

CHAPTER 5

Encroachment Permits

Overview

This chapter sets forth the policy and procedures to be followed for issuing encroachment permits related to Street Use, Excavations, Driveways and Traffic Control Permits.

The Division logs and tracks these permits as encroachment permits, and is responsible for their issuance, inspection of the improvements, and for monitoring the warranty provisions. The guidelines outlined define the roles and responsibilities of various staff involved in the issuance and processing of encroachment permits. The following topics are covered:

- Processing Permits
- Inspection, Enforcement and Warranty
- Encroachment Permit Billing and Accounting

It is the Division's intent to ensure that encroachment permits are issued promptly, the work is completed in accordance with all applicable regulations and City Standards, and all requirements of the construction warranty are met.

SECTION 5-1 Processing Permits

PURPOSE

This section establishes policies and procedures for processing permits related to street use, excavations, driveways, and all other work to be undertaken within the street right of way.

DEFINITIONS / ABBREVIATIONS

EPG	Encroachment Permit Group
DOU	Department of Utilities
DSD	Development Services Department
RCI.....	Resident Construction Inspector
SCI.....	Supervising Construction Inspector
Applicant	Individual requesting an encroachment permit. The applicant must be the owner of the facility being constructed, or the developer responsible for constructing any public facility.
Special Provisions	Specific requirements supplementary to the permit drawings and the City Standard Specifications.

For additional abbreviations, please see the Abbreviations section at the end of this Manual.

POLICY

An encroachment permit is required to perform work within the public right-of-way or to use portions of a street for exclusive purposes per the City Code. Special provisions are included with encroachment permits to provide for public health, safety, and welfare; and to minimize public inconvenience.

Engineered drawings are required for all encroachment permits which will construct new improvements to pre-approved lines and grades. All engineered drawings are to conform to standards contained in the City's Design and Procedures Manual and are to be signed and stamped by a registered engineer.

With the exception of the DOU of the City of Sacramento, all other entities are required to obtain an encroachment permit when working in the City right-of-way. DOU must obtain an approved traffic control plan from DOT prior to beginning work.

AUTHORITY

The RCIs within the EPG have the delegated authority to prepare special provisions and to issue encroachment permits. The SCI overseeing the EPG has the delegated authority to determine whether engineered drawings are required to process a permit.

The staff in DSD has the authority to approve engineered drawings for encroachment permits. All other approvals associated with the issuance of encroachment permits are under the authority of the EPG.

RESPONSIBILITIES

Resident Construction Inspector

The EPG RCI is responsible for processing the permit application (See Attachment 1), reviewing site conditions, calculating trench cut fees, processing traffic control plans, establishing special provisions, and signing and issuing encroachment permits.

The EPG RCI has the responsibility to monitor the expenditure of inspection fees for each encroachment permit and request additional fees, if necessary, from DSD prior to 80% of project completion.

Supervising Construction Inspector

The SCI overseeing the EPG is responsible for overseeing the issuance of permits and the site specific requirements, determining when engineered drawings are required, updating and maintaining standard Special Provisions to be included with all permits, and forwarding all encroachment permits to the Right of Way Manager.

Right of Way Manager

The Right of Way Manager is responsible for reviewing all encroachment permits and for coordinating and resolving any issues between multiple projects.

Development Services Department

DSD staff has the responsibility to review and approve all engineered drawings required for encroachment permits. If the need for engineered drawings is unclear, DSD is to coordinate with the SCI for a final determination.

DSD staff has the responsibility to estimate the proper fees to be paid by the applicant for full cost recovery, and to collect additional fees if requested by the RCI when sufficient funds have not been collected.

PERMIT PROCESS FOR PROJECTS REQUIRING ENGINEERED DRAWINGS

If the SCI receives a permit application which in his/her opinion requires engineered drawings, the SCI will return the permit application to the applicant, and request that the applicant resubmit to the DSD.

