

Appendix K – Special Provisions

Table of Contents

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

ADOPT-A-HIGHWAY PERMIT SPECIAL PROVISIONS (TR-0156)

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

ADVERTISING DISPLAYS (AD)

AIR SPACE DEVELOPMENT (AS)

ART PROGRAM (AP)

BANNERS (BR)

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

CABLES/GEOPHYSICAL TESTING (GC)

DRAINAGE - ROOF AND SURFACE, MINOR (DM)

DRIVEWAY, COMMERCIAL (RC)

DRIVEWAY, RECONSTRUCTION (RM)

DRIVEWAY, SINGLE FAMILY (RS)

EARLY ENTRY (SC)

ENCROACHMENT PERMIT GENERAL PROVISIONS

FILMING PERMIT - AIRCRAFT (FS1) (TR-0441)

FILMING PERMIT - FLOW OF TRAFFIC AND TRAFFIC BREAKS (FI) (TR-0440)

FILMING PERMIT GENERAL PROVISIONS (TR-0437)

FILMING PERMIT - MINIMAL OR NO IMPACT TO MOVING TRAFFIC (FO) (TR-0439)

FILMING PERMIT - NON-HIGHWAY FACILITY (FF) (TR-0438)

FILMING PERMIT - PYROTECHNICS, STUNTS, ACCESS-CONTROLLED HIGHWAYS, ETC. (FS2) (TR-0442)

FILMING PERMIT - TRAFFIC CONTROL ON CONVENTIONAL HIGHWAYS (FL) (TR-0443)

FILMING PERMIT - WETDOWNS (TR-0169)

HAZARDOUS MATERIALS AND HAZARDOUS WASTE MANAGEMENT

LAW ENFORCEMENT SURVEILLANCE DEVICES (TR-0409)

MAIL BOX (MB)

NOTIFICATION OF ENCROACHMENT

PEDESTRIAN SAFETY (MCP)

RAILROAD GRADE CROSSING - MAINTENANCE (RX)

ROLLING TRAFFIC BREAKS (TR-0407)

SIDEWALKS (CS)
STEEL PLATE BRIDGING - UTILITY (TR-0157)
STORMWATER SPECIAL PROVISIONS FOR MINIMAL OR NO IMPACT (SWSP) (TR-0400)
STRUCTURE AS-BUILT PLANS SUBMITTAL ROUTE SLIP
STRUCTURE WORK
SPECIAL EVENT SPECIAL PROVISIONS (SE) (TR-0430)
SURVEYS (SV)
TEMPORARY GROUND ANCHORS (TIEBACKS)
TRAFFIC COUNTERS (SV)
TRAFFIC SIGNAL CONTROLLER ASSEMBLY
TRAFFIC STRIPING, MARKINGS, AND SIGNS
TREE PRUNING (TRIMMING) AND CHEMICAL APPLICATION (TR-0159)
TREE REMOVAL (TR-0171)
UNCASED HIGH-PRESSURE NATURAL GAS PIPELINE PROVISIONS (TR-0158)
UNMANNED AIRCRAFT SYSTEMS (UAS) OPERATION (TR-0436)
UTILITY ANNUAL PROVISIONS (TR-0160)
UTILITY LEASING
UTILITY OVERHEAD PROVISIONS (OH) (TR-0162)
UTILITY UNDERGROUND PROVISIONS (UG) (TR-0163)
VIBRIO GENERATING EQUIPMENT (GV)
WILDFIRE MITIGATION ENHANCED VEGETATION MANAGEMENT TREE PRUNING SPECIAL
PROVISIONS (TR-0419)

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

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

1. A temporary 6 feet 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 feet 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 feet 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. 07/2023)

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/CANCELLATION:** Encroachment permits are revocable on five (5) business days’ notice unless otherwise stated on the permit or otherwise provided by law, 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 Adopt-A-Highway Permit Special Provisions and all attachments to this permit are subject to modification or abrogation by the Department 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 may be exceptions to this revocation.
3. **PERMITTEE AUTHORIZATION FOR OTHERS TO PERFORM WORK:** This encroachment permit allows only the Permittee and/or Permittee’s authorized contractor or agent to work within or encroach upon the State highway right-of-way, and the Permittee may not assign or transfer this encroachment permit. Any attempt to assign or transfer this encroachment permit shall be null and void. Permittee shall provide to the Department a list of Permittee’s authorized contractors/agents, in the “Encroachment Permit Applicant: Contractor(s) Authorization Form” (form DOT TR-0429) and at the time specified by the Department but if no time is specified then no later than the safety orientation. Permittee shall keep the list current and shall provide updates to the Department immediately upon any change to the list of authorized contractors/agents, including but not limited to the addition, removal, or substitution of an authorized contractor/agent, or a new address or contact information for an existing authorized contractor/agent. Permittee is responsible for the acts and/or omissions of any person or entity acting on behalf of the Permittee, even if such person or entity is not included on Permittee’s list of authorized contractors and/or agents.
4. **ACCEPTANCE OF PROVISIONS:** Permittee and the Permittee’s authorized contractors and/or agents understand and agree to accept and comply with these Adopt-A-Highway Permit Special Provisions, any and all terms and/or conditions contained in or incorporated into the encroachment permit, and all attachments to the encroachment permit (collectively “the Permit Conditions”), for any encroachment, work, and/or activity to be performed under this encroachment permit and/or under color of authority of this encroachment permit. Permittee understands and agrees the Permit Conditions are applicable to and enforceable against Permittee as long as the encroachment remains in, under, or over any part of the State highway right-of-way. The Permittee’s authorized contractors and/or agents are also bound by the Permit Conditions. Non-compliance with the Permit Conditions by the Permittee’s authorized contractor and/or agent, or by any volunteer or employee or other person acting under this Permit, will be deemed non-compliance by the Permittee.
5. **PERMITTEE RESPONSIBILITY:** No person shall enter the State highway right-of-way to perform work until the Department’s Maintenance Supervisor or designee has given the Permittee’s group/crew leaders or contractor’s group/crew leaders a safety orientation, and all participants have received safety training from the Permittee’s or contractor’s group/crew leaders as described in Special Provisions numbers 20 and 24. It is the responsibility of the Permittee to notify the Department’s District Adopt-A-Highway Coordinator of any change of Permittee’s contact information such as mailing address, e-mail address, phone number, or contact person.
6. **PLAN CHANGES:** Deviations from plans, specifications, and/or the Permit Conditions are not allowed without prior approval from the Department’s representative and the Federal Highway Administration (“FHWA”) representative if applicable.
7. **AGE OF PARTICIPANTS:** Persons under the age of 16 shall not participate in the program. Persons, sixteen (16) and seventeen (17) years of age, may participate; however, there must be at least one adult supervisor for every five (5) minors present at the work site. The adult supervisor must be at least twenty-one (21) years old and must walk along with the group. Group leaders, alternate group leaders, and crew leaders must be adults who are at least twenty-one (21) years old.
8. **BEGINNING OF WORK:** Work authorized by this permit shall begin only **after a safety orientation has been completed (see Special Provisions numbers 20 and 24) and within thirty (30) calendar days from the date of permit 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 or designee, listed on “Attachment A (Adopt-A-Highway Special Provisions)” (form MTCE-09) of their plans to work at least five (5) business days, but no more than one (1) month, before the event.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

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 (24) hours preceding an official State holiday. Unless specified otherwise, work may be conducted the day following an official State holiday or holiday weekend.
11. **PARTICIPATION IN STATEWIDE EVENTS:** Weather permitting, volunteer litter removal groups shall schedule work during Spring and Fall Litter Cleanup events in order to support Adopt-A-Highway's participation in statewide, national and international events.
12. **CONFLICTING ENCROACHMENTS:** Permittee shall yield to ongoing, prior authorized, work adjacent to or within the limits of the project site.
13. **PERMIT AT WORK SITE:** Permittee and Permittee's authorized contractors/agents shall keep copies of the complete permit package (Adopt-A-Highway Encroachment Permit, Adopt-A-Highway Permit Special Provisions, and if applicable, plans and work schedule), and current list of authorized contractors/agents, at the work site and show such documents upon request to any Department representative or law enforcement officer. If copies of the permit package and current list of authorized contractors/agents are not kept and made available at the work site, the work shall be suspended. In addition, a copy of the encroachment permit must be openly displayed in the windshield of each vehicle parked on the right of way. Vehicles without openly displayed permits may receive traffic citations.
14. **PARKING AT THE WORK SITE:** Personal vehicles shall not interfere with the free flow of traffic, bicycles, or pedestrians. Vehicles used to transport participants or materials may park on the highway right-of-way provided that they are located completely off of the pavement and a minimum of six (6) 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 (6) feet from any traffic lane or anywhere within a median. Participants shall not cross access-controlled highways (freeways or expressways), on-ramps, and/or off-ramps, except at marked crosswalks. Participants shall not work on unstable or slippery ground, on slopes greater than approximately forty (40) degrees, 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. **PERSONAL PROTECTIVE EQUIPMENT:** All participants shall wear hard hats, retroreflective vests, gloves, and protective eye wear while on the State's highway right-of-way. The Department will provide these and litter pickers, if needed, to non-contractor participants free of charge. In addition, all participants shall wear long pants and substantial leather shoes or boots with ankle support. All Department-furnished personal protective equipment, unused materials, and tools shall be returned to the Department upon termination of the permit.
18. **LITTER BAGS:** Participants shall use the white Adopt-A-Highway bags provided by the Department. Securely tied, filled bags must be placed at least six (6) 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 one hundred (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 highway right-of-way is not authorized under this permit.
20. **SAFETY PROCEDURES FOR VOLUNTEER GROUPS:**
 - A. **Designate group leaders.** Permittee shall designate a group leader and an alternate group leader to represent the group. If no group leader is designated, the Department will assume the group leader is the individual whose name appears on the permit application as the "primary contact" or on the permit as the "Attn:".

If no alternate group leader is designated, the Department will assume the alternate group leader is the individual whose name appears on the permit application as the "alternate contact."
 - 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 or designee. The "Adopt-A-Highway Safety Orientation Checklist for Volunteers" will be reviewed, signed, and copies given to the group leaders.
 - C. **Obtain personal protective equipment:** Personal protective equipment and a copy of the Adopt-A-

ENCROACHMENT PERMIT SPECIAL PROVISIONS

Highway safety video may be issued during the Caltrans safety orientation. Participants who need them will also receive Adopt-A-Highway litter bags and litter pickers. Additional equipment and litter bags may be obtained as needed throughout the permit period from the Department's Maintenance Supervisor or designee.

- 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. During the training, 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 with participants each time a participant goes out to work, before beginning 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 personal protective equipment 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. During the annual safety training refresher, the encroachment permit and special provisions shall be explained and part two of the Adopt-A-Highway safety video viewed.
- G. Report injuries, traffic collisions, and incidents.** The following occurrences shall be reported to the Department's 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 Department's District Adopt-A-Highway Coordinator.** New group leaders or alternate group leaders appointed during the permit period must schedule and attend a safety orientation given by the Department's Maintenance Supervisor or designee, the safety orientation may not be given by 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, solicitation, 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 (contractor) through contract or agreement. Only contractors that have been pre-approved by the Department may be utilized. Contractors must submit to the Department and maintain the following documents:
- A. Liability Insurance:** Contractors with employees shall maintain at least \$1,000,000 of general liability insurance for each occurrence, plus \$2,000,000 of excess liability insurance (totaling at least \$3,000,000). Contractors who do not utilize paid employees shall maintain at least \$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, California Department of Transportation, the directors, officers, employees, and/or agents of the State of California and/or of the California Department of Transportation as additional insured.
- B. Automobile insurance,** in the minimum amount of \$1,000,000, is required of all contractors.
- C. Worker's compensation insurance,** in the minimum amount of \$1,000,000, 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.
- E. County and/or city business licenses** as required by local governments to perform work authorized under this permit.
- F. Subcontracting** is not allowed under the Adopt-A-Highway Program.
- Contractors are required to provide a minimum notice of thirty (30) calendar days to the Department's District Adopt-A-Highway Coordinator or Statewide 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)

ENCROACHMENT PERMIT SPECIAL PROVISIONS

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 the California Occupational Safety and Health Administration (Cal/OSHA). In addition, the contractor's crew leaders must schedule and attend a safety orientation given by the Department's Maintenance Supervisor or designee. The "Safety Orientation Checklist for Adopt-A-Highway Contractors" will be reviewed, signed, and a copy given to the crew leaders.

