remove the accumulated sediment whenever the sediment accumulates to 1/3 of the linear sediment barrier height. The Permittee must limit the use of plastic materials when more sustainable, environmentally friendly alternatives exist or when environmental regulations prohibit their use within the project.

19. STOCKPILES: Stockpiles containing aggregate and/or soil must be stored at least 100 feet from concentrated flows of storm water, drainage courses, and storm drain inlets if within a flood plain, otherwise at least 50 feet if outside the floodplain, and must be covered and protected with a temporary perimeter sediment barrier. Cold mix stockpiles must be stored on an impermeable surface and covered with 9 mil plastic to prevent contact with water. Minimize stockpiling of materials on the job site. Manage stockpiles by implementing the water pollution control practices in Section 13-4.03C (3) Stockpile Management of the State of California standard specifications for construction.

20. DISCOVERY OF CONTAMINATION: The State Representative must be notified in case any unusual discoloration, odor, or texture of ground water, is found in excavated material or if abandoned, underground tanks, pipes, or buried debris are encountered.

21. SANITARY AND SEPTIC WASTE: Do not bury or discharge wastewater from a sanitary or septic system within the highway. Properly connected sewer facilities are free from leaks. With State Representative approval place portable sanitary facility at least 50 feet away from storm drains, receiving waters, and flow lines. Permittee must comply with local health agency provisions when using an on-site disposal system.

22. LIQUID WASTE: Prevent job site liquid waste from entering storm drain systems and receiving waters. Drilling slurries, grease or oil-free waste water or rinse water, dredging, wash water or rinse water running off a surface or other non-storm water liquids not covered under separate waste water permits must be held in structurally sound, leak-proof containers, such as portable bins or portable tanks. Store containers at least 50 feet away from moving vehicles and equipment. Liquid waste may require testing to determine hazardous material content prior to disposal. All measures must conform to section 13-4.03D (5) Liquid Waste, Water Pollution Control of Caltrans' Standard Specifications.

23. WATER CONTROL AND CONSERVATION: Manage water use in a way that will prevent erosion and the discharge of

pollutants into storm drain systems and receiving waters. Direct runoff, including water from water line repair from the job site to areas where it can infiltrate into the ground. Direct water from off-site sources around the job site or from contact with jobsite runoff.

24. PILE DRIVING: Keep spill kits and cleanup materials at pile driving locations. Park pile driving equipment over drip pans, absorbent pads, or plastic sheeting with absorbent material, and away from stormwater run-on when not in use.

25. DEWATERING: Dewatering consists of discharging accumulated storm water, groundwater, or surface water from excavations or temporary containment facilities. All dewatering operations must comply with the latest Caltrans guidelines including the *Field Guide for Construction Site Dewatering*. Contact State representative for approval of dewatering discharge by infiltration or evaporation, otherwise, any effluent discharged into a permitted storm water system requires approval from the Regional Water Quality Control Board. Prior to the start of dewatering, the Permittee must provide the State Representative with a dewatering and discharge work plan that complies with section 13-4.03G Dewatering, Water Pollution Control of Caltrans' Standard Specifications. A copy of the Waste Discharge Permit and a copy of a valid WDID number issued by the Regional Board must be provided to the State representative.

CALTRANS ENCROACHMENT PERMITS MANUAL
Special Provisions to be inserted in APPENDIX K (Rev 09/03)

STRUCTURE WORK

Use these special provisions when Permit includes any capital improvement work (Capital Outlay Program or Permit Program) involving structure related facilities such as: modification to existing bridges, new bridges, all tunnels, underground structures, single and multi-cell culverts wider than 20' measured in the direction of traffic, storage boxes, non-standard retaining walls, non-standard sound walls (including sound walls on retaining wall), earth retaining systems, bridge-mounted sign structures, overhead sign structures, pump plants, slope paving under bridges (including any paving or channel lining around bridge columns), seal slabs/boat sections, transit stations, and toll plazas.

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1) BEGINNING OF WORK:

The PERMITTEE shall notify the Department's Representative, _____
(Name of Structures Area Construction Manager)

at _____ two (2) weeks before the intent to start permitted work to ensure coordination
(Phone Number)

with the Division of Structure Construction.

2) CONTRACT DOCUMENTS:

In addition to the number of as-advertised contract document sets required by the District Permit Engineer for district use, the PERMITTEE shall include a minimum of eleven (11) additional sets of contract documents (plans, special provisions and addenda) for use by the Caltrans Division of Engineering Services. Upon approval of the permit application, the District Permit Office shall distribute the eleven additional sets of contract documents to:

State of California
Department of Transportation
Division of Engineering Services
Office of Special Funded Projects, MS 9-2/7G
1801 30th Street
Sacramento, CA 95816

Depending on the work contemplated in the project, more copies may be required as determined by the District Permit Engineer and the Structures OSFP Liaison Engineer.

3) AS-BUILT & OTHER COMPLETION RECORDS

Within sixty (60) days following completion and acceptance of the project construction contract, PERMITTEE shall furnish acceptable completion records, which are applicable to the project, to the STATE representatives shown in the following table. Completion records shall be submitted in accordance with the "Submittal Instructions and Forms" shown in the following table. When requested by the PERMITTEE, the STATE representative shall furnish the instructions and forms shown in the following table. This information is also available from the Caltrans internet website.

Completion records or accompanying correspondence shall not include disclaimer statements of any kind. Such statements shall constitute non-compliance with these provisions.

For Locally Advertised projects, the As-Built Plan Package shall include the "Structures As-Built Plan Submittal Route Slip."

CALTRANS ENCROACHMENT PERMITS MANUAL
Special Provisions to be inserted in APPENDIX K

Completion Records Table

Completion Record	Submittal Instructions and Forms	Submit Completion Record to:
Field Office set of red-marked As-Built plans for Structures, including Log of Test Borings from the Construction Contract Administrator	Furnish the construction field office set of red-marked As-Built prints, <p align="center"><u>AND</u></p> Initial, date, and attach the “Structures As-Built Plan Submittal Route Slip” to the As-Built plans submittal package.	<u>Express Mail or hand carry to:</u> State of California Department of Transportation Division of Engineering Services Division of Structure Construction 1801 30 th Street, MS 9-2/11H Sacramento, CA 95816
Final As-Built plans for Structures, including Log of Test Borings from the Design Consultant	Furnish one (1) complete set of acceptable full size reproducible As-Built plans, <p align="center"><u>AND</u></p> Furnish the construction field office set of red-marked As-Built prints, <p align="center"><u>AND</u></p> Initial, date, and attach the Structures As-Built Plan Submittal Route Slip to the As-Built plans submittal package.	<u>Regular Mailing Address:</u> State of California Department of Transportation Division of Engineering Services Office of Special Funded Projects MS 9-2/7G P.O. Box 168041 Sacramento, CA 95816-8041 <u>Next Day Mail or hand carry to:</u> State of California, Department of Transportation Division of Engineering Services Office of Special Funded Projects 1801 30 th Street, MS 9-2/7G Sacramento, CA 95816
Working Drawings (Shop Plans)	See contract special provisions and Standard Specifications for each individual structure.	DES Structures Document Unit Division of Structure Design
Report of Completion for Structures	Submit, for each individual structure, Form DS-OS C3, “Report of Completion-Bridges”, or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Joint Movement Calculations for Structures	Submit, for each individual structure, Form DSD-D-0129, “Joint Movement Calculations” or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Driven Pile Records	Submit, for each individual structure, Forms DC-C78, “Pile Quantity & Driving Record (Driven Piles)”; DH-OS C79, “Log Pile Sheet”; and DH-OS C80, “Pile Layout Sheet”; or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Paint Records for Structures	Submit, for each individual structure, Forms DH-OS M5, “Clean and Paint Cost Summary”; DH-OS M8, “Daily Clean & Paint Record”; DH-OS M11, “Paint Record”, and DH-OS M78, “Spot – Sandblasting Report”; or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract

4) PROJECT COMPLETION (PROCESS BILLING/COMPLETION NOTICE)

For permits involving structure work, the Progress Billing/Completion Notice shall not be submitted by the District Oversight Resident Engineer/District Permit Engineer as the “Completion Notice” until the structure As-Built and other applicable structure completion records have been submitted by the permittee and approved by Caltrans. The receipt of these records shall be noted on the Progress Billing/Completion Notice.

Private Entities

Failure of private entities to provide accurate, reproducible As-Built plans and satisfactory completion records for permit work shall be cause for bond or deposit retention by the Department.

Local Agencies

Failure of local agencies to provide accurate, reproducible As-Built plans, and satisfactory completion records for permit work shall be cause for the Department to require performance bonds on future permits. Future permitted work is subjected to a bond requirement until the completion records of said previously permitted work are submitted satisfactorily (Streets & Highways Code, Section 678).

STRUCTURE AS-BUILT PLANS SUBMITTAL ROUTE SLIP

FOR LOCALLY-ADVERTISED CONSULTANT-DESIGNED STRUCTURE PROJECT(S)

CONTRACT EA: _____

PERMIT NO. (to local entity): _____

DIST/CO/RTE/PM(KP): _____

COMPLETION & ACCEPTANCE OF PROJECT CONSTRUCTION CONTRACT FIELD WORK (DATE): _____

BRIDGE NO(S): _____

CONSTRUCTION CONTRACT ADMINISTRATOR (Name, Phone, & Firm): _____

CALTRANS OVERSIGHT STRUCTURE REPRESENTATIVE (Name & Phone): _____

CALTRANS DISTRICT OVERSIGHT RESIDENT ENGINEER (Name & Phone): _____

DISTRICT ENCROACHMENT PERMITS ENGINEER (Name & Phone): _____

CALTRANS STRUCTURES OSFP OVERSIGHT LIAISON ENGINEER (Name & Phone): _____

KEEP THIS MEMO WITH THE STRUCTURE AS-BUILT PLAN PACKAGE (HAND CARRY OR EXPRESS MAIL TO THE NEXT PERSON)

Initials/Date

- _____ 1) CONSTRUCTION CONTRACT ADMINISTRATOR / STRUCTURE REPRESENTATIVE
- Compile all structure As-Built changes, including supplemental plan sheets due to CCO's. Consultant Structure Representatives shall review structure As-Built changes with the State Oversight Structure Representative prior to delivery to Division of Structure Construction in Sacramento.
 - Send the field office set of red-marked As-Built prints to CALTRANS ESC, Offices of Structure Construction, MS 9-2/11H, 1801 30th Street, Sacramento, CA 95816.
- _____ 2) DIVISION OF STRUCTURE CONSTRUCTION (DSC), SACRAMENTO
- Receive and review the structure As-Built Plans changes noted on the field office set of red-marked As-Built prints.
 - Verify that **ALL** of the As-Built structure sheets have been received and have the As-Built stamp (including Log of Test Borings plan sheets).
 - Update contract records.
- _____ 3) DIVISION OF EARTHQUAKE ENGINEERING & DESIGN SUPPORT (DEE&DS), Office of Special Funded Projects
- Receive and review As-Built changes.
 - Deliver the package of the field office set of red marked as built prints, and the As-Built route slip to the Design Consultant so that the As-Built changes can be transferred onto the Local Entity's as-advertised tracings.
- _____ 4) DESIGN CONSULTANT
- Transfer **red-marked** As-Built changes to original **as-advertised** tracings (or to the Computer Graphics files if necessary). The original as-advertised tracings thereby become the final As-Built tracings.
 - Deliver field office set of red-marked As-Built prints, the set of final As-Built tracings and this Slip by express mail or hand carry to CALTRANS ESC – OSFP, MS 9-2/7G, 1801 30th Street, Sacramento, CA 95816*
- _____ 5) DIVISION OF EARTHQUAKE ENGINEERING & DESIGN SUPPORT (DEE&DS), Office of Special Funded Projects
- Verify that As-Built red-marked changes and approved CCO's are reflected on the final As-Built tracings.
 - **Inform** District Resident Engineer (or District Encroachment Permit Engineer if total estimate < \$1M) that the final structure As-Built have been received and are satisfactory. The RE or the District Permit Engineer can then initiate and submit the Progress Billing/Completion Notice (TR-0129) regarding structure requirements to the District Permit Section**
 - **Inform** Design Consultant that final structure As-Built have been received and are satisfactory.
 - Structures OSFP retains the field office set of red-marked As-Built prints until the final As-Built tracings are returned from HQ Micrographics. Final structure As-Built tracings are forwarded to DSM&I.
- _____ 6) DIVISION OF STRUCTURES MAINTENANCE AND INVESTIGATIONS (DSM&I)
- Notify DSM&I-Encroachment Permits Section that As-Built plans have been received and are satisfactory.
 - Scan final As-Built tracings into bridge information records system, BIRIS.
 - Forward final As-Built tracings to HQ Micrographics.
- _____ 7) HQ MICROGRAPHICS
- Use final structure As-Built tracings to order 3 full sets of microfilm (roadway & structures) aperture cards.
 - HQ Micrographics files a set of microfilms, delivers a set to both the District, and the Department's security file.
 - Return the final structure As-Built tracings to Structures OSFP [for storage/disposal or return to Design Consultant of Local Entity (if requested)]. Structures OSFP can then dispose of the field office set of red-marked As-Built prints or return them to the Design Consultant or Local Entity (if requested).

* When required by contract with Local Agency, send a **copy** of red-marked prints and reproducible **copies** of final As-Built plans to the Local Agency. Design Consultant keeps a set of reproducible **copies** of the final As-Built plans for own file.

**Project closure is also contingent upon the submittal of other final structure project records and District Roadway As-Built Plan Package to the District.