The DSD will review the application, plan check the permit to ensure that the improvements are designed to City standards, and forward the permit to Construction Services for issuance. DSD will also collect an engineering fee, trench cut fee, and inspection fee from the applicant before the permit is forwarded. DSD will coordinate with DOT to ensure that the inspection fee is adequate as provided for in the City Code.

The RCI will log and review the application, review site conditions, request a traffic control plan, and issue the permit with special provisions. If the RCI has any concerns or is unsure of the appropriate site specific Special Conditions, the RCI requests the SCI to review the encroachment permit prior to issuance. DOT will also verify that the inspection fees are adequate and request additional fees, if necessary.

PERMIT PROCESS FOR PROJECTS NOT REQUIRING ENGINEERED DRAWINGS

The applicant is to submit a completed encroachment permit form to DOT. Examples of projects not requiring engineered drawings are access to manholes, telephone pole replacements, minor sidewalk replacement, and lane closures. The RCI is to log and review the application, determine site conditions, request a traffic control plan, and issue the permit with special provisions. If the RCI has any concerns or is unsure of the appropriate site specific Special Conditions, the RCI requests the SCI to review the encroachment permit prior to issuance. The RCI will collect the inspection fees as provided for in the City Code.

STANDARD SPECIAL PROVISIONS

Standard Special Provisions are conditions that include general notes on plans, City Code requirements, or revised standards. Standards Special Provisions are to be included with the signed permit. Standard Special Provisions must be updated on a regular basis to include best management practices which provide for public health, safety, and welfare; and minimize public inconvenience.

SITE SPECIFIC SPECIAL PROVISIONS

The RCI reviews the project site, the operations necessary to complete the work, location of businesses and residences, available parking, vehicular and pedestrian traffic, other work being performed in the area, proximity to historical buildings, archeological concerns, ADA compliance, and other issues that may create a need for site specific Special Provisions. All site specific Special Provisions are to be included in the permit.

PERMIT ISSUANCE

When the permit is ready to be issued, the RCI is to contact the contractor and inform him/her of the process to activate the permit, and confirm the anticipated start date. The contractor has 60 days to contact the Construction Section of DOT and begin work. Failure to do so will result in the cancellation of the permit and loss of the application fee.

The contractor activates the permit by calling the Construction Section of DOT with a request to start work. If a traffic control plan is required, the contractor is to provide at least one (1) week for processing his/her schedule to start

work. The SCI provides the schedule information to the Right of Way Manager at the weekly Right of Way Management Meeting to coordinate the work. The coordination effort consists of representatives from DOT and DOU, and information provided by Downtown Department, Economic Development, Neighborhood Services, and the Special Events Coordinator from the City Manager's Office. The information is shared with the representatives to ensure that work, special events and exclusive uses of the right of way do not conflict, causing public inconvenience or disruptions.

If the start date is approved by the Right of Way Manager, the SCI is to contact the applicant to return the approved permit and traffic control plan which indicates the start date and working times.

IMMEDIATE ISSUANCE OF PERMITS

Certain circumstances may require DOT to issue a permit immediately upon review and approval. If the applicant requests immediate issuance, the SCI is to review the circumstances and determine if the permit should be expedited. The SCI is to discuss the matter with the Right of Way Manager (outside of Downtown) or Supervising Engineer (Downtown) prior to issuing the permit to ensure minimal public inconvenience or disturbance.

ATTACHMENT

Attachment 1: Encroachment Permit Application

ATTACHMENT 1

Encroachment Permit Application

CITY OF SACRAMENTO PUBLIC WORKS DEPARTMENT
APPLICATION FOR ENCROACHMENT/EXCAVATION
Encroachment & Construction Inspection Help Desk (916) 808-6810 FAX: (916) 808-7903

APPLICANT: _____ PHONE: () _____
ADDRESS: _____ ZIP _____

APPLICATION IS HEREBY MADE FOR AN ENCROACHMENT PERMIT TO PERFORM THE FOLLOWING:

1. APPLICANT'S WORK ORDER JOB NUMBER _____

2. LOCATION OF WORK: _____ between _____
Name of Road Cross Road or Address

3. GENERAL DESCRIPTION OF WORK TO BE DONE:

(a) Excavations: _____ width _____ depth _____ length _____ surface material

(b) Conduit: _____ (type: pvc, metal etc.) _____ diameter _____ (conveying: water, gas, etc)