B. Report injuries, traffic collisions, and incidents. The following occurrences shall be reported to the Department's 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 ID Cards. Contractor's crew must carry identification cards. The cards 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 encroachment permit is invalidated if the Permittee has not obtained all permits and approvals necessary and required by law, including but not limited to permits from the California Public Utilities Commission (CPUC), Cal/OSHA, and any other public agency and/or entity having jurisdiction. Permittee warrants all such permits and approvals have been obtained before beginning work under this encroachment permit. The Department may, at the Department's discretion, require the Permittee to demonstrate that Permittee has obtained all such permits/approvals, and Permittee shall demonstrate this at the time and in the manner specified by the Department.

26. 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 United States, the State, the Department, and from the Directors, officers, and employees of the State and/or the Department. Removal of Permittee's personal property and improvements shall be at no cost to the United States, the State, and the Department.

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. 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 Department representative at least five (5) business days before, and the regional notification center at least forty-eight (48) hours before, performing any excavation work within the State highway right-of-way.

29. ENVIRONMENTAL:

A) ARCHAEOLOGICAL/HISTORICAL: If any archaeological or historical resources are identified or encountered in the work vicinity, the Permittee must immediately stop work and notify the Department's District Adopt-A-Highway Coordinator.

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 and notify the Department's District Adopt-A-Highway Coordinator. Attention is directed to the potential presence of aerially deposited lead (ADL) 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 California Department of Toxic Substances Control (DTSC) requirements.

C) BIOLOGICAL: If any regional, state, or federally listed biological resource is identified or encountered in the work vicinity, the Permittee must immediately stop work and notify the Department's District Adopt-A-Highway Coordinator.

30. DURATION OF PERMIT: Unless otherwise specified, this permit is valid for five (5) years from the date of issuance. Permittees may apply for additional five (5)-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 Department's District Adopt-A-Highway Coordinator at least thirty (30) calendar 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. LIABILITY, DEFENSE, AND INDEMNITY: The Permittee agrees to indemnify and save harmless the United States, the State, the Department, and the Directors, officers,

ENCROACHMENT PERMIT SPECIAL PROVISIONS

employees, agents and/or contractors of the State and/or of the Department, including but not limited to the Director and the Deputy Directors, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind, and description, including but not limited to those brought for or on account of property damage, invasion of privacy, violation or deprivation of a right under a state or federal law, environmental damage or penalty, 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/or 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 encroachment, work, and/or activity conducted pursuant to this encroachment permit, or under color of authority of this encroachment permit but not in full compliance with the Permit Conditions; and/or (c) the installation, placement, design, existence, operation, and/or maintenance of the encroachment, work, and/or activity; and/or (d) the failure by the Permittee or anyone acting on behalf of the Permittee to perform the Permittee's obligations under any part of the Permit Conditions in respect to maintenance or any other obligation; and/or (e) any change to the Department's property or adjacent property, including but not limited to the features or conditions of either of them, made by the Permittee or anyone acting on behalf of the Permittee; and/or (f) a defect or obstruction related to or caused by the encroachment, work, and/or activity whether conducted in compliance with the Permit Conditions 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.

It is the intent of the Department and the Permittee that except as prohibited by law, the Permittee will defend, indemnify, and hold harmless as set forth in this Provision regardless of the existence or degree of fault or negligence, whether active or passive, primary or secondary, on the part of: the United States, 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 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 from or against the United States, the State, the Department, and the Directors, officers, employees, agents, and/or contractors of the State and/or of the Department, including but not limited to the Director 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 encroachment, work, and/or activity whether conducted pursuant to this encroachment permit or constituting Unauthorized Work or Activity, and further agrees to defend, indemnify, and

save harmless the United States, the State, the Department, and the Directors, officers, employees, agents, and/or contractors of the State and/or of the Department, including but not limited to the Director and the Deputy Directors, from any and all claims, demands, damages, costs, penalties, liability, suits, or actions of every name, kind, and description arising out of or by virtue of the Americans with Disabilities Act.

The Permittee understands and agrees the Directors, officers, employees, agents, and/or contractors of the State and/or of the Department, including but not limited to the Director 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 Special Provision and all paragraphs herein, "contractors of the State and/or of the Department" includes contractors, and their subcontractors, under contract to the State and/or the Department.

This Special Provision and all paragraphs herein take effect immediately upon issuance of this encroachment permit, and apply before, during, and after the encroachment, work, and/or activity contemplated under this encroachment permit, regardless of whether such work is or is not in compliance with the Permit Conditions, except as otherwise provided by California law. The Permittee's obligations to defend, indemnify, and save harmless under this Special Provision take effect immediately upon issuance of this encroachment permit and have no expiration date, including but not limited to situations in which this encroachment permit expires or is revoked, the work or activity performed under this encroachment permit is accepted or not accepted by the Department, the encroachment, work, and/or activity is conducted in compliance with the Permit Conditions as defined in or constitutes Unauthorized Work or Activity, and/or no work or activity is undertaken by the Permittee or by others on the Permittee's behalf.

If the United States or an agency, department, or board of the United States is the Permittee, the first two paragraphs of this Special Provision (beginning "The Permittee agrees to indemnify..." and "It is the intent of the parties...") are replaced by the following paragraph:

Claims for personal injury, death, or property damage allegedly caused by the negligent or wrongful act or omission of any employee of the United States acting within the scope of their official duties are subject to the Federal Tort Claims Act, as amended, 28 U.S.C. § 1346 and § 2671 et seq. (Chapter 171).

33. 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:

ENCROACHMENT PERMIT SPECIAL PROVISIONS

- 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) 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) 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) 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) 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.
- 34. 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" and Standard Plans & Specifications on "Temporary Pedestrian Access Routes."



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.

Revue 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.

Stock 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)

(Rev. 07/2023)

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

1. Conforms to local building code.
2. Must be structurally adequate.
3. Structure's support is completely outside State highway right-of-way.
4. Minimum horizontal clearance from the curb face is two (2) feet. Exceptions may be allowed in historical districts where overhangs are permissible to the curb face. Curbs or other approved safety barriers should protect the structure.
5. Minimum vertical clearance from the sidewalk is twelve (12) feet. A minimum eight (8) feet clearance may be allowed when local building codes are satisfied.
6. Structures must not interfere with or hide traffic signals or traffic signs.
7. No flashing, rotating or intermittent lights are allowed.
8. No wording on the structure is allowed within the limits of State highway right-of-way, including the name of the owner or occupant of the premises or to identify the premises, goods sold or produced, or services rendered on the premises.

AIR SPACE DEVELOPMENT (AS)

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

1. Column Protection: shall be lumber at least two (2) inches nominal thickness and at least four (4) inches nominal width with two (2) inches 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 feet or less above the ground and tops eight (8) feet minimum above the ground.
2. Fencing: a standard six (6)-feet-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 "As-Built" plans to the District Permit Engineer.

ART PROGRAM (AP)

In addition to the attached Encroachment Permit 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)

In addition to the attached Encroachment Permit 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 feet 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 feet. Decorations which project beyond the curb line or cross the highway shall have a minimum vertical clearance of 18 feet.
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)

In addition to the attached Encroachment Permit 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 feet 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 feet behind the face of curb, with a minimum of 4 feet 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)

In addition to the attached Encroachment Permit General Provisions (TR-0045), the following special provisions are also 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 inches 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 feet 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.

DRAINAGE - ROOF AND SURFACE, MINOR (DM)

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

1. Drains must be restricted to the exclusive purpose of draining rainwater 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)

TR-0444 (Rev 07/2023)

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

1. Asphalt Concrete or Portland Cement Concrete pavement shall be saw-cut at conform location.
2. Excavations made within the limits of the State highway right-of-way shall be backfilled before leaving the work for the night unless otherwise authorized by the State representative. After backfilling, temporary surfacing shall be placed if required by the State representative.
3. The permittee shall contact the State 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 Appendix J, “Design Guidelines for Typical Rural Driveways in State Right of Way”, of the Caltrans Encroachment Permits Manual.
6. It is the responsibility of the permittee to maintain the authorized encroachment including but not limited to any associated facilities installed or constructed to meet their access needs such as conduits, culverts, other drainage facilities, retaining walls, curb, gutter, sidewalks, etc. If the permittee sells the property to which driveway or private road approach encroachment was authorized, the new property owner must apply for and obtain their own encroachment permit. Please refer to Volume I, Chapter Y of the Caltrans Maintenance Manual for additional information regarding privately-owned and public road approaches.

DRIVEWAY - RECONSTRUCTION (RM)

TR-0445 (Rev 07/2023)

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

1. Where reconstruction requires removal of existing asphalt concrete pavement, it must be either saw-cut before removal or removed by grinding.
2. Existing drainage must not be impaired.
3. It is the responsibility of the permittee to maintain the authorized encroachment including but not limited to any associated facilities installed or constructed to meet their access needs such as conduits, culverts, other drainage facilities, retaining walls, curb, gutter, sidewalks, etc. If the permittee sells the property to which driveway or private road approach encroachment was authorized, the new property owner must apply for and obtain their own encroachment permit. Please refer to Volume I, Chapter Y of the Caltrans Maintenance Manual for additional information regarding privately-owned and public road approaches.

DRIVEWAY – SINGLE FAMILY (RS)

TR-0446 (Rev 07/2023)

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

It is the responsibility of the permittee to maintain the authorized encroachment including but not limited to any associated facilities installed or constructed to meet their access needs such as conduits, culverts, other drainage facilities, retaining walls, curb, gutter, sidewalks, etc. If the permittee sells the property to which driveway or private road approach encroachment was authorized, the new property owner must apply for and obtain their own encroachment permit. Please refer to Volume I, Chapter Y of the Caltrans Maintenance Manual for additional information regarding privately-owned and public road approaches.

I. RURAL LOCATIONS

1. The driveway shall be surfaced with a minimum of three (3) inches of asphalt concrete placed on six (6) inches 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 Appendix J, “Design Guidelines for Typical Rural Driveways in State Right of Way”, of the Caltrans Encroachment Permits Manual.

II. URBAN LOCATIONS

1. Where curbs exist, the driveway structural section shall be a minimum of four (4) inches of Portland Cement Concrete over six (6) inches of aggregate base.
2. Driveway details shall comply with the Caltrans Standards unless local standards are more stringent.
3. Any existing utility boxes must be either relocated or adjusted to grade at the permittee's expense.
4. 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.

EARLY ENTRY (SC)

In addition to the attached Encroachment Permit 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.

ENCROACHMENT PERMIT GENERAL PROVISIONS

TR-0045 (REV. 12/2022)

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. **REVOCACTION:** Encroachment permits are revocable on five (5) business days’ notice unless otherwise stated on the permit or otherwise provided by law, 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 by the Department 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 may be 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, denial of encroachment permits, and revocation of the encroachment permit if already issued.
4. **PERMITTEE AUTHORIZATION FOR OTHERS TO PERFORM WORK:** This encroachment permit allows only the Permittee and/or Permittee’s authorized contractor or agent to work within or encroach upon the State highway right-of-way, and the Permittee may not assign or transfer this encroachment permit. Any attempt to assign or transfer this encroachment permit shall be null and void. Permittee shall provide to the Department a list of Permittee’s authorized contractors/agents, in the form and at the time specified by the Department but if no time is specified then no later than the pre-construction meeting. Permittee shall keep the list current and shall provide updates to the Department immediately upon any change to the list of authorized contractors/agents, including but not limited the addition, removal, or substitution of an authorized contractor/agent, or a new address or contact information for an existing authorized contractor/agent. Permittee is responsible for the acts and/or omissions of any person or entity acting on behalf of the Permittee, even if such person or entity is not included on Permittee’s list of authorized contractors and/or agents.
5. **ACCEPTANCE OF PROVISIONS:** Permittee, and the Permittee’s authorized contractors and/or agents, understand and agree to accept and comply with these General Provisions, the Special Provisions, any and all terms and/or conditions contained in or incorporated into the encroachment permit, and all attachments to the encroachment permit (collectively “the Permit Conditions”), for any encroachment, work, and/or activity to be performed under this encroachment permit and/or under color of authority of this encroachment permit. Permittee understands and agrees the Permit Conditions are applicable to and enforceable against Permittee as long as the encroachment remains in, under, or over any part of the State highway right-of-way. The Permittee’s authorized contractors and/or agents, are also bound by the Permit Conditions. Non-compliance with the Permit Conditions by the Permittee’s authorized contractor and/or agent will be deemed non-compliance by the Permittee.
6. **BEGINNING OF WORK:** When traffic is not impacted (see General Provision Number 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 the encroachment permit and/or 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 the Permit Conditions as defined in General Provision Number 5 are not allowed without prior approval from the Department’s representative and the Federal Highway Administration (“FHWA”) representative if applicable.
9. **RIGHT OF ENTRY, INSPECTION AND APPROVAL:** All work is subject to monitoring and inspection. The United States, the State, the Department, and the Directors, officers, employees, agents, and/or contractors of the State and/or of the Department, and other state, and federal agencies, and the FHWA, through their agents or representatives, must have full access to highway

ENCROACHMENT PERMIT GENERAL PROVISIONS

facilities/encroachment area, at any and all times for the purpose of inspection, maintenance, activities needed for construction/reconstruction, and operation of the State highway right-of-way.