SURVEYS (SV) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Two days before work is started under this permit, contact _____ concerning the permittee's operation.
2. All survey operations shall be conducted off the traveled way except where necessary to cross pavements and medians.
3. When survey operations are being conducted, the permittee shall furnish, place and maintain signs and safety equipment in accordance with the latest edition of the "California Manual on Uniform Traffic Control Devices" (Part 6, Temporary Traffic Control).
4. All personnel shall wear hard hats and orange vests, shirts or jackets as appropriate. Any painted markings shall be made with water soluble paint.
5. Permission is also granted to park survey vehicles temporarily within the right of way, outside the shoulders, while survey work is in progress.
6. **SURVEY WORK IS PROHIBITED ON FREEWAYS.**
7. Survey information and assistance may be obtained upon request to: Survey Section, Department of Transportation, _____.

TRAFFIC COUNTERS (SV) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are applicable:

1. Personnel installing or removing traffic counters shall wear an orange colored outer garment and a hard hat.
2. Traffic counters installed on freeway ramps shall be located at the curb return as near as possible to the local street intersection.
3. Counter tubes shall be securely attached to the pavement by taping. No nails, spikes or other material shall be driven into the pavement except to secure the tube at the outside edge of shoulder, at the lip of a gutter, or in the center line stripe.
4. A copy of the collected data shall be sent to the Caltrans District Permit Engineer.

TRAFFIC SIGNAL CONTROLLER ASSEMBLY SPECIAL PROVISIONS

In addition to the attached General Provision (Form TR-0045), the special provision shown below is also applicable.

Use the special provision that pertains to either a chargeable or State furnished controller assembly. When the permittee is charged a fee for the controller, the special provision will identify the fee amount and instructions for requesting controller assembly delivery. When Caltrans is providing the controller under a Cooperative Agreement, the provision contains only the delivery instructions.

Use this Statement in Permits for Privately Funded Projects and Locally Funded Projects Without Cooperative Agreements

The permittee or the contractor for a local agency shall pay \$5,600 to Caltrans to compensate the State of California for the costs incurred in obtaining, testing, and supplying a Traffic Signal Controller Assembly. This fee does not supercede any other fee charged by Caltrans for review, inspection or field work performed by Department staff as a result of the permitted work. If the fee has not been paid before permit issuance, full payment shall be made to the district cashier before starting any traffic signal work authorized by this permit, and at least 30 (thirty) days before the controller is needed for installation. The permittee shall give the State representative not less than 10 (ten) working days written advance notice before picking up the cabinet assembly (without the controller). When notified by the permittee, Caltrans will provide the permittee with a time and location for picking up that cabinet assembly. Caltrans will subsequently deliver the actual controller to the job site at the prearranged time of signal turn on.

Use this Statement in Permits When a Traffic Controller Assembly is Provided for Projects Involving Cooperative Agreements

The permittee shall give the State representative at least 10 (ten) working days written advance notice before picking up the cabinet assembly (without the controller). When notified by the permittee, Caltrans will provide the permittee with a time and location for picking up the cabinet assembly. Caltrans will deliver the controller to the job site at the prearranged time of signal activation.

TRAFFIC STRIPING, MARKINGS, AND SIGNS (MCS) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1. Traffic striping, pavement markings and signs shall be furnished and placed by the permittee and the cost shall be borne by the permittee. Where new asphalt concrete has been placed, painted striping and pavement markings shall be installed within 24-hours. Where shown on the plans, after thirty (30) days curing time, thermoplastic materials shall be applied in compliance with Section 84 of the Standard Specifications.
2. Roadside signs shall be placed at locations shown on the permit plans and shall be installed in compliance with the latest edition of Caltrans Standard Plans.
3. Permittee shall furnish to State's representative a completed Form CEM-3101 "Notice of Materials to be Used," and approval of the material used shall be obtained prior to its installation.

I. GENERAL (Applies to BOTH Non-Utility and Utility Projects):

1. Scheduled pruning work may be restricted by Caltrans to maintain mobility during special events, commuter traffic, or other periods of projected high traffic volumes.
 - o Traffic control is generally authorized from 9 a.m. to 3 p.m., Monday through Friday, excluding holidays. Extended traffic control hours may be required by Caltrans.
 - o Traffic control must conform to requirements shown in the State Standard Plans. When required, the use of a flashing arrow board is MANDATORY.
 - o Suspend work during inclement weather, such as heavy fog, if lane or shoulder closures will be required. Do not perform pruning work during periods of high wind to minimize the spread of debris into the traveled way.
2. Prune trees in compliance with the most recent version of ANSI A300-Pruning Part 1, the American National Standard for Tree Care Operations, Tree, Shrub and Other Woody Plant Maintenance-Standard Practices (Pruning), and the International Society of Arboriculture (ISA) Tree Pruning Best Management Practices.
3. Prune trees in compliance with the seasonal tree pruning restrictions specified in the Migratory Bird Act and meet the seasonal requirements of specific tree species. Perform pruning based upon the age of the tree (newly planted or established), type of tree (evergreen or deciduous), purpose for pruning (maintenance of form, structure, maintaining sight lines, utility clearance), and to minimize the spread of disease (pine pitch canker, eucalyptus psyllid, eucalyptus borer beetles, Dutch elm disease, or mistletoe).
4. Tree trimmers must be licensed by the California State Contractors State License Board and hold a current C61/D49 license.
5. Do not use climbing spurs to prune trees, except when working in the tops of Eucalyptus, Palms, and Conifers.
6. Prune trees to maintain their natural structure and shape. If unbalanced growth already exists, first thin and head prune the tree. Where prior topping or side pruning has resulted in excessive growth over the State right-of-way, prune to restore a balanced, symmetrical shape. Avoid creating large holes in the canopy. Upon completion of work, trees should present a balanced, symmetrical shape that is characteristic of their species.
7. Prune trees to maintain their natural open crown structure. Do not cut young growth year after year at the same fixed distance from the trunk. This technique creates very dense growth at the tree canopy margin, growth called “crow’s nests” or “brooms”. Maintain the natural open crown structure by thinning out dense growth.
8. Prune trees to restore an open crown structure. Remove limbs larger than 2-inches in diameter as necessary to open up dense growth, called “crows' nests” or “brooms.” Make these cuts at laterals or parent branches in older wood so that the following season’s growth will result in a crown structure free of dense, disfiguring growth.
9. Prune trees to avoid redirecting growth over the highway. Maintain the terminal bud of the leader. Perform top or center pruning only after these trees have recovered their natural balance and form.
10. Final cuts must not leave stubs. Prune in ways that maximize wound recovery from callus growth. Keep wounds as small as practicable, reasonably flush, within the shoulder ring area, keeping cambial tissues at the cut edge alive and healthy. Do not make extreme flush cuts that produce large wounds and weaken the tree.
11. Remove debris, cuttings, and tree limbs from the State right-of-way at the end of each workday, leaving the work area in a safe and presentable condition. In regions where pruned limbs and bark might harbor pests or disease (such as pine pitch canker, eucalyptus psyllid, eucalyptus borer beetles, Dutch elm disease, or sudden oak death) dispose pruned materials in accordance with Federal, State, and local agency requirements.
12. Topping of trees is not allowed.
13. Prune trees to allow 8’ over sidewalks and 17’ over vehicular pavement.
14. Pruning must not change the character of the tree.