(c) Other: _____ (sidewalk, sign, driveway, etc,) _____ description

4. Estimated start date: _____ Days for completion _____

5. Person familiar with details:
Name: _____ Phone No. _____

6. Applicant's inspector, contractor, foreman or supervisor as appropriate:
Name: _____ Phone No. _____

Signed: _____ Date: _____

APPLICANT CHECK LIST:

- ✓ THREE COPIES OF THE SITE PLAN.
- ✓ THREE COPIES OF THE TRAFFIC CONTROL PLAN.
- ✓ PEDESTRIAN RIGHT OF WAY IS ADDRESSED ON THE TRAFFIC CONTROL PLAN.
- ✓ DESCRIPTION OR SCHEDULE OF WORK TO BE PERFORMED. DAY, WEEK OR SHIFT. (PROGRESS WILL BE MONITORED, REVIEWED AND APPROVED ON A WEEKLY BASIS).

APPLICATIONS WILL BE KEPT ON FILE A MAXIMUM OF 60 DAYS. YOU MUST ACTIVATE YOUR APPLICATION BY CALLING THE ENCROACHMENT & CONSTRUCTION INSPECTION HELP DESK AT 808-6810, A MINIMUM OF ONE WEEK PRIOR TO THE START OF WORK. ALL REQUESTS FOR ACTIVATION RECEIVED BY MONDAY WILL BE REVIEWED WEDNESDAY OF EACH WEEK. UPON APPROVAL, WORK MAY BEGIN AS EARLY AS SATURDAY. THE CONTACT PERSON FOR THIS PROJECT WILL BE NOTIFIED BY PHONE.

DEVELOPMENT USE ONLY

PERMIT FEE ORDINANCE #83070	FILE NUMBER	IMPROVEMENT SECURITY	ENGINEER
\$ _____		\$ _____	

APPLICANTS COPY OF GENERAL CONDITIONS

All work is subject to the requirements of Sections 12.12.010 through 12.12.170 of the City Code of the City. Particular attention is directed to the following:

PERMIT – REQUIRED. It shall be unlawful for any person to make or cause to be made any excavation in or under the surface of any public street, alley, sidewalk or any other public place for the installation, repair or removal of any pipe, conduit, duct, tunnel, power pole, or for any other purpose without first obtaining from the city engineer an excavation permit in compliance with this article.

REQUIREMENTS. Before issuing an excavating permit, the city engineer shall require:

(a) A written application for such permit, upon a form to be furnished by the city engineer, to be made and filed with the city engineer, wherein the applicant shall set forth the following.

1. the name and residence or business address of the person making such application;
2. the location and approximate area of the excavation; and,
3. the purpose of the excavation.

The applicant shall attach to the application form a plan showing the location of the proposed excavation, the dimensions thereof, and such other details as the city engineer may require to be shown upon such plan.

At the time the permit is issued, a nonrefundable fee in an amount established by resolution of the city council shall be paid, provided, however, that in any case where the city engineer determines the fee to be inappropriate based on the amount of work to be done to process the application, or for other good cause shown, the city engineer may waive the fee, in whole or part. No fees shall be charged for excavation permits for power poles.

Notwithstanding the foregoing, excavation by legally authorized utilities for service connections or for the location of trouble in conduits or pipes shall be according to the paragraph below titled "Blanket Permits".

ISSUANCE.

(a) Upon receiving a written application for an excavation permit and a plan, the city engineer shall set forth all requirements, approve or disapprove the application, sign and return it to the applicant. Excepting only excavations described below as Emergency Excavations or authorized under Blanket Permits, one (1) day prior to start of the work, the applicant shall telephone the division and request a permit number, informing the City the date the work will commence. A permit number shall then be assigned to the job and a permit shall be sent to the applicant.