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 and Permittee's authorized contractors/agents must keep the permit package and current list of authorized contractors/agents, or copies thereof, at the work site at all times and must show such documents upon request to any Department representative or law enforcement officer. If the permit package or current list of authorized contractors/agents, or copies thereof, are not kept and made available at the work site at all times, then all 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, APPROVALS, AND CONCURRENCES FROM OTHER AGENCIES AND/OR ENTITIES:** This encroachment permit is invalidated if the Permittee has not obtained all permits, approvals, and concurrences necessary and required by law, including but not limited to those from the California Public Utilities Commission ("CPUC"), California Occupational Safety and Health Administration ("Cal-OSHA"), local and state and federal environmental agencies, the California Coastal Commission, and any other public agency and/or entity having jurisdiction. Permittee is responsible for providing notice of the encroachment to, and obtaining concurrence from, any person or entity (whether public or private) affected by the scope of work described in the encroachment permit, regardless of whether such notice or concurrence is required by law; the Department is not responsible to provide such notice or obtain such concurrence. Permittee warrants all such permits, approvals, and concurrences have been obtained before beginning work under this encroachment permit. The Department may, at the Department's discretion, require the Permittee to demonstrate that Permittee has obtained all such permits, approvals, and concurrences, and Permittee shall demonstrate this at the time and in the manner specified by the Department.
13. **PEDESTRIAN AND BICYCLIST SAFETY:** A safe continuous passageway 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," and to Section 12-4.04 "Temporary Pedestrian Access Routes," and to Section 16-2.02 "Temporary Pedestrian Facility," of the Department's Standard Specifications, and to California Vehicle Code section 21760, subdivision (c).

14. **PUBLIC TRAFFIC CONTROL:** 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 as required by law and/or the Department. 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, Bike Lane, Sidewalk, Crosswalk, and/or shoulder closures must comply with the Department's Standard Specifications and Standard Plans for Temporary Traffic Control Systems & Temporary Pedestrian Access Routes, 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 (motorized vehicles, unmotorized vehicles such as bicycles, pedestrians, person(s) with disabilities, etc.), such that traffic is not unreasonably delayed.
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

ENCROACHMENT PERMIT GENERAL PROVISIONS

- incurred for work within the State highway right-of-way and waives all claims for indemnification or contribution from the United States, the State, the Department, and from the Directors, officers, and employees of the State and/or the Department. Removal of Permittee's personal property and improvements shall be at no cost to the United States, the State, and 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 United States, 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 sole 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

ENCROACHMENT PERMIT GENERAL PROVISIONS

waste/material specialist who must evaluate the site at the Permittee's sole 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.

- c) **BIOLOGICAL:** If any regional, state, or federally listed biological resource is identified or encountered in the work vicinity, the Permittee must immediately stop work, notify the Department's representative, retain a qualified biologist who must evaluate the site at Permittee's sole expense, and make recommendations to the Department's representative regarding the continuance of work.
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 United States, the State, the Department, and 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, from any and all claims, demands, damages, costs, liability, suits, or actions of every name, kind, and description, including but not limited to those brought for or on account of property damage, invasion of privacy, violation or deprivation of a right under a state or federal law, environmental damage or penalty, 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/or 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 encroachment, work, and/or activity conducted pursuant to this encroachment permit, or under color of authority of this encroachment permit but not in full compliance with the Permit Conditions as defined in General Provision Number 5 ("Unauthorized Work or Activity"); and/or (c) the installation, placement, design, existence, operation, and/or maintenance of the encroachment, work, and/or activity; and/or (d) the failure by the Permittee, or by anyone acting for or on behalf of the Permittee, to perform the Permittee's obligations under any part of the Permit Conditions as defined in General Provision Number 5, in respect to maintenance or any other obligation; and/or (e) any change to the Department's property or adjacent

property, including but not limited to the features or conditions of either of them, made by the Permittee or anyone acting on behalf of the Permittee; and/or (f) a defect or obstruction related to or caused by the encroachment, work, and/or activity whether conducted in compliance with the Permit Conditions as defined in General Provision Number 5 or constituting Unauthorized Work or Activity, 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 Department and the Permittee that except as prohibited by law, the Permittee will defend, indemnify, and hold harmless as set forth in this General Provision Number 28 regardless of the existence or degree of fault or negligence, whether active or passive, primary or secondary, on the part of: the United States, 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; 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 from or against the United States, the State, the Department, and 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 encroachment, work, and/or activity whether conducted pursuant to this encroachment permit or constituting Unauthorized Work or Activity, and further agrees to defend, indemnify, and save harmless the United States, the State, the Department, and 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, from any and all claims, demands, damages, costs, penalties, liability, suits, or actions of every name, kind, and description arising out of or by virtue of the Americans with Disabilities Act.

The Permittee understands and agrees 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, are not personally responsible for any liability arising from or by virtue of this encroachment permit.

For the purpose of this General Provision Number 28 and all paragraphs herein, "contractors of the State and/or of the Department" includes contractors, and their subcontractors, under contract to the State and/or the Department.

This General Provision Number 28 and all paragraphs herein take effect immediately upon issuance of this encroachment permit, and apply before, during, and after the encroachment, work, and/or activity

ENCROACHMENT PERMIT GENERAL PROVISIONS

contemplated under this encroachment permit, whether such work is in compliance with the Permit Conditions as defined in General Provision Number 5 or constitutes Unauthorized Work or Activity, except as otherwise provided by California law. The Permittee's obligations to defend, indemnify, and save harmless under this General Provision Number 28 take effect immediately upon issuance of this encroachment permit and have no expiration date, including but not limited to situations in which this encroachment permit expires or is revoked, the work or activity performed under this encroachment permit is accepted or not accepted by the Department, the encroachment, work, and/or activity is conducted in compliance with the Permit Conditions as defined in General Provision Number 5 or constitutes Unauthorized Work or Activity, and/or no work or activity is undertaken by the Permittee or by others on the Permittee's behalf.

If the United States or an agency, department, or board of the United States is the Permittee, the first two paragraphs of this General Provision Number 28 (beginning "The Permittee agrees to indemnify..." and "It is the intent of the parties...") are replaced by the following paragraph:

Claims for personal injury, death, or property damage allegedly caused by the negligent or wrongful act or omission of any employee of the United States acting within the scope of their official duties are subject to the Federal Tort Claims Act, as amended, 28 U.S.C. § 1346 and § 2671 et seq. (Chapter 171).

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:** The Permittee is responsible at Permittee's sole expense for the encroachment, and the inspection, maintenance, repair, and condition thereof, and is responsible to ensure the encroachment does not negatively impact State highway safety, maintenance, operations, construction, State facilities, activities related to construction/reconstruction, or other encroachments. The Permittee's obligations in the preceding sentence take effect immediately upon issuance of this encroachment permit and continue until the encroachment is entirely and permanently removed. Additional encroachment permits or approval documents may be required authorizing work related to inspection, repair, and/or maintenance activities. Contact the Department for information.

32. **SPECIAL EVENTS:** In accordance with subdivision (a) of Streets and Highways Code section 682.5 and 682.7, 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 United States, 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 is required, as a condition of this encroachment permit, for any event that awards prize compensation to competitors in gendered categories, for any participant level that receives prize compensation, to ensure the prize compensation for each gendered category is identical at each participant level. (Streets and Highways Code, section 682.7.)

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 United State, 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

ENCROACHMENT PERMIT GENERAL PROVISIONS

of public property uses and therefore public funds is prohibited under the California Constitution, Article XVI, Section 6.

34. **FIELD WORK REIMBURSEMENT:** Permittee must reimburse the Department for field work performed by or on behalf of the Department to correct or remedy issues created by the Permittee or by others acting on behalf of the Permittee, including but not limited to hazards or damaged facilities, or to clear refuse, debris, etc. not attended to by the Permittee or by others acting on behalf of the Permittee.
35. **LANE CLOSURE REQUEST SUBMITTALS AND NOTIFICATION OF CLOSURES TO THE DEPARTMENT:** Lane closure request submittals and notifications must be in accordance with Section 12-4.02, and Section 12.4-04, of the Department's Standard Specifications or as directed by the Department's representative. The Permittee must notify the Department's representative and the Traffic Management Center ("TMC") before initiating a lane closure or conducting an activity that may cause a traffic impact. In emergency situations when the corrective work or the emergency itself may affect traffic, the Department's representative and the TMC 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 traffic lane, bike lane, sidewalk, crosswalk, and/or shoulder 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 Department representative at least five (5) business days before, and 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" and Standard Plans & Specifications on "Temporary Pedestrian Access Routes."
39. **STORMWATER:** The Permittee is responsible for full compliance with the following:
- For all projects, the Department's Storm Water Program and the Department's National Pollutant Discharge Elimination System (NPDES) Permit requirements under Order No. 2012-0011-DWQ, NPDES No CAS000003; and
 - In addition, for projects disturbing one acre or more of soil, with the California Construction General Permit Order No. 2009-0009-DWQ, NPDES No CAS000002; and
 - In addition, for projects disturbing one acre or more of soil in the Lahontan Region with Order No. R6T-2016-0010, NPDES No CAG616002.
 - For all projects, it is the Permittee's responsibility to install, inspect, repair, and maintain all facilities and devices used for water pollution control practices (Best Management Practices/BMPs) before performing daily work activities.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT – AIRCRAFT (FS1)

TR-0441 (New 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: for filming activities that involve aircraft including unmanned aircraft systems, helicopters, etc.

1. Any filming involving the use of any type of Aircraft, including Unmanned Aircraft Systems (UAS), must have Federal Aviation Administration (FAA) approval and be done in accordance with FAA rules and regulations.
2. Helicopter flying below five hundred (500) feet in altitude is permitted only when stated specifically in the permit.
3. This encroachment permit will become invalid if any attempt is made to use an aircraft, including but not limited to a UAS, in a manner not consistent with FAA rules and regulations.

UNMANNED AIRCRAFT SYSTEMS (UAS)

- UAS1. The operation of a UAS must be performed only by the company certified by the FAA to operate a UAS.
- UAS2. The UAS operator must have a Certificate of Waiver or Authorization (COA) issued by the Air Traffic Organization and a Remote Pilot Certificate issued by the FAA available for inspection at all times.
- UAS3. UAS operations must be performed consistent with an approved Plan of Activity (POA).
- UAS4. All filming activity involving UAS must be performed within the confines of the closed highway. If Intermittent Traffic Control (ITC) is used to perform such activities, the UAS activity must be completed within the five (5) minute closure period.
- UAS5. Limits of closures must be established at least five hundred (500) feet beyond the area of UAS operations.
- UAS6. Flights must be operated at an altitude of no more than four hundred (400) feet above ground level. The UAS must be operated within visual line of sight of the pilot at all times.
- UAS7. The UAS cannot be operated by the pilot from any moving vehicle.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT – FLOW OF TRAFFIC AND TRAFFIC BREAKS (FI)

TR-0440 (Rev 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: for activities involving Intermittent Traffic Control (ITC), rolling traffic breaks, and/or driving shots with the flow of traffic:

1. Traffic must not be detoured from the State highway.
2. No highway lane closure is allowed.
3. Stunts, staged accidents, and pyrotechnics are strictly prohibited.
4. No equipment allowed within access-controlled highways.
5. The specific sections below will apply only when the encroachment permit authorizes such activity:

INTERMITTENT TRAFFIC CONTROL (ITC)

ITC1. Intermittent Traffic Control (ITC) is allowed on conventional State highways. The duration of ITC must be in accordance with time period that is approved on the permit and must not exceed five (5) minutes in duration if none is specified in the permit. All ITC on access-controlled highways, except freeways, is evaluated on a case-by-case basis and must have prior approval from the Caltrans representative. All ITC should be provided by uniformed peace officers in marked law enforcement vehicles. All ITC on freeways is strictly prohibited.

ITC2. Should the ITC cause a backup/queue on the State highway, all activities including ITC must cease and all lanes must be opened to traffic until the backup/queue is cleared.