II. ADDITIONAL TREE PRUNING REQUIREMENTS FOR UTILITIES ONLY:

Comply with the requirements under “I. General” above, and the following:

1. Severity of utility tree pruning work may be restricted by the District Landscape Specialist to preserve the appearance of trees that possess high value due to local community significance, historic landscape potential, or documented horticultural value.
2. Limit pruning severity such that required minimum clearances are maintained for no more than two years.
3. Comply with minimum utility clearances as established by the CPUC General Orders, California Public Resources Code and Federal and State laws. Clearances that exceed the established minimum must be agreed upon by Caltrans and the Utility Company. For most locations, pruning should not take place more frequently than once per year. Pruning clearances and pruning frequencies must reflect the species, growth habit, condition, and health of each tree.

4. Prune trees receiving their first pruning, or recently pruned trees with “directional pruning” as defined in the *ISA Tree-Pruning Guidelines*. Trees that cannot be directionally pruned, such as older trees that have been topped many times may be submitted for consideration of removal.
5. Do not perform initial, severe “V” shaped pruning on trees along any highway, expressway or freeway without approval from the District Landscape Specialist or District Landscape Architect. Do not perform severe “V” pruning on any tree along a state or federally designated scenic highway without approval from the District Landscape Architect.
6. Maintain previously “rounded over” trees consistent with past practices, unless Caltrans and the Electric Utility owner agree that the tree can be directionally pruned or have its crown restored without creating structural defects or growth that presents a liability.

III. CHEMICAL CONTROL:

1. Do not apply chemicals to trees located on scenic highways.
2. Upon approval by Caltrans to use chemicals, also obtain approval by the County Agricultural Commissioner.
3. Control resprouting tree species using integrated vegetation management program techniques, including chemical and non-chemical methods.
4. Prior to chemical application, obtain a pest control recommendation from a licensed Pest Control Advisor. Submit a copy of the recommendation to the Caltrans District Landscape Specialist or their designee.
5. Utility Companies must maintain a list of locations, chemical types, and quantities used for treatment in pruning operations. Provide this information upon expiration of your annual permit or upon request of the Department during the annual/biennial permit period.
6. Utility Companies must submit copies of MSDS sheets for all chemical compounds used in tree pruning operations along with their permit application.
7. Utility Companies must notify the District Encroachment Permits Office when they change or modify the chemicals used in their pruning operations.

I. GENERAL (Applies to BOTH Non-Utility and Utility Projects):

1. Scheduled removal work may be restricted by Caltrans to maintain mobility during special events, commuter traffic, or other periods of projected high traffic volumes.
 - a) Traffic control is generally authorized from 9 a.m. to 3 p.m., Monday through Friday, excluding holidays. Extended traffic control hours may be required by Caltrans.
 - b) Traffic control must conform to requirements shown in the State Standard Plans. When required, the use of a flashing arrow board is MANDATORY.
 - c) Suspend removal work during inclement weather, such as heavy fog, if lane or shoulder closures will be required. Do not perform removal work during periods of high wind to minimize the spread of debris into the traveled way.
2. Remove trees in compliance with the seasonal restrictions specified in the Migratory Bird Act.
3. Contractors must be licensed by the California State Contractors State License Board and hold a current C61/D49 license.
4. Remove debris, cuttings, and limbs from the State right-of-way at the end of each workday, leaving the work area in a safe and presentable condition. In regions where debris, cuttings, limbs and bark may harbor pests or disease (such as pine pitch canker, eucalyptus psyllid, eucalyptus borer beetles, Dutch elm disease, or sudden oak death) dispose the vegetative materials in accordance with Federal, State, and local agency requirements.
5. Permittee or their contractors may collect woodchips produced by removing trees located both inside and outside Caltrans right-of-way, and dispose of these woodchips by placing them in locations within Caltrans right-of-way, when approved in advance by Caltrans Maintenance. Woodchips must not create a fire hazard, encourage illegal dumping, block traveler sightlines, or obstruct drainage ditches or drain inlets.

II. NON-UTILITY TREE REMOVAL PROJECTS:

When a permit is issued for removal of a tree as an independent operation or as a part of other work, the entire stump must be taken out to a depth of at least 12-inches below the ground surface. All debris must be removed from the right of way. The hole left by the stump must be backfilled and thoroughly tamped and the site left in a safe presentable condition.

III. UTILITY TREE REMOVAL PROJECTS ONLY:

Removal of trees over sub-surface Gas lines:

After trees are removed, cut trunks flush with the ground, leaving no more than 2-inches exposed above the finished grade. If required by Caltrans, remove the stump to a depth of at least 12-inches, remove all debris from the hole, backfill with clean fill, and thoroughly compact the soil, leaving the area in a safe presentable condition.

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT - UNCASSED HIGH PRESSURE NATURAL GAS PIPELINE
SPECIAL PROVISIONS
TR-0158 (Rev 04/2018)

In accordance with the Department's Project Development Procedures Manual, all new high priority utilities and pressurized facilities are required to be encased on both conventional and access controlled highway rights-of-way.

Based on the Memorandum dated November 9, 1994, "Exception to Policy - Uncased High-pressure Natural Gas Pipelines", the Department may allow the installation of uncased natural gas pipeline crossings in specific circumstances. The Department's primary concerns are for public safety, the integrity of the highway facility and the mechanical protection of the pipeline itself, it is necessary to limit the number of requests for transverse natural gas transmission pipeline crossings without casings to locations where all of the following conditions are met:

UNG 1.

The pipeline owner agrees that the crossing will be designed for construction in accordance with the Code of Federal Regulations, Title 49, Part 192, and/or the California Public Utilities Commission General Orders No. 112-D with respect to natural gas pipelines. The crossing design shall be comprehensive in all respects including but not limited to" material specification, pipe wall thickness determination, coating selection, and cathodic protection. Soil conditions at each site shall be analyzed for characteristics that may prove harmful to the protective pipe coating. This analysis shall be used by the pipeline owner in selecting a protective pipe coating sufficient to withstand the potential for gouging or peeling during the boring and jacking operation, or other methods approved by Caltrans. The final condition of the coating will be determined by the pipeline owner through monitoring of the boring and jacking operation, visually inspecting the exiting initial pipe segment, and electrical testing by an engineer or technician with expertise in cathodic protection. The test data shall be noted on the as-built drawings. Remedial action will be taken if the condition of the coating is such that cathodic protection is not practical.

UNG 2.