(b) No permit shall be transferable and shall be void unless the excavation to be made pursuant thereto is commenced within ten (10) days from the date of its issuance and the work diligently completed.

(c) Each permit shall state a time when all the work to be done thereunder shall be completed. The city engineer may grant extensions of time, provided satisfactory reasons thereof are presented by the applicant.

COMPLIANCE WITH SAFETY REGULATIONS. The applicant shall be responsible to comply with all current federal and state safety regulations.

EXCAVATIONS NOT IN ACCORDANCE WITH PERMIT DECLARED UNLAWFUL.

(a) It shall be unlawful for any person to make, cause or permit to be made, any excavation, or to install, cause or permit to be installed any tank, pipe, conduit, duct, tunnel, power pole, or other utility or appliance in or under the surface of any public street, alley, sidewalk or other public place, at any location, other than that described in the application for the excavation permit and as shown on the plans filed with the city engineer by such persons, and in accordance with the requirements of the permit. If the circumstance appearing after the excavation is commenced make it impossible to comply with the permit, the city engineer may grant a waiver to take such circumstances into account.

(b) Failure to comply with requirements set forth by the city engineer on any permit shall be cause for revocation of said permit until such time as violations have been corrected or substitutes have been approved by the city engineer.

OPENING AND BACKFILLING TRENCHES.

(a) No trench shall be opened in any street for the purpose of laying pipes, conduits or ducts more than four hundred (400) feet in advance of the pipe, conduit or ducts being placed in the trench, except in the case of emergency, and only after the consent of the city engineer has been obtained.

(b) All trenches shall be backfilled to meet city standards for compaction, and the old torn up pavements and other rubble shall be removed, together with any surplus excavated material, within three (3) working days from the time such material is placed upon the street. After backfilling is completed, and prior to repaving the cut, the contractor or permittee shall remove all loose paving material and trim the edges of the excavation at the street surface to the satisfaction of the engineer.

(c) Whenever any caving occurs in the sidewalls of any excavation, the pavement above such caving shall be cut away. In no case shall any void under a pavement be filled by any side or lateral tamping.

CLEARING UP STREETS. In every case and at all times, the work of removing from the streets all obstructions, surplus materials, debris and waste matter of every description caused by and accumulated from the excavation shall be the responsibility of the permittee.

REPAIR OF SUNKEN PAVEMENT OVER EXCAVATION. In case the pavement or the surface of the street over any excavation should become depressed or broken at any

1. Unless otherwise indicated, working hours are 8:30 a.m. to 4:00 p.m. Mon. – Fri.

time within two (2) years after the work has been completed, natural wear of the surface expected, the person who made the excavation shall upon written notice from the city engineer, immediately proceed to inspect the depressed or broken area to ascertain the cause of the failure. The contractor or permittee shall make repairs to the installation or backfill and have the pavement restored as specified by the city engineer. In case such pavement is not completely restored within ten (10) days after such notice has been given, and unless delayed by a strike or condition beyond control, the city engineer shall then cause the work to be done at the expense of the delinquent person after giving such person twenty-four (24) hours final notice. In such case, the city shall be responsible for any future repairs of that portion of such street repaired by city forces.

FAILURE TO COMPLETE WORK WITHIN SPECIFIED TIME. In case any part of the work referred to in this article is not completed within the time required except by reason of legal holidays or delays caused by strikes, or unless the city engineer shall notify in writing the person doing the work to complete the same within forty-eight (48) hours after such notice has been mailed or served, the city engineer shall have full power to do such work, or may contract for the performance of such work as will restore the work area to a safe and passable condition until such time as the work can be completed. The cost thereof shall be assessed against the delinquent person or permittee.

EXCAVATIONS, ETC., TO BE UNDER SUPERVISION OF THE CITY ENGINEER. Any person engaged in making or backfilling any excavation in any public street, alley, sidewalk or other public place, shall at all times while such work is in progress keep at the job locations, the original permit or a copy thereof, and must, on demand, exhibit the same to the city engineer, his authorized representative or any police officer. Such person shall also maintain at such job location, a sign, barricade, or other device bearing his name.