ROLLING BREAKS

RB1. CHP or authorized Local Law Enforcement rolling break is allowed to create a safe zone around the filming activity (vehicle). Filming must be done at the flow of traffic.

RB2. Mainline freeway closure, highway lane closure, ramp closure, shoulder closure, or staging on the State highway are prohibited.

RB3. Should filming activities cause a backup/queue on the State highway, all activity must cease until the traffic backup/queue is cleared.

FLOW OF TRAFFIC

F1. No interruption of traffic on the State highway is allowed. Mainline freeway closure, highway lane closure, ramp closure, shoulder closure, or staging on the highway are prohibited. All highway filming must be done with the flow of traffic.

F2. Production activity must be limited to a single lane with no more than three (3) vehicles. Equipment whether on the ground or attached to any vehicle must not, at any time, overhang or encroach into any adjacent lane.

ENCROACHMENT PERMIT SPECIAL PROVISIONS**FILMING PERMIT GENERAL PROVISIONS**

TR-0437 (New 07/2023)

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

1. The terms of this encroachment permit are void unless attached to and made a part of a valid California Film Commission Permit.
2. Permittee must clear all filming operations by calling the California Highway Patrol (CHP) Media Relations Officer at (213) 703-2070 prior to the commencement of the operations.
3. The Caltrans representative, CHP, and/or authorized Local Law Enforcement has the authority to stop any or all work in connection with this encroachment permit.
4. Activities allowed under this permit are strictly limited to those specifically identified by the permit. Permit activities must not be modified without first obtaining a Caltrans encroachment permit rider.
5. Permittee is hereby advised that some of the items or work to be performed may require permits by various governmental agencies. Issuance of permit by Caltrans does not constitute approval of work within the jurisdiction of those agencies. The Permittee must comply with all local, State, Federal, and tribal government requirements.
6. CHP or authorized Local Law Enforcement must be present during all activities at the location, including pre-filming, during filming, and post-filming, and must assist with all related traffic control activities, and may stop filming and/or alter conditions if there is any reason to do so, including but not limited to reasons such as an adverse effect on traffic (whether vehicular traffic or pedestrian traffic) or safety concern.
7. Well-functioning communications equipment must be supplied by the Permittee in sufficient quantity for all organizations involved in the activity.
8. Wetting of the roadway is prohibited, unless specifically approved in this encroachment permit.
9. Interruption of traffic (traffic detours, lane closures, ramp closure, Intermittent Traffic Control, or rolling break) is prohibited, unless specifically stated to be allowed by the terms of the permit.
10. Stunts, staged accidents, and pyrotechnics are prohibited unless specifically stated to be allowed by the terms of the permit.
11. Driving beyond the posted legal speed limit is prohibited.
12. Vehicles with lights or cameras mounted or attached that interfere with the driver's view, are prohibited.
13. Filming vehicles used in filming dialogue between driver and passenger must be legally towed with a drawbar or process trailer.
14. Any filming involving the use of any type of aircraft, except for Unmanned Aircraft Systems (UAS), at an altitude of five hundred (500) feet or less is prohibited, unless specifically approved in the encroachment permit. Any filming involving the use of any type of aircraft, including UAS, must have Federal Aviation Administration (FAA) approval and be done in accordance with FAA rules and regulations.
15. No activity is to take place on the State Highway right-of-way during rain, fog, or other conditions obscuring visibility, or if snow or ice is present on the roadway.
16. Permittee's activities shall be subordinate to any Caltrans operations, including but not limited to maintenance, permits, construction, or emergency activities.
17. On conventional State highways only, stationary cameras must be mounted at least ten (10) feet from the edge of pavement, unless the camera is mounted behind a raised sidewalk in which case the camera must be mounted at least two (2) feet behind the curb face on raised sidewalks. Cameras must not be mounted in medians, unless specifically allowed in this encroachment permit. Specific camera locations require onsite approval by the Caltrans representative, California Highway Patrol (CHP), or authorized Local Law Enforcement.
18. Equipment or vehicles situated on the sidewalk or bike lane that interfere with pedestrians and/or bicycles must be provided with devices for pedestrian/bicycle protection.
19. Where sidewalks and other pedestrian accessways are present, pedestrian access control must be managed to minimize impact to pedestrians.
20. Filming activities may be temporarily suspended during times of high traffic volumes or inconvenience to the highway users at the discretion of the Caltrans representative, CHP, or authorized Local Law Enforcement.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

21. Operational decisions, emergency situations, or adverse impacts to safety may require the Permittee to vacate the premises (stopping all filming) at the discretion of the Caltrans representative, CHP, or authorized Local Law Enforcement.
22. Production vehicles and equipment must be legally located off the traveled way and must not interfere with traffic or pedestrian flow.
23. Production vehicles and/or equipment must not block buildings, driveways, mailboxes, bus stops, or fire hydrants, and must not reduce sight distance for vehicles using, entering onto, or exiting from the State Highway.
24. When traffic control is to be maintained by CHP or authorized Local Law Enforcement, a minimum of three (3) uniformed officers is required unless approved otherwise. Uniformed officers and their marked law enforcement vehicles may be utilized in lieu of flaggers.
25. All traffic control devices must be installed by a contractor properly licensed by the California Contractors State License Board (retained by the Permittee) and in accordance with approved traffic control plans in the permit or using the Caltrans Standard Plans. When traffic control devices are used (e.g., signs, cones, lights) to protect placement of production vehicles or equipment, these traffic control devices must be in compliance with the California Manual on Uniform Traffic Control Devices (CA MUTCD).
26. If flaggers are required, as determined by the Caltrans representative, CHP, or authorized Local Law Enforcement, the qualified traffic control contractor must provide a sufficient number of qualified flaggers to perform flagging operations.
27. The Caltrans representative, CHP, and/or authorized Local Law Enforcement may require the re-opening of the State highway at any time as may be necessary. All related costs must be borne entirely by the Permittee.
28. Some site conditions may require the placement of signs in advance of the work site to accommodate a backup queue of traffic when traffic is stopped for filming purposes. Placement of the traffic control safety devices must be in conformance with the applicable Caltrans Standard Plans (e.g., T10, T11, T12, T13, or T14) and All traffic control must be approved through the Caltrans representative and CHP prior to starting permit activities.
29. Permittee shall not obscure, alter, remove, or relocate any traffic control device, traffic sign, deflector, Post Mile marker, snow pole, etc.
30. Permitted lighting fixtures, mirrors, reflectors, and/or supports must not present a glare or other safety hazard.
31. Permittee may not attach anything to a State-owned facility (i.e., signs, railing, bridge columns, pavement, walls, etc.) by bolt, screw, or any other invasive connection type. Any proposed attachment must have prior approval from the Caltrans representative and must be done by means that does not damage any component of the State-owned facility.
32. Production activity must be limited to a single lane with no more than three (3) vehicles. Equipment whether on the ground or attached to any vehicle must not, at any time, overhang or encroach into any adjacent lane.
33. Production location signs shall not be posted on any State-owned signpost. Permittee is responsible for removing all location signs posted within the State highway right-of-way.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT– MINIMAL OR NO IMPACT TO MOVING TRAFFIC (FO)

TR-0439 (Rev 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit.

1. The specific sections below will apply only when the encroachment permit authorizes such activity:

POST “NO PARKING” PERMITS (LEGAL PARKING)

- P1. Parking is only allowed at legally designated parking areas. Parking vehicles must abide by the posted parking restrictions and hours.
- P2. “No Parking” signs indicating the date(s) and hours must be placed seventy-two (72) hours prior to the start of work or upon issuance of the encroachment permit, whichever comes later.

PARKING/FILMING ON SHOULDERS OR TURN OUTS:

- PST1. Signs must be placed during the occupation of any shoulder/turnout indicating that it is closed to the public and traffic cones or delineators must be placed along the shoulder/turnout to indicate such with approval from the Caltrans representative or law enforcement officer.
- PST2. Permittee must not use unpaved portions of the turnouts if there is rain or the ground is saturated with liquid, and the Caltrans representative determines that a maintenance problem would occur by Permittee’s activities. Permittee must be responsible for restoration of all paved and unpaved surfaces that are damaged or adversely affected by Permittee’s activities.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT – NON-HIGHWAY FACILITY (FF)

TR- 0438 (New 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following special provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: filming activities within a Caltrans facility, which is defined to include any real estate property owned by Caltrans which is not operating as a highway including but not limited to any office building, maintenance station, maintenance facility, Park and Ride lot, and/or house.

1. Access to the Caltrans facility must be coordinated with the Caltrans representative in charge of the facility.
2. Activity must not disrupt or interfere with any State business.
3. Filming activity, equipment, and crew parking must be restricted to a single area; Permittee does not have exclusive use of the Caltrans facility.
4. Permitted equipment interfering with pedestrian access routes must be provided with devices for pedestrian protection.
5. The Caltrans facility must be protected with some type of layout board from any possible spills (oil, food, etc.) from vehicles/catering trucks/equipment, etc.
6. Permittee must provide a security guard at all times while a Caltrans facility (ex. maintenance yard or lot) is being used for base camp and/or crew parking.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT – PYROTECHNICS, STUNTS, ACCESS-CONTROLLED HIGHWAYS, ETC. (FS2)

TR-0442 (Rev 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: for filming activities that involve pyrotechnics, stunts, access-controlled highways, etc. Only the specific sections below will apply when stated on the language of the permitted activity.

1. Traffic detoured from the State highway must have prior written approval of the Caltrans representative.
2. Stunts, staged accidents, and pyrotechnics must have prior written approval of the Caltrans representative. All stunts, staged accidents, and pyrotechnics must have a State Fire Marshal or State Fire Marshal's representative present.
3. All activities (including but not limited to smoke effects) must not impact vehicular and/or non-vehicular traffic.

FILMING ON ACCESS-CONTROLLED HIGHWAYS

- FE1. All vehicles, personnel, cameras, and equipment related to the operation must be parked off the roadway at least thirty (30) feet from the edge of roadway, unless protected by existing barriers.
- FE2. Stopping or slowing vehicles being filmed on access-controlled highways is not allowed, except where specifically authorized in the encroachment permit.

FILMING – RAMP OR FULL CLOSURE ON ACCESS-CONTROLLED HIGHWAYS

- CL1. Any activity involving a detour must have written consent from all affected agencies impacted by the detour.
- CL2. Signs must be placed seven (7) days prior to the start of work which indicate the date(s) and hours traffic control will be used.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

FILMING PERMIT –TRAFFIC CONTROL ON CONVENTIONAL HIGHWAYS (FL)

TR-0443 (Rev 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: for activities involving Extended Intermittent Traffic control (ITC that is expected to exceed five (5) minutes in duration) or lane/shoulder closures on conventional highways:

1. Traffic must not be detoured from the State highway.
2. All traffic control must be approved through the Caltrans representative prior to filming.
3. The specific sections below will apply only when the encroachment permit authorizes such activity:

EXTENDED INTERMITTENT TRAFFIC CONTROL (ITC)

ITC1. Extended ITC is ITC that is expected to exceed five (5) minutes duration. Extended ITC requires approval and monitoring by the Caltrans representative. Extended ITC is allowed on conventional highways only. All ITC on access-controlled highways, except freeways, is evaluated on a case-by-case basis and must have prior approval from the Caltrans representative. All ITC should be provided by uniformed peace officers in marked law enforcement vehicles. All ITC on freeways is strictly prohibited.

ITC2. Should the ITC cause a backup/queue on the highway, filming/ITC must cease and all lanes must be fully opened to traffic until the backup/queue is cleared, at which time filming/ITC may resume with the approval of the Caltrans representative and the California Highway Patrol (CHP).

LANE/SHOULDER CLOSURE

- LC1. Interruption of traffic on travel lanes will be allowed only where specified on permit.
- LC2. Signs should be placed 72 hours prior to the start of work which indicate the date(s) and hours traffic control will be used.

FILMING PERMIT – WETDOWNS

TR-0169 (Rev 07/2023)

In addition to the attached Encroachment Permit General Provisions (TR-0045) and Filming Permit General Provisions (TR-0437), the following Special Provisions are also applicable to this encroachment permit. These Special Provisions are for use in the following situations: for activities involving wetdowns.