The minimum depth of cover within State highway right of way, from the final ground line (finished grade or original ground) to the top of the proposed gas carrier pipeline, is 7.5'. If the location is such that it is not practical to achieve the above depth of cover, then an engineered protective cover (such as a reinforced concrete structure) may be provided outside of pavement areas in lieu of casing. At no time shall the minimum depth of cover be less than 42".

UNG 3.

The permit specifies that the uncased gas carrier pipeline shall, as a minimum, be designed for a Class 3 Location (Code of Federal Regulations referenced above) for hard surfaced roads, highways, public streets, and railroads. (See attached Excerpts from the Code of Federal Regulations, Design Factor to be used for Natural Gas Pipelines.)

UNG 4.

The existence of the crossing is adequately identified by signing at the right-of-way line, with at least one identifying sign, which is visible from the roadway in each direction of travel.

UNG 5.

The pipeline owner agrees to provide as-built drawings at completion of the pipeline crossing, with a letter certifying that the pipeline was installed properly and in accordance with the permit plans (including approved changes to the permit plans), and meets industry and regulatory standards for such installation.

UNG 6.

All other applicable requirements in Chapter 600 of the Encroachment Permits Manual are satisfied.

UNG 7.

All submittals requesting installations of such uncased natural gas pipeline crossings greater than 6" in diameter or with normal operating pressures greater than 60 psig and meeting all of the above requirements may be approved by the district. Any deviations from the above requirements require an encroachment policy exception.

EXCERPTS FROM CODE OF FEDERAL REGULATIONS

DESIGN FACTORS TO BE UTILIZED FOR NATURAL GAS PIPELINES

In the design of steel natural gas pipelines the Minimum Yield Strength for the grade of steel used is reduced by a Design Factor (F). This Design Factor is determined by the type of road being crossed by the pipeline and a Class Location established by Code of Federal Regulations, Title 49, Part 192 (Office of the Federal Register, 1990)

The Class Location depends on the occupancy of buildings or activities within an area that extends 660 feet from either side of the pipeline centerline for a continuous 1 mile segment of the pipeline. There are four Class Locations as follows:

- Class 1. A location that has 10 or less buildings intended for human occupancy.
- Class 2. A location that has more than 10 but less than 46 buildings intended for human occupancy.
- Class 3. a) Any location that has 46 or more buildings intended for human occupancy; or
b) Area where pipeline lies less than 300 feet of either a building or a small well defined outside area (such as a playground, recreation area, outdoor theater, or other place of public assembly) that is occupied by 20 or more persons on at least 5 days a week for 10 weeks in any 12-month period. (The days or weeks need not to be consecutive).
- Class 4. Location where buildings of four or more stories are prevalent.

The design factor used for a specific Class Location also depends on the kind of road involved as indicated on the following Table.

DESIGN FACTOR (F)

TYPE OF THOROUGHFARE	CLASS LOCATION			
	1	2	3	4
Privately owned roads	0.72	0.60	0.50	0.40
Unimproved public roads	0.60	0.60	0.50	0.40
Hard surfaced roads, highways public streets, and railroads	0.60	0.50	0.50	0.40

Example: A pipe made of X42 grade of steel which has a Minimum Yield Strength (MYS) of 42,000 psi used in a Class 4 location at a hard surface road crossing would be designed using a reduced Minimum Yield Strength, by applying a Design Factor of 0.4, of 16,800 psi.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT ANNUAL UTILITY PROVISIONS

TR – 0160 (Rev. 04/2018)

Any public utility or public corporation, who lawfully maintains a utility encroachment, or their agent, may perform routine or emergency maintenance on such facility in accordance with the following provisions:

UE1. EXCLUSIONS: These provisions do not authorize tree trimming, work on freeways, expressways, aerial capacity increases on designated "Scenic Highways," or other activities not specifically provided for in this permit.

UE2. DELETED. Provision left blank intentionally.*

UE3. DELETED. Provision left blank intentionally.*

UE4. DELETED. Provision left blank intentionally.*

UE5. EMERGENCY REPAIRS: The permittee may make emergency repairs, alter traffic flow, and excavate through improved surfaces only when breaks in the conduit, cable, or pipeline over or under the pavement presents a definite public hazard or serious interruption of essential services. In such cases, the Department's representative shall be notified immediately.

UE6. OPEN EXCAVATIONS: No excavation shall be left open after daylight hours unless specifically authorized and adequate protection for traffic is provided in accordance with the General Provisions, "Public Traffic Control." Backfill and pavement replacement shall be performed in accordance with General Provisions, "Restoration and Repairs in State Highway right-of-way."

UE7. TRAFFIC CONTROL HOURS: Work requiring traffic control shall be conducted between 9:00 AM and 3:00 PM or as otherwise authorized by the Department's representative.

UE8. WORK PERMITTED - AERIAL:

1. Install additional capacity (in the same location), except facilities over the traveled way, on designated "Scenic Highways," or on Structures.
2. Maintain, inspect, remove, repair or replace (in the same location) all aerial facilities except over the traveled way or on Structures. Work over the travelled way or on structures requires the placement of "H" poles and netting as per TR-0108, located in Appendix "E" of the Encroachment Permits Manual, under a separate permit.
3. Permittee is authorized to clear grasses from around base of poles and excavate around poles for inspection, including tamping and straightening.
4. Perform insulator washing and interconnect splicing of cables.
5. Install or remove service connections with potential to ground of 50 volts or less, except over the traveled way or on structures.
6. Install, maintain, remove, repair or replace aerial service connections with potential to ground of 50 volts or less, except over the traveled way or on structures, unless specifically stated in permit.
7. Installations and clearances shall be equal to those required by either the State of California Public Utilities Commission orders or the California Occupational Safety and Health Regulations (CAL-OSHA), Division of Industrial Safety, Safety Orders, promulgated in the California Code of Regulations, Title 8, Chapter 4, whichever is greater.

UE9. WORK PERMITTED - UNDERGROUND:

1. Maintain, inspect, remove, repair or replace (in the same location) all underground facilities except those requiring trenching in the traveled way.

2. Install additional capacity in existing ducts except for facilities not in compliance with the Department's High priority utility policies or on Structures.

3. Install air flow monitoring transducers and piping in existing ducts.

4. Barholing, potholing, cleaning, rodding and placing float ropes.

5. Adjust access cover to grade and replace in kind or with larger size pull boxes.

6. Interconnect splicing of cables.

7. Install service connections (laterals) perpendicular to the highway using Trenchless Technologies for the following:

a) Natural gas service lines less than 2 inches in pipe diameter that have normal operating pressures of 60 psig or less

b) Subsurface electrical service connections with a potential to ground of 50 volts or less

c) Service connections for water, sewer, telephone, telecommunication, and cable service

8. Permanent pavement patching for work authorized by this permit.

UE10. POLE MAINTENANCE & CHEMICAL TREATMENT:

1. Utility Companies are to provide a list of the pole identification, locations, type of chemicals and quantities used for their pole treatment maintenance operations. This information shall be provided upon expiration of their annual permit or upon request of the Department during the annual/biennial permit life as needed.
2. Utility Companies shall submit copies of the MSDS sheets for all chemical compounds to be used in their pole treatment maintenance operations, in conjunction with the permit application submittal.
3. Utility Companies are to notify the District Landscape Specialist or their designee and the District Encroachment Permits Office when there is any change or modification in the type(s) of chemical used in their pole treatment maintenance operations.
4. Prior to any application of Tree Growth Regulators (TGR) approval shall be obtained from the District Landscape Specialist or their designee, and the products used must be on the Caltrans approved chemical list.