EMERGENCY EXCAVATIONS. Nothing in this article shall be construed to prevent any person maintaining any pipe, conduit, or duct in or under any street, alley sidewalk, or other public place by virtue of any law, ordinance or permit, from making such excavation as may be necessary for the preservation of life or property when the necessity arises, provided that the person making such excavation shall notify the city street maintenance division within one (1) day after the offices of the city are first opened subsequent to such excavation.

BLANKET PERMITS. The city engineer may issue blanket permits for any utility to make excavations for service connections, for the location of trouble in conduits or pipes, for making repairs thereto, or for emergency purposes. Blanket permits shall be issued on a yearly basis only, and will authorize excavation only as stated above. Blanket permits shall not be issued for new installations or facilities.

LIABILITY OF CITY. Neither the City nor any officer or employee thereof shall be held responsible for any damages caused by any excavations made in any street, alley, sidewalk or other public place made by any person under the authority of a permit issued pursuant to the provisions of this article. The person acting pursuant to such permit shall be solely liable for any damage or loss occasioned by any act or neglect in respect to such excavation.

ADDITIONAL REQUIREMENTS FOR CABLE TV FRANCHISEE, PRIVATE PARTIES AND NON-PUBLIC UTILITIES.

(a) Cable TV franchisee shall construct facilities in accordance with the Cable System Construction Guidelines which have been approved by the Cable TV Commission and shall be responsible for pavement restoration unless otherwise specified in the permit.

(b) Authorized installations shall, upon demand of the Director of Public Works, be immediately relocated or lowered to avoid potential conflicts. All expenses incurred in relocating, lowering lines, potholing or marking of facilities to determine their exact location after the original installation shall be paid for by the permittee. In case any part of the work referred to in this article is not completed within a time acceptable to the City, the Director of Public Works shall have full power to do such work or may contract for the performance of such work and the cost thereof shall be assessed against the permittee.

(c) Upon completion of underground or surface work and at the discretion of the Director of Public Works, permittee shall furnish as built plans of the installation showing a correct plan view to scale, details and profile showing the locations of all elements based on data obtained in the field during construction.

(d) Permittee shall take out, pay for and maintain during the period in which this permit is in effect, a policy of public liability and property damage insurance protecting himself, his agents and employees against the liability or injury or death sustained or suffered by the public or damage to the property of the public by reason of the work carried on under this permit or the encroachment maintained hereunder. Public liability insurance shall be for the limits of at least \$300,000 for the injuries to one and \$500,000 for injury to more than one person and property damage limits shall be for the sum of \$100,000. The insurance shall be placed with a company satisfactory to the Risk Management Division, prior to the date that work under this permit is commenced. Said policy or policies of insurance shall name the grantor, its officers and employees as additional named insureds and shall contain an endorsement precluding cancellation or reduction in coverage without giving the Risk Management Division at least ten (10) days' notice prior thereto.

(e) If required on the face thereof, the permit shall not be effective for any purpose unless and until the permittee files with the Risk Management Division or granted a corporate surety bond in the amount specified on the face thereof, said bond to fully assure the performance by permittee of all obligations imposed upon permittee under the provisions of the permit.

2. All work shall conform to the standard specifications for public works construction unless otherwise noted

CITY OF SACRAMENTO
HUMAN RESOURCES DEPARTMENT
R I S K M A N A G E M E N T



REQUIREMENTS FOR CERTIFICATES OF INSURANCE

- 1) The City of Sacramento requires all certificates of insurance to be submitted on a standard Acord form or on the insurance company's letterhead. The City does not accept declaration pages. The named additional insured endorsement signed by an authorized representative of the insurance carrier must accompany the certificate of insurance.
- 2) The Insurance Company must either be licensed to do business in the State of California or have a Best Guide Rating of A-VII or better.
- 3) The City of Sacramento must be listed as the certificate holder as well as an additional insured with respects to General Liability and Automobile Liability.. For example, "The City of Sacramento, its officials, agents, employees & volunteers".
- 4) The City of Sacramento does not accept California Assigned Risk until it is accepted by a valid insurance company which meets the requirements in number (1) above, and is on a standardized Certificate of Insurance form with a valid policy number.
- 5) For all auto liability insurance, the following information must be listed on the certificate of insurance:

Taxi Cabs: Cab number(s), the VIN or vehicle identification number(s) and a vehicle description.