1. Placement and time of wetdown must be approved by Caltrans in advance.
2. No wetdown is allowed if there is a possibility of creating a ponding situation and/or flooding of the State highway.
3. Wetdown must be managed in a way that will prevent discharge of pollutants into storm drain systems and receiving waters. Runoff should be directed where it can infiltrate into the ground. The Permittee must protect/cover gutters, ditches, drainage courses, and inlets from receiving the runoff.
4. Wetdowns on State highway will require traffic breaks. The duration of a traffic break must not exceed five (5) minutes. If an activity is expected to exceed five (5) minutes in duration, it must be approved by the Caltrans representative and the California Highway Patrol (CHP) or authorized Local Law Enforcement.
5. Placement of “Wet Pavement Ahead” signs, forty-eight (48) inches by forty-eight (48) inches black lettering on an orange background, must be required at all wetdown worksites. These signs are required to meet Caltrans requirements for lettering size and to be made by a recognized sign manufacturer. Placement of these signs must be in succession of the “Road Work Ahead” sign (W20-1), in both directions of traffic.
6. The CHP or authorized Local Law Enforcement must be present during all wetdown filming operations. For safety purposes, the CHP or authorized Local Law Enforcement will determine when traffic is allowed over the wetdown area.

HAZARDOUS MATERIALS AND HAZARDOUS WASTE MANAGEMENT

TR-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.

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

TR-0409 (Rev 07/2021)

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. If LESD infrastructure is attached to Caltrans facilities, Permittee is fully responsible to ensure LESD infrastructure do not cause any physical, operational, maintenance, or other impact to Caltrans infrastructure.
4. If the LESDs include a wireless component, Permittee must ensure that the wireless component complies with radiofrequency radiation human exposure limits and with all applicable Federal Communications Commission (FCC) rules, regulations, and requirements.
5. Permittee must cease operations, remove and relocate their wireless equipment if it interferes with State wireless equipment. Permittee must remove and relocate the LESD equipment at Permittee's own expense if Caltrans needs to install additional equipment to the pole and pole doesn't have the loading capacity or crashworthiness to accommodate both Caltrans equipment and LESDs.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

6. If the permit is issued to a law enforcement entity other than the CHP, the Permittee must notify and send a copy of each issued permit to the local CHP Office before operating the LESDs.
7. If allowed to attach to Caltrans infrastructure (poles, structures, or other Caltrans-owned facilities), the Permittee acknowledges that:
 - i. Caltrans may remove the LESD infrastructure without first notifying the Permittee, if needed for the maintenance of Caltrans infrastructure or if the Caltrans infrastructure to which the LESDs are attached is damaged due to natural or human caused actions and Caltrans has to rehabilitate the damaged infrastructure to meet the State highway operational needs. Caltrans will make reasonable efforts under the circumstances to notify the Permittee using the contact information on the initial permit application under which it was originally permitted, and Permittee can reinstall the removed LESDs in coordination with Caltrans forces. A new encroachment permit is required for encroaching on to the State highway right-of-way for reinstalling the equipment, unless the Permittee has an annual maintenance permit for that equipment and location.
 - ii. Caltrans will store the removed LESD infrastructure in Caltrans maintenance yard for up to 30 calendar days and if Permittee doesn't collect the LESD infrastructure within 30 calendar days from initial notification, Caltrans reserves the right to dispose of the LESD infrastructure without any further notification and Permittee waives any right to compensation for the disposed LESD infrastructure.
8. 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)

In addition to the attached Encroachment Permit 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 the current AASHTO's "Roadside Design Guide", 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 one (1) foot behind the face of curb or dike to face of box.

II. INSTALLATION

1. Installation shall be as shown in the current AASHTO's "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

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 Encroachment Permit 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)

In addition to the attached Encroachment Permit General Provisions (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

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

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 feet 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 a.m. 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

TR-0407 (Rev 07/21)

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

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 be in accordance with Standard Specifications 12-4.02C(7)(d) Traffic Breaks. 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 a.m., 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)

In addition to the attached Encroachment Permit General Provisions (TR-0045), the following special provisions are also 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 a.m. 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.

STEEL PLATE BRIDGING UTILITY

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.

STORMWATER SPECIAL PROVISIONS FOR MINIMAL OR NO IMPACT (SWSP)

TR-0400 (Rev 05/2018)

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.
12. **HOT MIX ASPHALT:** Runoff from washing hot mix asphalt must not enter into any drainage conveyances.
13. **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.
14. **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.

15. **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.
16. **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.
17. **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.
18. **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.
19. **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.
20. **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.
21. **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.
22. **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.

23. **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.
24. **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.
25. **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.
26. **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.

ENCROACHMENT PERMIT SPECIAL PROVISIONS**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.

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 feet 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 Encroachment Permit 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."

ENCROACHMENT PERMIT SPECIAL PROVISIONS**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, <u>AND</u> Initial, date, and attach the “Structures As-Built Plan Submittal Route Slip” to the As-Built plans submittal package.	Express Mail or hand carry to: 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, <u>AND</u> Furnish the construction field office set of red-marked As-Built prints, <u>AND</u> 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

ENCROACHMENT PERMIT SPECIAL PROVISIONS

SPECIAL EVENT SPECIAL PROVISIONS (SE)

TR-0430 (New 07/2023)

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

1. Permittees must independently coordinate all activities with other affected jurisdictions, including transit agencies and emergency services such as police, fire, and ambulance services.
2. For special events having significant traffic impacts, Permittees must notify local or regional media (including radio, television, or newspapers serving the area affected by the special event), and State legislators and local elected officials that serve the impacted area. Media and public outreach must allow sufficient time for event information and impacts to be disseminated to the public. Notification letter or press release must include special event date, time, location, duration, and permitted activity, and identify detours for impacted State highways and local roads. Permittees must notify State legislators and local elected officials that serve the impacted area when a special event is expected to have significant traffic impacts.
3. The Encroachment Permit Inspector or California Highway Patrol (CHP) has the authority to stop the special event that is not being performed in compliance with the encroachment permit.
4. Operational decisions and/or emergency situations may require the roadway to be reopened immediately. This decision should be made by the State Representative in charge (Caltrans or CHP). Caltrans and CHP may bill the permittee for all costs incurred.
5. If rain, fog, or other elements significantly affect safety for event participants or vehicular traffic, Caltrans or law enforcement agencies may take necessary actions to protect the public. Wetting of the roadway is strictly prohibited unless specifically allowed in the encroachment permit.
6. None of the proposed activities can include vending within the State right-of-way unless vending is an incidental part of the special event (authorized under Section 682.5 of the California Streets and Highways Code). Also, any of the event organization's net earnings must not benefit private shareholders or individuals.
7. Staging areas, portable restrooms, handwashing stations, etc., if installed and operated in State highway right-of-way, must be placed at locations where their installation, operation, and maintenance do not negatively impact the safety of highway users (including but not limited to motorists, bicyclists, pedestrians, proposed facility users, workers, permittees, etc.) or other persons, and do not negatively impact operations or maintenance of the State highway right-of-way. Such facilities must comply with the Americans with Disabilities Act (ADA) requirements.

Such facilities within the State highway right-of-way must comply with the Clear Recovery Zone (CRZ) requirements established in the Caltrans Highway Design Manual, Topic 309. (A minimum of fifty-two (52) feet horizontally or eight (8) feet vertically up-slope from the edge of traveled way of a freeway including ramps and high-speed conventional highways. The fifty-two (52) feet discretionary object distance does not apply to city streets or conventional highways with posted speeds equal to or less than thirty-five (35) miles per hour and curbs.)

ENCROACHMENT PERMIT SPECIAL PROVISIONS

8. Portable restrooms and handwashing stations must be installed on existing pavement areas and located such that any potential spills, overflows, or operations do not impact any transportation facilities (i.e., sidewalks, curb ramps, travel lanes, shoulders, etc.).
9. Dumping or discharging into Caltrans storm drains is not authorized under any circumstances. Cardboard or other material sheets must be used to prevent grease, oils, etc., from leaking onto the pavement.
10. Permittees must restore the State highway right-of-way to pre-existing condition, which includes the pickup, removal, and disposal of all litter, materials, and other items related to the permittee's activities to Caltrans' satisfaction. Permittee is responsible for the cleanup of all trash on the State highway right-of-way. The aesthetics of the highway must be as it was before the special event.
11. No permanent markings are allowed on the State infrastructure. Permittees must remove and clear all special event-related signage and temporary markings immediately after the termination of the special event.
12. Permittees must reimburse Caltrans for field work performed on the permittee's behalf to correct or remedy hazards or damaged facilities, or to clear refuse, debris, etc. not attended to by the permittee.

SURVEYS (SV)

In addition to the attached Encroachment Permit 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, _____.

TEMPORARY GROUND ANCHORS (TIEBACKS)

1. The tiebacks must be de-tensioned and physically detached from the shoring wall once the permittee's foundation construction is complete. No future access to the tiebacks will be allowed once they have been detached.
2. Tieback installations shall not be placed in such a manner to impact traffic operations, maintenance, or obstruct any future transportation improvements in the state right-of-way.
3. Permanent tiebacks are prohibited. Tiebacks shall not be used to support the completed structure.
4. The shoring wall shall not be located within the state highway right-of-way.
5. The shoring wall shall be monitored during construction to determine any lateral movement.
6. The temporary wall must not create perched ground water that affects the foundation strength of state structures and facilities.
7. Should any underground facilities or utilities be encountered during the installation of the tiebacks, work must stop and the Caltrans representative shall be immediately notified. Work will not continue until Caltrans agrees to an alternate strategy (including the possible need to redesign) or other mitigation.
8. Deformation impacting state structures, roadways, utilities, drainage, or other features as a result of installation of the temporary excavation support and grouting, is not permitted. Should unanticipated deformation or other impacts occur, the Caltrans representative shall be immediately notified, and work will cease until Caltrans agrees to an alternate strategy (including the possible need to redesign) or other mitigation.
9. Upon completion of the installation and subsequent de-tensioning of the tiebacks, the permittee must submit as-built plans, prepared in accordance with Caltrans' CADD Users Manual, of all objects installed and to be abandoned in state highway right-of-way and submit as-built plans to Structure Construction for their authorization.

TRAFFIC COUNTERS (SV)

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

(Rev. 07/2023)

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

Use the special provision that pertains to either a chargeable or Department-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 the Department is providing the controller under a Cooperative Agreement, the provision contains only the delivery instructions.

Use this statement in projects administered through the Encroachment Permit Office Process (EPOP)

“The permittee is responsible for all costs and fees associated with Department-Furnished Equipment. These costs and fees must be collected prior to the issuance of the encroachment permit.”

The permittee must give the Department’s representative no less than fifteen (15) business days written notice before picking up the cabinet assembly (without the controller). When notified by the permittee, the Department’s representative will provide the permittee with a time and location for picking up that cabinet assembly. the Department will subsequently deliver the actual controller to the job site at the prearranged time of signal turn on.”

Use this statement in projects administered through the Quality Management Assessment Process (QMAP)

“The permittee must give the Department’s representative no less than fifteen (15) business days written notice before picking up the cabinet assembly (without the controller). When notified by the permittee, the Department’s representative will provide the permittee with a time and location for picking up that cabinet assembly. the Department will subsequently deliver the actual controller to the job site at the prearranged time of signal turn on.”

TRAFFIC STRIPING, MARKINGS, AND SIGNS

In addition to the attached Encroachment Permit 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.

TREE PRUNING (TRIMMING) AND CHEMICAL APPLICATION

TR – 0159 (Rev. 07/2022)

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

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.
 - i. 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.
 - ii. Traffic control must conform to requirements shown in the State Standard Plans. When required, the use of a flashing arrow board is **MANDATORY**.
 - iii. 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.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

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 feet over sidewalks and 17 feet 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 first from the local agency and then 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.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

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.

TREE REMOVAL

TR – 0171 (Rev 7/2022)

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

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.
 - i. Traffic control must conform to requirements shown in the State Standard Plans. When required, the use of a flashing arrow board is MANDATORY.
 - ii. 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. When a permit is issued for removal, pruning, or addressing structural deficiencies 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.
5. 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.
6. 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.
7. Pruning (Trimming) and/or Removal of vegetation to improve visibility to or from a residential development or commercial building is not allowed.
8. This permit does not restrict a utility company from complying with California Public Resources, California Public Utility Commission (CPUC) General Orders, and other Federal, State or local laws that require clearances between vegetation and gas lines or energized power lines.
9. Permittee and the authorized agents must keep a copy of the signed Tree Removal Request at the work site during tree removal operations.

UNCASED HIGH-PRESSURE NATURAL GAS PIPELINE PROVISIONS

TR-0158 (Rev 04/2018)

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

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 feet. 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 inches.

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 inches 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.

ENCROACHMENT PERMIT SPECIAL PROVISIONS**EXCERPTS FROM CODE OF FEDERAL REGULATIONS****DESIGN FACTORS TO BE UTILIZED FOR NATURAL GAS PIPELINES**

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

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 one-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. A 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.