UE11. DELETED. Provision left blank intentionally.*

*NOTE: Special Provision was deleted since it is already part of the EP General Provisions (TR-0045).

UTILITY LEASING SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provision is also applicable:

1. Leasing all or part of the longitudinal utility encroachment is prohibited. Encroachment includes but is not limited to: utilities, carrier pipes, casings, conduits, poles, etc.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT UTILITY MAINTENANCE PROVISIONS
TR – 0161 (Rev. 04/2018)

Any public utility or public corporation who lawfully maintains a utility encroachment, or their agent, may perform routine or emergency maintenance on such facility in accordance with the following provisions:

UM1. EXCLUSIONS: These provisions do not authorize tree trimming, work on freeways, expressways, or other activities not specifically provided for in this permit.

UM2. DELETED. Provision left blank intentionally.*

UM3. DELETED. Provision left blank intentionally.*

UM4. DELETED. Provision left blank intentionally.*

UM5. EMERGENCY REPAIRS: The permittee may make emergency repairs, alter traffic flow, and excavate through improved surfaces only when breaks in the conduit, cable or pipeline over or under the pavement present a definite public hazard or serious interruption of essential service. In such cases, the Department's representative shall be notified immediately.

UM6. OPEN EXCAVATIONS: No excavation shall be left open after daylight hours unless specifically authorized and adequate protection for traffic is provided in accordance with the General Provisions "Public Traffic Control".

Backfill and pavement replacement shall be performed in accordance with the applicable General Provisions (i.e., "Restoration and Repairs in State Highway rights-of-way").

UM7. SERVICE CONNECTION: These provisions do not authorize installation of conduit, cable, gas, or water service connections within State Highway rights-of-way, regardless of the location of the main, existing conduit, or cable. All new underground or pipe abandon services must be covered by individual permits. See Section "UM8-4" regarding service connections for aerial wires.

UM8. ROUTINE INSPECTION AND MAINTENANCE:

1. Routine Maintenance and Inspection:

Roadbed work shall be conducted between 9:00 AM and 3:00 PM, or as otherwise authorized, in writing, by the Department's representative.

2. Manholes:

The permittee may open existing manholes to repair underground cables. Where the manhole lies within the improved surface of the highway, the permittee will provide adequate protection for traffic in accordance with the General Provisions "Public Traffic Control".

3. Excavations:

Routine inspection and repair of pipeline and cables shall:

- A. Not be made in improved surfaces, landscaped areas or closer than 10' to the edge of the pavement without a special permit; and

- B. Not uncover more than 50' of line at any one time.

4. Pole Lines:

Permittee is authorized to:

- A. Stub, or reset existing pole, provided no change in location of pole or anchor is made. Stubs and anchors must not be placed between existing poles and the traveled way.
- B. Replace poles, guy poles, and crossarms in same location limited to two (2) consecutive poles. No additional poles or guys poles are authorized under this routine maintenance provision.
- C. Replace broken pins and/or insulators, repair broken wires, pull slack wires, and replace or pull broken or slack guys.
- D. Repair and complete transfer work on existing aerial cables.
- E. Install new and replace existing transformers on existing poles.
- F. Replace aerial wires and cross arms on existing poles except where wires cross the highway. Unless otherwise specifically required by the Department, protected cable, tree wire or plastic tree wire guard used for communication lines may be used through trees where necessary, provided the appearance of the tree or the tree itself will not be damaged. ***This section (F) does not apply to scenic highways.***
- G. Installations and clearances shall be equal to those required by either the California Public Utilities Commission Orders or the California Occupational Safety and Health (CAL-OSHA) Safety Orders, whichever is greater. ***Also see "OH 2" of the Overhead Utility Provisions.***
- H. Clear grass from around base of poles and excavate around poles for inspection, including tamping and straightening. The use of herbicides or other chemicals is not authorized by this permit. A separate encroachment permit must be applied for and issued for that purpose.

***NOTE: Special Provision was deleted since it is already part of the EP General Provisions (TR-0045).**

ENCROACHMENT PERMIT OVERHEAD UTILITY PROVISIONS

TR - 0162 (Rev. 12/2007)

OH1. LOCATION POLE LINES, ETC.:

Pole lines shall be located as specifically directed in the provisions of the permit.

OH2. INSTALLATIONS AND CLEARANCES:

Horizontal clearances, as measured from the edge of traveled way to the installation, shall be in accordance with the minimum desirable clear recovery zone for a conventional highway which is 20'. In no case is a pole allowed closer than 1.5' behind a curb face or less than 2' from the edge of a slope catch point or a driveway, or within a drainage ditch. New installations should adhere to setback limits or should be protected. Consideration should be given to placing such encroachments underground in shoulder or parking areas. Also, installations and clearances shall comply with applicable orders of the Public Utilities Commission of the State of California, or the California Occupational Safety and Health (CAL-OSHA) Safety Orders, whichever is greater.

OH3. PERMISSION FROM PROPERTY OWNERS:

When necessary, permission shall be secured from the abutting property owner(s) in written form by the permittee before starting work.

OH4. CLEARANCE OF TREES:

Unless otherwise specifically required by the Department, protected cables, tree wires or plastic tree wire guards used for communication lines may be used through trees where necessary, provided the installation and any necessary pruning does not damage or affect the appearance of the tree or the tree itself will not be damaged. This allowance does not apply to scenic highways.

OH5. GUY WIRES:

No guy wires are to be attached to trees except as may be specified in the permit and in no event

shall they be so attached as to girdle the tree or interfere with its growth. Guy wires shall be kept to a minimum elevation above ground as directed.

OH6. ANCHOR:

No anchor shall be placed closer to the traveled way than the pole itself.

OH7. REMOVE OLD POLES, GUY, and STUBS:

The entire length of poles and stubs shall be removed from the ground and the holes backfilled. Guy rods shall be removed to a minimum depth of 3' below original ground.

OH8. AERIAL CROSSING:

No work involving new or additions to existing aerial crossings shall be performed in rainy, foggy or inclement weather which creates hazardous conditions for highway users.

OH9. CLEARANCE FROM CURBS:

The face of poles shall not be placed closer than 1.5' from any curb face.

OH10. POLE INSTALLATION OR REMOVAL:

Where poles are to be installed or removed behind the curb in a parkway that is paved with Portland Cement Concrete, the concrete shall be saw cut, removed and replaced to the nearest score lines or expansion joints. The hole in the PCC sidewalk created by pole removal shall be temporarily backfilled with 2" minimum temporary AC at the time the pole is removed. Poles are not to be installed without prior approval of the final location by the Department's field representative.