Mobile Vendors: VIN or vehicle identification number(s) and a vehicle description.

Private Refuse: VIN or vehicle identification number(s) and a vehicle description.

Tow Trucks: VIN or vehicle identification number(s) and a vehicle description.

- 6) The City of Sacramento requires a valid policy number to be provided by an insurance company that meets the requirements listed above. The City does not accept “binder numbers”, “pending”, “TBD”, “to follow”, “to be announced”.
- 7) The City of Sacramento requires a 30-Day written notice of cancellation to be designated on the certificate of insurance.
- 8) The Certificate of Insurance must be signed by a legitimate agent.
- 9) The issue date must be provided on the Certificate of Insurance as well as the policy’s effective and expiration dates.
- 10) The amount of insurance must meet the minimum requirements as set forth in the applicable City Code.
- 11) The business or company name must be listed as well as the insured’s name. (For example, Doing Business As or DBA may be used).

If you have any questions on the above, please contact the Risk Management Office at (916) 808-5556.

SECTION 5-2

Inspection, Enforcement and Warranty

PURPOSE

This section defines roles and responsibilities for the inspection of encroachment permits, the enforcement procedures for violations, and the process for warranty inspections.

DEFINITIONS / ABBREVIATIONS

RCI.....Resident Construction Inspector

For additional abbreviations, please see the Abbreviations section at the end of this Manual.

POLICY

The inspection of encroachment permits is to be in accordance with the permit conditions, Special Provisions, engineered drawings, and City Standard Specifications. Encroachment permits are required for persons to perform work in the right of way as required by Title 12 of the City Code. DOT is to enforce these requirements accordingly. Any public improvements constructed under an encroachment permit are to be inspected by DOT staff and its consultants for defective materials and workmanship prior to the expiration of the one year warranty period.

AUTHORITY

The RCIs within the Encroachment Permit Work Group have the authority to inspect and enforce permit conditions, accept the work upon completion, and perform warranty inspections.

RESPONSIBILITIES

Resident Construction Inspector

The RCI is responsible for ensuring that the contractor has a valid permit, the contractor complies with the permit conditions, and has an approved traffic control plan prior to starting work. The RCI is also responsible for warranty inspections within 10 months of acceptance.

Supervising Construction Inspector

The Supervising Construction Inspector is responsible for overseeing the inspection and enforcement of encroachment permits, the warranty inspection process, and the correction of any defective materials or workmanship.

INSPECTION PRACTICES

Encroachment permits are typically issued for smaller projects with shorter duration. The construction standards for encroachment permits are the same as those for CIP and private development projects.

The RCI is to have working knowledge of, and is to apply the construction inspection practices, standards, and guidelines of the Construction Training Manual.

The inspector is responsible for knowing the permit conditions, specifically the special provisions, and being familiar with the construction of a variety of public and private facilities including power poles, overhead lines, telecommunication cabinets, and cable television boxes and electrical vaults.

AUTHORIZATION TO PROCEED

The RCI is to meet with the contractor on site to deliver the permit with the approved traffic control plan (if traffic control is required). The RCI is to review the permit conditions, special provisions, traffic control plans and work schedule with the contractor. The RCI and contractor are to discuss the permit conditions and determine if there are any unresolved issues that need to be addressed before work begins. The issuance of the permit constitutes the authorization to proceed to the contractor.

ENFORCEMENT

All RCIs are responsible for enforcing the encroachment permit conditions and the requirements of the City Code.

All contractors are to have a copy of the Encroachment Permit and Construction Traffic Control Plan on hand at the work site. If the contractor is not able to produce the permit, the RCI is to contact the Supervising Construction Inspector who will then investigate and determine whether the contractor is authorized to perform work at that location.