UNMANNED AIRCRAFT SYSTEMS (UAS) OPERATION

TR-0416 (New 10/2019)

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

The following are Federal Aviation Administration (FAA) Regulations for small UAS:

1. UAS operations are considered public or commercial operations. UAS operations will occur under Title 14, Code of Federal Regulations, section 107 (also known as Federal Aviation Regulation [FAR] Part 107).
2. Prior to each flight operation, the remote pilot must check the UAS to determine whether it is in a condition for safe operation (section 107.15).
3. A small UAS cannot be operated in a careless or reckless manner that endangers the life or property of another. Do not allow an object to be dropped from UAS in a manner that creates an undue hazard to persons or property (section 107.23).
4. Unless granted a waiver from the FAA from a FAR Part 107, section 107.205 restriction, a remote pilot operating UAS shall NOT:
 - a. Operate UAS from a moving aircraft or from a moving land or water-borne vehicle (section 107.25)
 - b. Operate UAS at night or during civil twilight hours (section 107.29)
 - c. Operate UAS beyond the pilot's ability to clearly determine its orientation with unaided vision (section 107.31)
 - d. Act as a remote pilot or visual observer in the operation of more than one UAS at the same time (section 107.35)
 - e. Operate UAS over a human being unless that human being is directly participating in the operation of the UAS or is located under a covered structure or inside a stationary vehicle that can provide reasonable protection from a falling small unmanned aircraft (section 107.39)
 - f. Operate UAS without yielding the right-of-way to all aircraft, airborne vehicles, and launch and re-entry vehicles. Yielding the right-of-way means that the UAS must give way to aircraft or airborne vehicles and may not pass over, under, or ahead of them unless well clear of the aircraft or vehicle. [section 107.37(a)].
 - g. Operate UAS
 - i. with a groundspeed exceeding 87 knots (100 miles per hour)
 - ii. with an altitude higher than 400 feet above ground level, unless flown within 400-foot radius of a structure and is not higher than 400 feet above the structure's immediate uppermost limit
 - iii. with less than 3 statute miles flight visibility
 - iv. within 500 feet below clouds nor within 2,000 feet horizontally from clouds (section 107.51)
5. No person shall operate UAS so close to another aircraft as to create a collision hazard [section 107.37(b)].

ENCROACHMENT PERMIT SPECIAL PROVISIONS

6. No person shall operate UAS in Class B, Class C, or Class D Airspace as defined by the FAA, or within the lateral boundaries of the surface area of Class E Airspace designated for an airport, unless that person has prior authorization from Air Traffic Control or has a Certificate of Authorization Waiver to do so (section 107.41).
7. No person shall operate UAS in a manner that interferes with operations and traffic patterns at any airport, heliport, or seaplane base (section 107.43).
8. No person shall operate UAS where Temporary Flight Restrictions (TFR) are in place as designated by a Notice-To-Airmen (NOTAM), unless cleared to do so by the controlling agency under 14 CFR 91.137 (section 107.47).
9. A small UAS cannot carry hazardous materials (section 107.36).
10. The maximum total weight of a small unmanned aircraft (UA) (including payload/cameras) operating under FAR Part 107 authority shall be less than 55 pounds. The 55-pound weight limit for small UAS includes everything that is on board or otherwise attached to the aircraft at the time of takeoff (section 107.3).

The following are Caltrans Special Provisions related to small UAS:

1. UAS operations within the SHS shall comply with federal and State laws, local ordinances, and the Caltrans UAS Operations Handbook (Handbook).
2. The remote pilot shall consult current aeronautical charts, Notice to Airmen (NOTAMs), Temporary Flight Restrictions (TFRs), and the “B4UFLY” mobile device application prior to each UAS operation.
3. The remote pilot cannot relinquish control of UAS to a non-remote pilot during UAS operation.
4. UAS shall be operated according to manufacturer recommendations, user guide, and maintenance requirements. Prior to each flight operation, the remote pilot must check the UAS to determine whether it is in a condition for safe operation. Equipment will be visually inspected to include the following:
 - a. Condition of aircraft including motors, propellers, and electrical connections
 - b. Display of the UAS Certificate of Registration number on the UAS
 - c. Aircraft radio control transmitter
 - d. Camera and gimbal and any other sensor/payload
 - e. Battery condition
 - f. Video transmitter, receiver, and antennae
5. A permanent marker, label, or engraving of the FAA UAS registration number that is accessible and legible upon close visual inspection, must be affixed to the UAS aircraft.
6. UAS flight crew is the team responsible to perform a UAS operation. The UAS flight crew must include, at a minimum, a remote pilot and a visual observer. Support personnel may be assigned, as needed, to ensure the safe and effective operation of the UAS. UAS flight crew should maintain a position as far from the edge of traveled way as possible (close to the right-of-way line).
7. Do not launch or land UAS closer than 50 feet horizontally from the edge of traveled way unless Intermittent Traffic Control (ITC), or rolling break closure is in effect.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

8. Do not operate UAS when manned aircraft (fixed-wing or rotor-wing) or other UAS are observed nearby.
9. Do not operate UAS at an altitude less than 100 feet.
10. UAS cannot operate over event participants, spectators, or bystanders. UAS cannot operate over traveled lanes, bicycle lanes, shoulders, or sidewalks within the SHS unless a closure is in effect.
11. UAS operation shall not be planned to fly over private property without first obtaining permission from the property owner. The remote pilot shall be aware of the right-of-way limits. Remote pilots shall take precautions to avoid accidental or incidental overflight of private property, unless first obtaining permission from the property owner.
12. Traffic impacts must be mitigated. Traffic mitigation measures must be shown on traffic control plans (signed and stamped).
13. A safety meeting shall be conducted prior to UAS operation and will include at least the following items: roles and responsibilities, the planned operation, traffic control, potential safety concerns, and emergency response. Any modifications on the UAS Data form must be notified to the Department's Representative at least 24 hours prior to UAS operation.
14. A remote pilot operating UAS shall not operate UAS:
 - a. Above any cloud or smoke that presents obstructions to visibility between the UAS and the remote pilot
 - b. In any situation where local conditions have changed considerably prior to or during flight
 - c. In a manner to invade individuals' privacy
 - d. In restricted types of airspace (see the Handbook)
15. Authorization to operate UAS under an encroachment permit, may be suspended immediately for reasons including, but not limited to the following:
 - a. Lack of compliance with the FAA requirements, the Handbook, and/or Caltrans policies and procedures
 - b. Lack of required knowledge and/or skills, or lapsed and/or incomplete records, certifications, or certification renewal
 - c. The traffic demand for the State facility significantly exceeds the anticipated demand.

UTILITY ANNUAL PROVISIONS

TR – 0160 (Rev. 7/2022)

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

Annual utility permits UE are issued to utilities who maintain their facilities within State highway right-of-way. Any 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 any work on freeways and expressways, tree trimming, aerial capacity increases on designated "Scenic Highways", pole replacement / relocation work, or other activities not specifically provided for in this permit.

UE2. 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. An **emergency** is defined in the Public Resources Code as "[...] a sudden, unexpected occurrence, involving a clear and imminent danger, demanding immediate action to prevent or mitigate loss of, or damage to, life, health, property, or essential public service. 'Emergency' includes such occurrences as fire, flood, earthquake, or other soil or geologic movements, as well as such occurrences as riot, accident, or sabotage." In such cases, the Department's representative shall be notified immediately.

Replace poles knocked down by vehicles, accidental causes or natural disasters. The entire length of poles and stubs must be removed from the ground and replacement pole must be placed at the exact location. Planned pole replacements/installations are not allowed under this permit.

UE3. OPEN EXCAVATIONS: Excavation must not be left open after daylight hours unless specifically authorized and adequate protection for traffic is provided in accordance with the Encroachment Permit General Provisions, "Public Traffic Control" And "Minimum Interference with Traffic". Backfill and pavement replacement must be performed in

accordance with General Provisions, "Restoration and Repairs in State Highway right-of-way."

UE4. TRAFFIC CONTROL: Work requiring traffic control shall be conducted between Monday-Friday 9:00 a.m. and 3:00 p.m. or as otherwise authorized by the Permit Engineer. Adequate traffic control must be provided in accordance with the Encroachment Permit General Provisions, "Public Traffic Control", "Minimum Interference with Traffic" and "Suspension of Traffic Control Operation."

Only those maintenance activities that can be performed using a Caltrans Standard Plans for Temporary Traffic Control Systems and Temporary Pedestrian Access Routes are authorized under the annual maintenance permit. Otherwise a separate permit application for the work, along with a traffic control plan designed and signed by a California Registered Civil or Traffic Engineer must be submitted for review and approval.

Advanced notification must be provided to Caltrans Traffic Management Center for any activities that may cause a traffic impact including all lane closures. Adequate notice must be provided in accordance with the Encroachment Permit General Provisions, "Notification of Closure to Department and Traffic Management Center (TMC)."

UE5. WORK PERMITTED - AERIAL: All permitted activity must not be over the traveled way or within the limits of officially designated scenic highways and/or on Caltrans structures.

1. Maintain, inspect, remove, repair or replace (in the same location) all aerial facilities. Work over the traveled way requires a separate permit and the placement of "H" poles and netting as per form TR-0108, located in Appendix "E" of the Encroachment Permits Manual.

ENCROACHMENT PERMIT SPECIAL PROVISIONS

Replace broken pins and/or insulators, repair broken wires, pull slack wires, and replace or pull broken or slack guys.

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.

Perform insulator washing and interconnect splicing of cables.

Install additional capacity (in the same location), install, maintain, remove, repair or replace aerial service connections with potential to ground of 300 volts or less.

2. Installations and clearances must be equal to those required by either the California Public Utilities Commission orders or the Division of Occupational Safety and Health (Cal/OSHA) regulations promulgated in the California Code of Regulations, Title 8, Chapter 4, whichever is more restrictive.

UE6. 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 or require uncovering more than 50 feet of line at any one time. 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 Encroachment Permit General Provisions "Public Traffic Control" and "Minimum Interference with Traffic".
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 for the following:
 - i. Natural gas service lines less than 2 inches in pipe diameter that have normal operating pressures of 60 psig or less
 - ii. Subsurface electrical service connections with a potential to ground of 50 volts or less
 - iii. Service connections for water, sewer, telephone, telecommunication, and cable service
8. Permanent pavement patching for work authorized by this permit. The patching must be made within thirty (30) days of completion of backfill unless otherwise specified by the Permit Engineer. See Underground Utility Provision UG 9 (form TR-0163).

UE7. 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 must be provided upon expiration of their annual permit or upon request of the Department as needed.
2. Utility Companies must submit copies of the Safety Data Sheets (SDS) 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.

UE8. MISCELLANEOUS:

1. Install new and replace existing transformers on existing poles.
2. 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 is required for that purpose.

UTILITY LEASING

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

ENCROACHMENT PERMIT SPECIAL PROVISIONS

UTILITY OVERHEAD PROVISIONS (OH)

TR – 0162 (Rev. 07/2023)

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

OH1. LOCATION POLE LINES, ETC.: Pole lines shall be located as specifically directed in the provisions of the permit.

OH2. INSTALLATIONS AND CLEARANCES: Horizontal clearance, as measured from the edge of traveled way to the installation must be in accordance with the minimum clearance required for Discretionary Fixed Objects. According to Caltrans' Highway Design Manual (309.1) The installation should be located beyond the clear recovery zone at a minimum of 52 feet horizontally or 8 feet vertically up-slope from the edge of traveled way, unless they are made breakaway or shielded behind existing guardrail, barrier or other safety devices. In no case is a pole allowed closer than 1.5 feet behind a curb face or less than 2 feet from the edge of a slope catch point or 3 feet from the curb returns of intersections and near the edges of driveways, 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 must comply with applicable orders of the California Public Utilities Commission (CPUC), or the Division of Occupational Safety and Health (Cal/OSHA) Safety Orders, whichever is more restrictive.

OH3. PERMISSION FROM PROPERTY OWNERS: When necessary, permission must 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 must they be so attached as to girdle the tree or interfere with its growth. Guy wires must be kept to a minimum elevation above ground as directed.

OH6. ANCHOR: In general, anchor must not 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 must be removed from the ground and the holes backfilled. Guy rods must be removed to a minimum depth of 3 feet below original ground.

OH8. AERIAL CROSSING: Work involving new or additions to existing aerial crossings must not be performed in rainy, foggy or inclement weather which creates hazardous conditions for highway users.