OH11. CONTROLLED ACCESS R/W:

Poles, anchors, etc., shall not be installed inside of any controlled access right of way. All requests shall be packaged as "exceptions" to policy.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT UNDERGROUND UTILITY PROVISIONS
TR - 0163 (Rev. 04/2018)

High priority utilities, pressurized facilities, pipes or ducts 6" or larger in diameter, or placement of multiple pipes or ducts, regardless of diameters are required to be encased on both conventional and access controlled highway rights-of-way.

A "High Priority Utility" is defined as: 1) a natural gas pipeline greater than 6" in diameter, or with normal operating pressures greater than 60 psig, 2) petroleum pipelines, 3) pressurized sanitary sewer pipelines, 4) high-voltage electric supply lines, conductors, or cables that have a potential to ground of greater than or equal to 60 kV, or 5) hazardous materials pipelines that are potentially harmful to workers or the public if damaged.

An exception to this policy may be allowed on a case by case basis for the installation of Uncased High Pressure Natural Gas Pipelines when in compliance with the TR-0158 Special Provisions.

The pavement or roadway must not be open-cut unless specifically allowed under a separate "UT" permit. Utility installations must not be installed inside of culverts or drainage structures.

For additional details regarding longitudinal utility encroachments on both conventional and access controlled highway rights-of-way, see Chapter 600.

UG 1. CASINGS:

Casings must be steel conduit with a minimum inside diameter sufficiently larger than the outside diameter of the pipe or ducts to accommodate placement and removal. The casing can be either new or used steel pipe, or an approved connector system. Used pipe must be pre-approved by the Department's engineer or representative before installation.

When the method of Horizontal Directional Drilling (HDD) is used to place casing, the use of High Density Polyethylene Pipe (HDPE) as casing is acceptable.

Reinforced Concrete Pipe (RCP) in compliance of State Standard Specifications is an acceptable carrier for storm drain gravity flow or non-pressure flow. RCP when installed by Bore & Jack must have rubber gaskets at the joints, and holes for grouting of voids left by jacking operations, see "E" below.

- A. Minimum wall thickness for steel pipe casing for different lengths and diameters of pipes are as follows:

Minimum Wall Thickness		
Casing Pipe (Diameter)	Up to 150 ft (Length)	Over 150 ft (Length)
6" to 28"	1/4"	1/4"
30" to 38"	3/8"	1/2"
40" to 60"	1/2"	3/4"
62" to 72"	3/4"	3/4"

- B. Spiral welded casing is authorized provided the casing is new and the weld is smooth.
- C. The ends of the casing must be plugged with ungrouted bricks or other suitable material approved by the Department's representative.
- D. When required by the Department's representative, the permittee must at his expense, pressure grout the area between the pavement and the casing from within the casing in order to fill any voids caused by the work covered under this permit. The increments for grout holes inside the pipe must be 8' staggered and located 22-1/2 degrees from vertical axis of the casing. Pressure must not exceed 5 psig for a duration sufficient to fill all voids.

- E. There is a spacing requirement when placement of multiple encasements is requested. The distance between multiple encasements must be the greater of either 24" or twice that of the diameter of the larger pipe being installed.
- F. Casings placed within access controlled highway rights-of-way must extend to the right-of-way lines.
- G. Wing cutters, if used, must be a maximum of 1" larger than the casing. Voids caused by the use of wing cutters must be grouted in accordance with "E" above.
- H. A band welded to the leading edge of the casing must be placed square to the alignment. The band must not be placed on the bottom edge. Flaring the lead section on bores over 100' must not be permitted.
- I. All casing lengths must equal to the auger length.
- J. The casings within conventional highways must extend 5' beyond the back of curb or edge of pavement, or to the right of way line if less. Where PCC cross-gutter exists, the casing must extend at least 5' beyond the back of the cross-gutter, or to the right of way line if less.

Bore and receiving pits must:

- A. be located at least 10' or more from the edge of pavement on conventional highways in rural areas.
- B. be located 5' behind the concrete curb or AC dike on conventional highways in urban areas.
- C. be located 5' outside the toe of slope of embankment areas.
- D. be located outside access controlled highway rights-of-way.
- E. be adequately fenced and/or have a Type-K barrier placed around them.
- F. be adequately shored in accordance with Cal-OSHA requirements. Shoring for jacking and receiving pits located within 15' of traffic lanes on a State highway must not extend more than 36" above the pavement grade unless otherwise authorized by Department's representative. Reflectors must be affixed to the shoring on the sides facing traffic. A 6' chain link fence must be installed around the perimeter of the pits during non-working hours.

- G. have crushed-rock and sump areas to clear groundwater and water used to clean the casing. Where ground water is found and pumping is required, the pits must be lined with filter fabric.

UG 2. HORIZONTAL DIRECTIONAL DRILLING: Bore and receiving pits

When HDD is the approved method for pipe installation, drilling plans must contain information listed as follows:

1. Location of: entry and exit point, access pit, equipment, and pipe staging area.
2. Proposed drill path alignment (horizontal and vertical).
3. Location and clearances of all other facilities.
4. Depth of cover.
5. Soil analysis.*
6. Carrier pipe length, diameter, thickness, and material (HDPE/steel) and ream pipe diameter.
7. Detailed carrier pipe calculations confirming ability to withstand installation loads and long term operational loads including H2O.
8. Proposed drilling fluid composition, viscosity, and density (based on soils analysis).
9. Drilling fluid pumping capacity, pressures, and flow rates
10. State right-of-way lines, property, and utility right of way or easement lines.
11. Elevations.
12. Type of tracking method/system and accuracy used.
13. A detailed plan for monitoring ground surface movement (settlement or heave) resulting from the drilling operation.

- * May be waived by the District Permit Engineer for HDD jobs less than 6" in diameter and a traverse crossing less than 150'.

UG 3. LIMIT OF EXCAVATION:

No excavation is allowed within 10' from the edge of pavement except in curbed urban areas or as specified in the permit. Where no curb exists and excavations within 10' of the traveled way are to remain open, a temporary Type-K railing must be placed at a **10:1** taper or as otherwise directed by the Department.

UG 4. TUNNELING:

Review, requirements of Section **603.6A-6** of the Encroachment Permits Manual, if applicable. In addition to the requirements of "UG1" the following requirements apply:

- A. For the purpose of this provision, a tunnel is defined as any pipe, 30" or larger in diameter placed.
- B. When tunneling is authorized, the permittee must provide full-time inspection of tunneling operations. The Department's representative must monitor projects.
- C. A survey grid must be set and appropriately checked over the centerline of the pipe jacking or tunneling operation. Copies of the survey notes must be submitted to the Department's representative.
- D. Sand shields may be required as ground conditions change.
- E. The method used to check the grade and alignment must be approved by the Department's representative.
- F. Pressure grouting for liner plates, rib and spiling, or rib and lagging tunnels must be at every 8' section or at the end of work shift before the next section is excavated. All grouting must be completed at the end of each workday.