If the contractor is working without a permit and/or a traffic control plan, the Supervising Construction Inspector is to evaluate the situation and proceed in the City's best interests. This may include stopping the work and restoring the site to its original condition; securing the site and postponing the work; or, proceeding with certain conditions. For work in the public right-of-way without an approved

Traffic Control Plan, an Administrative Penalty may need to be issued to the contractor (See Section 6-3).

In determining the direction to be given, the Supervising Construction Inspector must assess the potential liabilities of both the City and contractor, and direct the contractor accordingly. In most cases, the Supervising Construction Inspector is to direct the contractor to stop work and restore the site to its original condition.

WARRANTY INSPECTIONS

Warranty inspections are required in order to ensure that newly constructed public improvements continue to meet City construction standards related to materials and workmanship for at least one year after acceptance of the work. If a defect in materials or workmanship is found within the warranty period, RCI staff is to notify the Supervising Construction Inspector to cause the defect to be repaired under the warranty.

Pursuant to City Code, the permittee has responsibility to warranty trench cuts beyond the normal one year warranty period, until the time the street is resurfaced or reconstructed.

It is preferred that the RCI who inspected the work covered under a permit also perform the warranty inspection. A warranty inspection list is generated monthly by the Encroachment Permit Group.

SECTION 5-3

Encroachment Permit Billing and Accounting

PURPOSE

This section sets forth guidelines related to encroachment permit billing and accounting practices to ensure full reimbursement of inspection costs.

DEFINITIONS / ABBREVIATIONS

- DOTDepartment of Transportation
- DSDDevelopment Services
Department
- EPGEncroachment Permit Group
- RCI.....Resident Construction Inspector
within the Encroachment Permit
Work Group issuing the
encroachment permit.
- PMThe Project Manager within the
DSD work group reviewing the
permit application, establishing
and collecting the permit fees.
- CIP Number ...A number assigned to an
encroachment permit project
used to capture time and costs
to be reimbursed.
- Job Number ...A number assigned to an
encroachment permit project
used to track time and costs to
be reimbursed at a later date.
Used when a CIP number has
not been assigned.

*For additional abbreviations, please see the
Abbreviations section at the end of this Manual.*

POLICY

The cost of construction inspection services provided by DOT related to encroachment permits is to be fully reimbursed to the extent provided for in the City Code.

AUTHORITY

The PM has the authority to determine and collect the fees for inspection services related to encroachment permits. The PM also has the authority to set up a CIP number using DSD funds and to authorize direct billing.

RESPONSIBILITIES

Development Services Department

DSD provides engineering review, billing, and accounting for encroachment permits requested by developers, public utilities and outside agencies. Permits requiring engineering drawings are approved by DSD. DSD is also responsible for determining and collecting fees.

Department of Transportation

- Provides inspection for privately constructed infrastructure in the public right of way and within utility easements dedicated to the City for use by public utility companies.
- Monitors the cost of inspection and administration services to ensure that it is within the fee amounts collected. In cases where the costs of services will exceed the original fee deposit, the DOT inspector is responsible for requesting

the additional fee needed from DSD in a timely manner.

- Monitors the cost of inspection and administrative services on billable (revolving) accounts, such as utility company accounts, to ensure that charges are reasonable and appropriate for the services provided.

Supervising Construction Inspector

- Ensures that all supporting documentation hours billed, i.e. time cards, permit numbers, and daily inspection reports, is provided to utility companies and outside agencies as requested.
- Assists the DSD PM in determining the fee to be collected as requested.

Resident Construction Inspector

Reviews the inspection fee budget to ensure that it is adequate for the services to be provided.

Project Manager

Oversees encroachment permits that require engineering, collects the inspection fees, and sets up a billable account.

Supervising Engineer

Contracts with consultant inspectors, and reviews and approves the payment of consultant invoices. The SE forwards the approved invoice to the DSD Account Clerk for payment.

DSD Account Clerk

The Account Clerk in DSD is responsible for processing the consultant invoices for Billable Encroachment Permits.