OH9. CLEARANCE FROM CURBS: The face of poles must not be placed closer than 1.5 feet 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 must be saw cut, removed and replaced to the nearest score lines or expansion joints. The hole in the PCC sidewalk created by pole removal must be temporarily backfilled with 2 inches 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., must not be installed inside of any controlled access right of way. All such requests are "exceptions" to policy.

UTILITY UNDERGROUND PROVISIONS (UG)

TR-0163 (Rev. 07/2023)

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

High priority utilities, pressurized facilities, pipes or ducts six (6) inches 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 State highway right-of-way. An exception to this encasement policy may be allowed on a case-by-case basis with the “Uncased High-Pressure Natural Gas Pipeline” Special Provisions (TR-0158).

A “High Priority Utility” is defined as: 1) natural gas pipelines greater than six (6) inches in diameter, or with normal operating pressures greater than sixty (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 sixty (60) kV; or 5) hazardous materials pipelines that are potentially harmful to workers or the public if damaged.

The pavement or roadway must not be open cut unless specifically allowed. Utility installations are not allowed inside culverts or drainage structures.

All installations must comply with Chapter 17 of the Caltrans Project Development Procedures Manual for utility clearance and offset requirements.

For additional details regarding longitudinal utility encroachments on both conventional and access-controlled State highway right-of-way, see Section 602 of the Encroachment Permits Manual.

UG 1. ENCASEMENT: Casings must have an inside diameter sufficiently larger than the outside diameter of the pipe or duct to accommodate placement and removal.

When Horizontal Directional Drilling (HDD) is authorized, High-Density Polyethylene (HDPE) is acceptable as the casing.

When Reinforced Concrete pipe in accordance with Section 65-2 of Caltrans Standard Specifications is installed by Bore & Jack, it must have rubber gaskets at the joints and see “D” below for grouting of voids left by jacking operations.

- A. Spiral welded casings may be allowed provided the casing is new and the weld is smooth.
- B. The ends of the casing must be plugged with ungrouted bricks or other suitable material approved by the Department’s representative.
- C. Minimum wall thicknesses of steel encasements for different lengths and diameters of pipes are as follows:

Minimum Wall Thickness

Casing Diameter	Up to 150 feet in length	Over 150 feet in length
6 to 28 inches	1/4 inch	1/4 inch
30 to 38 inches	3/8 inch	1/2 inch
40 to 60 inches	1/2 inch	3/4 inch
62 to 72 inches	3/4 inch	3/4 inch

- D. When required by the Department’s representative, the permittee must pressure grout to fill any voids

caused by the permitted work at the permittee’s expense. The grout holes when placed the inside of the casing must be on eight (8) feet centers, longitudinally and offset twenty-two (22) degrees from the vertical axis of the casing and staggered to the left and right of the top longitudinal axis of the casing. Grout pressure must not exceed five (5) psig for a duration sufficient to fill all voids.

- E. When the placement of multiple encasements is requested, the distance between multiple encasements must be the greater of twenty-four (24) inches or twice the diameter of the larger pipe being installed.
- F. Casings within access-controlled highways must extend to the right-of-way lines.
- G. Wing cutters, if used, must be a maximum of one (1) inch larger in diameter than the outside diameter of the casing. Voids caused by the use of wing cutters must be grouted in accordance with “D” above.
- H. A band welded to the leading edge of the casing must be placed square to the alignment and not on the bottom edge. A flared lead section on bores over one hundred (100) feet is not allowed.
- I. The length of the auger strand must be equal to that of the section of encasement pipe.
- J. The casings within conventional highways must extend at least five (5) feet beyond the back of curb or edge of pavement, or to the right-of-way line if less. Where Portland Cement Concrete (PCC) cross-gutter exists, the casings must extend at least five (5)

ENCROACHMENT PERMIT SPECIAL PROVISIONS

feet beyond the back of the cross-gutter, or to the right-of-way line if less.

UG 2. OPEN-CUT METHOD: When the encroachment permit authorizes installation by the open-cut method, surfacing and base materials and thickness thereof must be as specified in the encroachment permit.

No more than one (1) lane of the highway pavement must be open cut at any time unless otherwise approved in writing by the Department's representative. After the pipe is placed in the open-cut section, the trench must be backfilled in accordance with Section 19-3 of Caltrans Standard Specifications. The backfilled section must be open to traffic safely with temporary repairs to the surfacing before the next section of pavement is cut.

If backfilling operations have not been properly completed at the end of a working day, steel plate bridging is required to make the entire highway facility open to traffic in accordance with the "Steel Plate Bridging Utility" Special Provisions (TR-0157).

Sides of open-cut trenches in paved areas must be kept as nearly vertical as possible. Trenches must not be two (2) feet wider than the sum of the outside diameter of the pipe to be laid therein plus the necessary width to accommodate shoring.

UG 3. TRENCHLESS CONSTRUCTION: The following provisions are applicable for installing conduit with the bore diameter less than thirty (30) inches using trenchless methods (e.g., Bore & Jack, HDD, Microtunneling, Pipe Bursting, Pipe Ramming, etc.). For installations with the bore diameter equal to or greater than thirty (30) inches, permittees must comply with Non-Standard Special Provision (NSSP) 19-15, Trenchless Construction. A copy of the NSSP 19-15 can be obtained from the Department's representative or District Encroachment Permits Office.

3.1. Definitions

Bore: Borehole excavated using trenchless construction for the installation of conduit.

Overcut: Radial annular gap between bore and outer pipe wall.

3.2. Construction: The superintendent must be at the site at all times when work is being conducted, if the borehole diameter is greater than ten (10) inches and the depth of installation is less than eight (8) times the diameter of the borehole.

Trenchless excavation and conduit installation must be performed to the line and grade shown. When excavation or installation is out of line or grade, make immediate alignment correction.

Existing structures, pavement, and utilities must be protected during installation. Restore and repair immediately any damage resulting from construction.

Repair or replace any damaged pipe sections.

Overcut must be less than:

- A. One (1) inch or five (5) percent of the conduit outside radius, whichever is less, and
- B. Two (2) inches for trenchless construction using HDD method

Notify the Department's representative immediately if you encounter obstruction or condition that impedes construction.

3.3. Quality Assurance

3.3-1. Pre-construction Meeting: Contact the Department's representative to schedule and have a pre-construction meeting at least seven (7) business days before the start of trenchless construction or as identified in the permit.

Attendees should include:

1. The Department's representative
2. Your project manager
3. Your project superintendent
4. The contractor for trenchless construction

Provide and present:

1. Trenchless construction shop drawings, work plans, and calculations
2. Mitigation plans for both during and after construction
3. Construction timeline and critical path activities

3.3-2. Contractor Qualifications: The contractor must employ a superintendent, who has successfully completed at least five (5) of such projects, if the borehole diameter is greater than ten (10) inches and the depth of installation is less than eight (8) times the diameter of the borehole. Before pre-construction meeting, the following must be submitted to Department's representative if requested:

1. Summary of the contractor's experience demonstrating that the contractor has successfully completed at least five (5) projects in the past five (5) years using similar trenchless construction in similar ground and groundwater conditions with similar drive lengths and diameter range.
2. Summary of the superintendent's experience demonstrating that the superintendent has successfully completed at least five (5) projects using similar construction methods for trenchless construction in similar ground and groundwater

ENCROACHMENT PERMIT SPECIAL PROVISIONS

conditions with similar drive lengths and diameter range.

3.3-3. Conduit Line, Grade, and Shape: When monitoring is required:

1. Survey and record control lines at least seven (7) business days before trenchless construction.
2. Observe and adjust measurements of survey control lines weekly. Report discrepancies to the Department's representative.

Survey and record the centerline of the constructed conduit after each section is advanced or every five (5) feet of advancement, whichever is shorter.

3.3-4. Ground Surface Movement Monitoring: Ground surface movement monitoring is required if the installation meets the following criteria or if required by the Department's representative:

1. Bore diameter is greater than ten (10) inches, and
2. Minimum vertical distance between the pavement or sidewalk surface and the top of bore is less than eight (8) times the diameter of the borehole.

Mark monitoring points on critical structures and utilities at locations shown. Include these points in monitoring surveys. Perform monitoring surveys before noon and at ambient temperature below eighty-five (85) degrees Fahrenheit. Perform ground surface survey under the Caltrans Surveys Manual and supplemental guidance.

Establish a minimum of four (4) control points for ground surface movement monitoring. Perform baseline ground surface survey at least fifteen (15) business days before trenchless construction. Notify the Department's representative at least ten (10) business days before the survey.

Develop baseline surface model. Use the baseline surface model to determine the movement of ground surface and embankment slope. See Encroachment Permit Survey Grid (TR-0151) in Appendix E of the Encroachment Permits Manual for survey grid spacing and other requirements.

Perform ground surface movement monitoring survey:

1. Weekly during construction or as required by the Department's representative
2. Biweekly for one (1) month after completion of each installation or as required by the Department's representative

Produce the surface model based on the monitoring survey data and calculate the movement of monitoring points using baseline surface model. Each monitoring survey may have different grid points.

Each ground surface horizontal and vertical measurement must be accurate to ± 0.03 feet on pavement and ± 0.1 feet

on unpaved surfaces at the ninety-five (95) percent confidence level. Vertical movement produced by comparing current surface model with pre-construction surface model must be accurate to ± 0.01 feet on pavement and ± 0.1 feet on unpaved surfaces at the ninety-five (95) percent confidence level.

If ground surface movement in the pavement above the advancing pipe meets the requirements for two (2) consecutive weeks, the frequency of monitoring survey may be reduced to biweekly.

Notify the Department's representative at completion of each installation. Ground surface vertical movement requirements are:

Ground Surface Vertical Movement

Quality Characteristic	Requirement
Critical Structure Monitoring Points - Horizontal or Vertical (max, feet)	0.02
Highway surface (max, feet)	0.04
Embankment slope (max, feet)	0.2

If ground surface vertical movement requirements are not met:

1. Stop work immediately.
2. Notify the Department's representative.
3. Submit an alternative construction method.
4. Submit a mitigation plan that includes methods to fill the voids created under the ground surface and restore the density of subsurface materials.
5. Monitor ground surface movement in the area above the advancing pipe:
 - 5.1. Daily until no additional vertical movement is detected in the areas that exceed the movement requirements
 - 5.2. Every two (2) working days until the vertical movement meets the requirements for two (2) consecutive weeks

3.4. Submittals

3.4-1. Monitoring Plans: Submit monitoring plans for:

1. Conduit grade and alignment control, including monitoring instruments, layout of instrumentation points, construction details, and monitoring frequency
2. Logging of excavated materials, including anticipated volume of excavation and measured volume of removed spoil
3. Critical operations of applicable trenchless construction, including excavation, boring, spoil removal, lubrication, jacking, installation, and grouting
4. Ground surface movement, including digital surface survey method, survey data processing and analysis

ENCROACHMENT PERMIT SPECIAL PROVISIONS

method, and digital surface file for the bore diameter greater than ten (10) inches and the vertical distance between the pavement or sidewalk surface and the top of bore less than eight (8) times the diameter of the borehole

3.4-2. Daily Construction Record: Maintain Daily Construction Record and submit to the Department's representative upon request.

Daily Construction Record must include:

1. Date and time of operation
2. Names of key personnel
3. Length of constructed conduit, including coordinates and elevation of the beginning and ending (latitude, longitude and northing, easting, elevation) of the conduit advanced during each work shift. Record must reference the project coordinate system.
4. Rate of advance
5. Jacking force
6. Problems encountered, possible causes, and mitigation performed
7. Geological log of excavated face and materials, with the logging performed by a geologist who is registered as an engineering geologist in the State
8. Records and field note of:
 - 8.1. Any visible cracks
 - 8.2. Conduit line and grade control
 - 8.3. Anticipated and actual volumes of spoil removed and causes of the volume discrepancy
 - 8.4. Groundwater table elevation if dewatering is required

3.4-3. Ground Surface Movement Monitoring

Records: Submit:

1. Before construction: survey data and surface model to demonstrate compliance with the Caltrans Surveys Manual and supplemental guidance
2. During and after construction: survey data, surface model, and vertical movement based on the comparison between current and pre-construction surface model

3.4-4. Contact Grouting Record: Maintain Contact Grouting Record and submit to the Department's representative upon request.

Contact Grouting Record must include:

1. Injection locations
2. Grout quantity]
3. Grout pressure
4. Measurements and observations, including heave, casing or carrier pipe movement, grout loss quantity,

communication between grout ports, ground surface, and nearby utilities and storm drains

5. Problems encountered, possible causes, and mitigation performed

3.4-5. Post-Construction Record: Maintain Post-Construction Record and submit to the Department's representative upon request.