- G. A method for securing the headway at the end of each workday is required. Breastplates must be installed during working hours for running sand or super-saturated soil.

UG 5. CLEARANCE AND OFFSET REQUIREMENTS:

All installations must comply with Chapter 17, Article 4 of the Project Delivery Procedures Manual (PDPM) for utility clearance and offset requirements.

UG 6. FACILITIES EXEMPT FROM THE HIGH PRIORITY UTILITY REQUIREMENTS:

The following utilities (not including State owned utilities) are exempt from these policies and do not need to be plotted on the plans unless the depiction of the utility is needed for interconnectivity with the proposed work:

- Natural gas service lines less than 2 inches in pipe diameter that have normal operating pressures of 60 psig or less
- Subsurface electrical service connections with a potential to ground of 50 volts or less
- Service connections (laterals) for water, sewer, telephone, telecommunication, and cable service

All State owned utilities must be plotted on the plans.

UG 7. DETECTOR STRIP:

A continuous metallic detector strip must be provided with non-metallic main installations. Service connections must be installed at right angles to the centerline of the State highway where possible.

UG 8. BACKFILLING:

All backfilling must conform to the applicable sections of the Department's Standard Specifications. Ponding or jetting methods of backfilling are prohibited.

Any required compaction tests must be performed by a certified laboratory at no cost to the Department and the laboratory report furnished to the Department's representative.

UG 9. ROADWAY SURFACING AND BASE MATERIALS:

When the permit authorizes installation by the open cut method, surfacing and base materials and thickness thereof must be as specified in the permit.

Temporary repairs to pavements must be made and maintained upon completion of backfill until permanent repairs are made. Permanent repairs to pavements must be made within thirty (30) days of completion of backfill unless otherwise specified by the Department. Temporary pavement patches must be placed and maintained in a smooth riding plane free of humps and/or depressions.

UG 10. DAMAGE TO TREE ROOTS:

Tree roots 3" or larger in diameter will not be cut within the tree drip line when trenching or other underground work is necessary adjacent to roadside trees. If such roots are encountered, they must be tunneled under, wrapped in burlap and kept moist until the trench is backfilled. Trenching machines may not be used under trees if the trunk or limbs will be damaged by their use.

If the trees involved are close together and of such size that it is impractical to protect all roots over 3" in diameter, or when roots are less than 4" in diameter, outside tree drip line, special arrangements may be made whereby pruning of the tree tops to balance the root loss can be done by the permittee under the close supervision of the District Landscape Specialist or District Tree Maintenance Supervisor. Manholes must not be installed within 20' of any trunk.

UG 11. PIPES ALONG ROADWAY:

Pipes and conduits paralleling the pavement must be located as shown on the plans or located outside of pavement as close as possible to the right-of-way line.

UG 12. BORROW AND WASTE:

Borrow and waste will be allowed within the work limits only as specified in the permit.

UG 13. MARKERS:

The permittee must not place any markers that create a safety hazard for the traveling public or departmental employees.

UG 14. CATHODIC PROTECTION:

The permittee must perform stray current interference tests on underground utilities under cathodic protection. The permittee must notify the Department prior to the tests. The permittee must perform any necessary corrective measures and advise the Department.

UG 15. DELETED. Provision left blank intentionally

UG 16. INSTALLATION BY OPEN CUT METHOD:

When the permit authorizes installation by the open cut method no more than one lane of the highway pavement must be open-cut at any one time. Any exceptions must be in writing by the Department's representative. After the pipe is placed in the open section, the trench is to be backfilled in accordance with specifications, temporary repairs made to the surfacing and that portion opened to traffic before the pavement is cut for the next section.

If, at the end of the working day, backfilling operations have not been properly completed, steel plate bridging must be required to make the entire highway facility available to the traveling public in accordance with the "Steel Plate Bridging Special Provisions" (TR-0157)

UG 17. PAVEMENT REMOVAL:

PCC pavement to be removed must be saw cut at a minimum depth of 4" to provide a neat and straight pavement break along both sides of the trench. AC pavement must be saw cut to the full depth.

Where the edge of the trench is within 2' of existing curb and gutter or pavement edge, the asphalt concrete pavement between the trench and the curb or pavement edge must be removed.

UG 18. DELETED. Provision left blank intentionally.*

UG 19. SIDES OF OPEN-CUT TRENCHES:

Sides of open cut trenches in paved areas must be kept as nearly vertical as possible. Trenches must not be more the 2' wider than the outside diameter of the pipe to be laid therein, plus the necessary width to accommodate shoring.

UG 20. EXCAVATION UNDER FACILITIES:

Where it is necessary to excavate under existing curb and gutter, or underground facilities, the void must be backfilled with two (2) sack cement-sand slurry.

UG 21. PERMANENT REPAIRS TO PCC PAVEMENT:

Repairs to PCC pavement must be made of Portland Cement Concrete containing a minimum of 658 lbs. or 7 sack of cement per cubic yard. Replaced PCC pavement must equal existing pavement thickness. The concrete must be satisfactorily cured and protected from disturbance for not less than forty-eight (48) hours. Where necessary to open the area to traffic, no more than two (2%) percent by weight of calcium chloride may be added to the mix and the road opened to traffic after six (6) hours.

UG 22. REMOVAL OF PCC SIDEWALKS OR CURBS:

Concrete sidewalks or curbs must be saw cut to the nearest score marks and replaced equal in dimension to that removed with score marks matching existing sidewalk or curb.

UG 23. SPOILS:

No earth or construction materials are to be dragged or scraped across the highway pavement, and no excavated earth placed or allowed to remain at a location where it may be tracked onto the highway traveled way, or any public or private approach by the permittee's construction equipment, or by traffic entering or leaving the highway traveled way. Any excavated earth or mud so tracked onto the highway pavement or public or private approach must be immediately removed by the permittee.

*NOTE: Special Provision was deleted since it is already part of the EP General Provisions (TR-0045)

VIBRIO GENERATING EQUIPMENT (GV) SPECIAL PROVISIONS

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable.

1. Equipment shall not be operated on any pavement or other paved surface.
2. Equipment shall not be operated within access-controlled rights of way.
3. Equipment shall be placed and operated as close to the right of way line as possible.
4. Equipment shall be operated so that no damage will occur to trees, plants, wells, culverts, headwalls, structures or other improvements.
5. This permit does not authorize the shear wave method.
6. Equipment shall not be parked on or operated on the traveled way except for normal legal travel.
7. Personnel working within the State right of way shall wear hard hats and orange jackets, shirts or vests.
8. All mud, dirt or gravel tracked onto the highway pavement shall be immediately and completely removed.
9. Dirt areas within the State right of way disturbed by Geophysical testing operations shall be graded back to its original shape and grade.