BILLABLE ACCOUNTS

Projects using Billable Accounts are set up in advance, assigned a CIP number and invoiced monthly by the DSD Account Clerk.

Public utility companies and other outside agencies may enter into agreements to provide for the reimbursement of plan check and inspection costs through a billable account. If a utility company requests a billable account and the PM determines that a billable account is in the best interest of the City, the PM is to request a CIP number (See Attachment 1 - Development Fund CIP Numbers). The CIP number is then included with the approved permit application and delivered to the EPG for issuance. DSD is responsible for billing the public utility companies or outside agencies on a regular basis to ensure that invoices are paid.

The DSD Account Clerk is to transfer consultant charges for each permit number the consultant worked on to a CIP invoice for the utility company or agency being billed. If an agency is behind on its payments to DSD, the DSD Account Clerk is to inform the Supervising Construction Inspector within the EPG to contact the utility or agency to request payment before inspecting further work.

REIMBURSEMENT OF CITY COSTS FOR NON-BILLABLE ACCOUNTS (P701 AND P703)

Projects using Non-Billable Accounts are set up when a deposit is made up front and the City bills against the account. A CIP number is assigned.

The PM is to determine the deposit or fee pursuant to City Council Resolution and City Code, collect the fees, and deposit them into either P701 (Driveway Permits) or P703 Miscellaneous Permits.) The RCI is to review the encroachment permit to determine if the fees collected are sufficient to reimburse DOT for inspection costs. If the fees are not sufficient, the RCI is to discuss the expected costs with the PM and request additional funds.

The Supervising Construction Inspector overseeing the EPG is to provide the number of hours available for inspection to the RCI assigned to the permit. The RCI should make a reasonable effort to work within the hours specified and inform the Supervising Construction Inspector if more hours are needed.

The DSD Account Clerk is to break down consultant invoices and transfer charges to P701 and P703 to pay the invoices. The Supervising Construction Inspector within the EPG is to monitor these Development Fund CIP numbers to ensure adequate funds are available to reimburse DOT for inspection costs.

**DRIVEWAY PERMITS AND
MISCELLANEOUS ENCROACHMENT
PERMITS (JN:7358 & JN:7359)**

City Code provides a set fee for driveway permits and miscellaneous encroachment permits. These funds are deposited into CIP P701 (driveway permits) and P703 (miscellaneous permits). The set fees do not

provide adequate funding to reimburse inspection costs, so these permits are inspected by City staff whenever possible to minimize costs.

Consultant inspectors are to charge to the Development CIP numbers and City RCIs are to charge to job numbers 7358 for driveway permits and 7359 for miscellaneous permits. At mid-year and end-year budgets, the DSD Account Clerk is to transfer available funds from P701 and P703 to reimburse DOT for staff costs.

ATTACHMENT

Attachment 1: Development Fund CIP Numbers

Development Fund CIP Numbers

<u>CIP</u>	<u>PROJECT NAME</u>	<u>BLANKET PERMIT #</u>	<u>BALANCE</u>
P006	MCI Communications	2006018	-1,534.16
P007	Frontier Communications	2006006	160.71
P008	Electric Lightwave	2006001	-6,588.10
P009	Pacific Bell	2006002	-30,333.02
P010	PG&E	2006003	-29,477.65
P011	Comcast / AT&T	2006010	-1,951.18
P012	SMUD	2006008	-16,576.69
A002	ICG		0.00
P287	Qwest Media	2006012	5,477.74
P446	XO Communications	2006013	966.13
P452	Williams / Wiltel Communication	2006007	4,136.14
P530	TCG	2006016	4,463.70
P701	Driveway (JN: 7359)		3,487.45
P703	Miscellaneous		28,570.75
A004	Surewest	2006004	-11,074.25
A031	County Sanitation District 1	2006015	-2,662.26
A032	Level 3 Communications	2006606	-337.37
A033	360 Networks	2006009	0
A566	Time Warner Telecom	2006901	0
P411	RT - Southline		-4,815.22
PG40	RT - Amtrak Ext		-78,417.55