Post-Construction Record must include:

1. Completed conduit construction inspection records, including video recording and photographs
2. As-built plans showing details and alignment of the constructed conduit, horizontal and elevation survey based on project coordinate system, any problems encountered, and mitigation actions performed
3. As-built plans showing details of pavement restoration work performed

3.5. Restore Highway Pavement: After completion of trenchless construction of conduit, restore highway pavement to conditions as it was prior to beginning of construction activities or better. Restore Asphalt Concrete (AC) pavement with mill and fill. Repair or replace AC pavement with dowels for any cracks and spalling caused by construction.

UG 4. Bore and receiving pits must:

1. be located at least ten (10) feet from the edge of pavement on rural conventional highways.
2. be located at least five (5) feet beyond the concrete curb and gutter or AC dike on urban conventional highways.
3. be located at least five (5) feet beyond the toe of slope of embankments.
4. be located outside access-controlled highway right-of-way.
5. be protected by placement of six (6)-foot chain link fence or Type K railing around them.
6. be adequately shored in accordance with Cal/OSHA requirements. Shoring for jacking and receiving pits located within fifteen (15) feet of traffic lanes on a State highway must not extend more than thirty-six (36) inches above the pavement grade unless otherwise authorized by Department's representative. Reflectors must be affixed to the shoring on the sides facing traffic. A six (6)-foot chain link fence must be installed around the perimeter of the pits during non-working hours.
7. have crushed rock and sump areas to clear groundwater and water used to clean the casing. Where groundwater is found and pumping is required, the pits must be lined with filter fabric.

UG 5. LIMIT OF EXCAVATION: No excavation is allowed within ten (10) feet from the edge of pavement

ENCROACHMENT PERMIT SPECIAL PROVISIONS

except in curbed urban areas or as specified in the encroachment permit. Where no curb exists and excavations within ten (10) feet 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's representative.

UG 6. TUNNELING: In addition to the requirements of "UG 1" and Section 603.6 of the Encroachment Permits Manual, the following requirements are also applicable:

- A. For this provision, a tunnel is defined as any installation that is thirty (30) inches or greater in diameter.
- B. When tunneling is authorized, the permittee must provide full-time inspection of tunneling operations. The Department's representative must monitor projects.
- C. Sand shields may be required as ground conditions change.
- D. Pressure grouting for liner plate, rib and spiling, or rib and lagging tunnels must be at every eight (8) feet section or the end of work shift before the next section is excavated. All grouting must be completed by the end of each workday.
- E. The headway must be secured at the end of each workday. Breast boards or plates must be installed during working hours for running sand or super-saturated soil.

UG 7. FACILITIES EXEMPT FROM UTILITY POLICIES: The following utilities are exempt from the requirements for location and depiction on the project plans unless the depiction of the utility is needed for interconnectivity with the proposed work (see Chapter 17 of the Project Development Procedures Manual):

- Natural gas service lines less than two (2) inches in pipe diameter that have normal operating pressures of sixty (60) psig or less
- Service connections (laterals) for water, sewer, electric, and telecommunication including fiber optic and cable service

All State-owned utilities must be plotted on the plans.

UG 8. DETECTOR STRIP: A continuous metallic detectable strip must be provided for non-metallic main utility installations. Service connections must be installed at right angles to the centerline of the State highway.

UG 9. BACKFILLING: All backfilling operations must be in accordance with Section 19-3 of Caltrans Standard Specifications.

Any required compaction tests must be performed by a certified laboratory at no cost to the Department and the

laboratory report must be furnished to the Department's representative.

UG 10. ROADWAY SURFACING AND BASE MATERIALS: 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) calendar days of completion of backfill unless otherwise authorized by the Department's representative. Temporary pavement patches must be placed and maintained in a smooth riding plane free of humps and depressions.

UG 11. DAMAGE TO TREE ROOTS: Tree roots three (3) inches or larger in diameter must 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 must not be used under trees if the trunk or limbs can be damaged by their use. Manholes must not be installed within twenty (20) feet of any trunk.

If the trees involved are close together and of such sizes that it is impractical to protect all roots three (3) inches or larger in diameter, or when roots are less than four (4) inches 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 only when approved by and under the close supervision of the District Landscape Specialist or District Tree Maintenance Supervisor.

UG 12. PIPES ALONG ROADWAY: Pipes and conduits paralleling the pavement must be located as shown on the plans or as close as possible to the right-of-way line.

UG 13. BORROW AND WASTE: Borrow and waste must not be allowed within the work limits unless otherwise specified in the encroachment permit.

UG 14. MARKERS: All markers must not create a safety hazard for the traveling public or highway workers.

UG 15. CATHODIC PROTECTION: The permittee must perform stray current interference tests on underground utilities under cathodic protection and notify the Department's representative prior to the tests. The permittee must perform any corrective measures as necessary and authorized by the Department's representative.

UG 16. PAVEMENT REMOVAL: ASPHALT CONCRETE (AC) pavement must be saw cut to the full depth to provide a neat and straight pavement break along sides of the trench. Portland Cement Concrete (PCC)

ENCROACHMENT PERMIT SPECIAL PROVISIONS

pavement must be saw cut at the slab joints and to the full slab depth.

Where the edge of the trench is within two (2) feet of the existing curb and gutter or pavement edge, the AC pavement between the trench and the curb or pavement edge must be removed.

UG 17. EXCAVATION UNDER FACILITIES:

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

UG 18. PERMANENT REPAIRS TO PCC

PAVEMENT: Repairs must be of PCC containing at least six hundred fifty-eight (658) pounds or seven (7) sacks of cement per cubic yard. The new pavement must have the same thickness as the adjacent pavement. The PCC must be satisfactorily cured and protected from

disturbance until it can be open to traffic with a compressive strength of at least 3,000 psig or for not less than forty-eight (48) hours. The new pavement may be open to traffic after six (6) hours of curing when no more than two (2) percent by weight of calcium chloride is added to the PCC mix as an accelerating chemical admixture.

UG 19. REMOVAL OF PCC SIDEWALKS OR CURBS: PCC sidewalks or curbs must be saw cut to the nearest score marks and reconstructed to match the existing sidewalk or curb.

UG 20. SPOILS: No earth or construction materials must be tracked onto the highway pavement and public or private approach. The permittee must remove these materials immediately if tracked from the highway pavement and public or private approach.

VIBRIO GENERATING EQUIPMENT (GV)

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

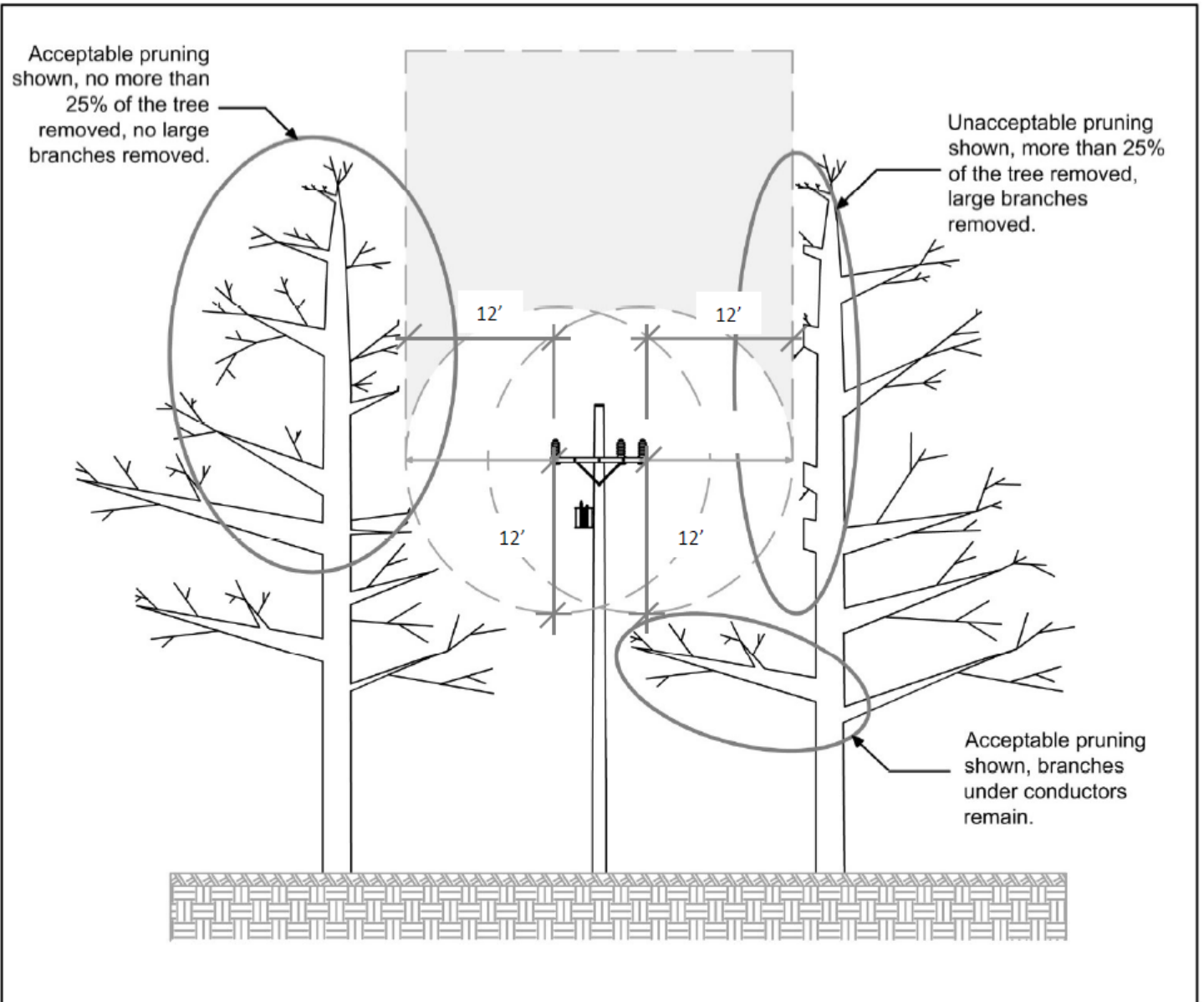
1. Equipment shall not be operated on any pavement or other paved surface.
2. Equipment shall not be operated within access-controlled rights of way.
3. Equipment shall be placed and operated as close to the right of way line as possible.
4. Equipment shall be operated so that no damage will occur to 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.

Wildfire Mitigation Enhanced Vegetation Management Tree Pruning Special Provisions TR-0419 (Rev 1/2021)

Pruning is subject to the most recent version of the Tree Pruning (Trimming) and Chemical Application Special Provisions TR-0159, (updated 07/2018) posted at: <https://dot.ca.gov/-/media/dot-media/programs/traffic-operations/documents/encroachment-permits/appendix-k-ada-a11y.pdf> and, following provisions:

1. This enhanced tree pruning is allowed by electric utilities only to aid the fire prevention efforts in Tier 2 and Tier 3 of the fire hazard areas. See California Public Utilities Commission (CPUC) Fire-Threat Map for Tier 2 and Tier 3 fire hazard locations limits.
2. Tree removal is not permitted. Extensive, severe pruning that may cause tree mortality is not permitted.
3. Enhanced pruning on Officially Designated Scenic Highways (ODSH) is not allowed under annual tree pruning permit. Enhanced pruning on Officially Designated Scenic Highways (ODSH) may be allowed under standalone permit on case by case basis.
4. Notify the Caltrans District Landscape Architect or designee seven (7) working days prior to start of pruning work. At that time, the permittee shall submit a general pruning scope clearly designating trees to be pruned. The Caltrans District Landscape Architect or designee shall meet the permittee's assigned certified ISA arborist at the project site to review pruning work and strike an agreement regarding scope of the pruning work based on balanced approach of desired pruning and tree health.
5. In general, the maximum amount of pruning permitted will allow for twelve (12) feet of clearance below and to the sides of the conductor and to the clear sky above the conductors.
6. Cumulative pruning that removes more than 25% of the volume of a live tree tissue for any particular tree in a single year and/or removal of branches greater than five (5) inches in diameter shall be evaluated and approved by the Caltrans District Landscape Architect or designee and will require written approval prior to commencement of work.
7. The following diagram further explains the limits of pruning work that can be permitted as part of wildfire prevention efforts.

ENCROACHMENT PERMIT SPECIAL PROVISIONS



**Wildfire Mitigation Enhanced Vegetation Management Tree Pruning
Special Provisions**