

Appendix F – Miscellaneous

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SAMPLE LETTER TO CITY OR COUNTY REQUESTING CONSENT FOR VISIBILITY IMPROVEMENT

ENCROACHMENT PERMIT FILE & PLAN SET ARCHIVING GUIDELINES

MINIMUM CLEARANCES OF WIRES ABOVE RAILROADS, THOROUGHFARES, BUILDINGS, ETC.
(CALIFORNIA PUBLIC UTILITIES COMMISSION GENERAL ORDER 95, RULE 37 INCLUDING TABLE 1)

https://ia.cpuc.ca.gov/gos/OriginalGO95/Changes/rule_03_section_03.htm

DEPARTMENT OF TRANSPORTATION

DISTRICT XX, ENCROACHMENT PERMITS OFFICE

???? \$\$\$\$ STREET

P.O. BOX 00000, MS-XX

XXXXXXXXXX, CA 90000-0000

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TTY 711

www.dot.ca.gov

*Making Conservation
a California Way of Life.*

<Date>

<Mr./Ms./The Honorable Name>

<Title>

<Organization>

<Address>

<City, ST ZIP>

Dear <Mr./Ms./City/County Manager>:

I am writing to you in behalf of a visibility improvement requester regarding a matter you may be interested in.

Pursuant to Streets and Highways Code Section 670, when proposed encroachment work for the destruction, removal or topping of a tree (except if dead or diseased) exceeds \$500, then the consent of the city or county, in which the tree is located, is required before permit issuance. In addition, a 30-day time limit to respond from the receipt of this letter is also required and failure to do so shall deem the consent from the city or county.

Please complete the bottom portion of the enclosed Visibility Improvement Request and return it to the Caltrans District Permit Office.

Sincerely,

NAME

District Permit Engineer

Enclosure

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMIT FILE & PLAN SET ARCHIVING GUIDELINES

(Rev. 10/2020)

In addition to the requirements discussed in Encroachment Permits Manual, Section 206.4A “Closing Permit Files,” the following steps must be taken when preparing paper or digital permit files and As-built plan sets for archiving. As-built plans and permit files are separated because they are archived into separate areas of the Document Retrieval System (DRS).

Each permit file is ready for archiving when the entire file is either in a digital or paper format, but not both. A paper copy is not a requirement. If the permit file is comprised of both paper and digital files, the District decides whether digital files will be printed or paper copies will be scanned, such that the entire permit file is in a consistent format (either all paper or all digital).

If all permit file documents and plans are digital, it is not required to print a paper copy. Skip to the [“Generate Read-only PDF Files and Archive Index”](#) section of these guidelines.

A permit project is archived as two read-only (PDF/A) PDF files: the “permit file” and the “plan set.”

Permit File:

1. After separating the As-built plans from the other permit documents, the remaining permit documents make up the “permit file.”
2. The first page of the permit file must be a completed “EP – Archive Slipsheet” (form TR-0155). This form is available at:

<http://cefs2.dot.ca.gov/v2Forms/servlet/FormRenderer?frmid=TR0155>

3. Slipsheet forms can be typed or handwritten as long as they are legible. If handwritten, legibly print using black or blue ink. To automatically complete multiple Slipsheets, see the [“Archive Slipsheet and EPMS Output File - Mail Merge for form TR-0155”](#) section of these guidelines.

Plan Set:

1. Plan sets must be separated from the permit files and archived separately.
2. Archive Stamp - Plans must contain legible information or an Archive Stamp (permit #, plan set #, etc.) on each page of the plan set and which must be placed parallel to the bottom edge of the page at one of the following locations:
 - 1.1. First choice - lower right quarter
 - 1.2. Second choice- upper right quarter
 - 1.3. Third choice - upper left quarter
 - 1.4. Fourth choice- lower left quarter

If the background of the page is a dark color, before applying the stamp, tape a post-it or similar label on the page to make the stamp legible and then stamp the label.

The stamp must contain the following information:

Permit No. _____
Accepted by: _____ Date _____
Sheet _____ of _____ Plan Set No. _____

3. Be sure plan sets are placed behind the permit file documents and are facing up.
4. Do not place written information on the back of the plan set. When scanning a paper document into digital format, check to see if written information has been placed on the back of the plan set. If it has,

the back of that plan page must be scanned as well, with a post-it or other notation to make clear the scanned page is the back of the page, the page number must be identified, and must appear in the same order as it occurs in the documents. For example, if only page 2 of 3 has written information on the back, the scanned pages must be placed in the following order: page 1 front, page 2 front, page 2 back with notation “page 2 back” or similar, page 3 front.

5. Important notes must be taped onto the plan set. These additional pieces of paper become part of the plan set. Place and tape down any applicable notes over an open space on the plan set.
6. Remove all staples from plan sets with multiple sheets. Plan sheets must be numbered and placed in the correct sequential order.
7. Do not break up a plan set between boxes.

Packing Permit Boxes (Paper files only):

1. Consecutively number each box within the current calendar year.

Format:

- 2-digit District number – 2-digit box number – last 2 digits of the current calendar year.

Example:

- The first box packaged by District 02 in 2017 is numbered 02-01-17.
- Two months later, the second box is packaged and numbered 02-02-17.
- Then District 02 does not package another box until 2018. Since this is the first box for 2018, this box is numbered 02-01-18.

2. Arrange the permit files and plan sets in ascending order by year and plan set number within the year.

The oldest plan set with lowest plan set number will appear first, followed by the second oldest, etc.

Example:

<u>PERMIT NUMBER</u>	<u>YEAR</u>	<u>PLAN SET #</u>	<u>TOTAL PAGES</u>
0217 – 6-CD - 0005	2017	17	1
0217 – N-DD - 0180	2017	30	1
0218 – 6-MC - 0161	2018	31	1
0219 – 6-UB - 0068	2019	35	2
0219 – N-UE - 0070	2019	36	3

The district must list the plan sets in ASCENDING YEAR and PLAN SET # as the plans also appear in the box.

The first plan set listed on the sheet is the plan set on top in the box, etc.

3. The “Permit Transfer Sheet” (form ADM-0163) is an accountability record used by both the District Office and the scanning contractor to track the location of any particular permit file while it is in the process of being archived. This form is available at:

<http://cefs2.dot.ca.gov/v2Forms/servlet/FormRenderer?fmid=ADM0163>

4. A copy of the “Permit Transfer Sheet” (form ADM-0163) must be placed inside the box (on top of the permit files).
5. A second copy of the “Permit Transfer Sheet” (form ADM-0163) must also be taped to the outside of the box. This allows quick reference to the box’s contents without opening it if a file needs to be located.
6. A third copy of the “Permit Transfer Sheet” (form ADM-0163) is kept for the District’s records.
7. If the documents do not completely fill up the box, add packing material to prevent the contents from shifting during transit.

Generate Read-Only PDF Files and Archive Index:

When the entire permit file is in digital format, use the directions below to separate permit documents into two read-only PDF files (Permit File and Plan Set) and generate an Archive Index.

1. DDYYBPPNNNN_plans.pdf - For each permit number, combine As-built plan sheets into a single read-only PDF file using Adobe Acrobat Pro. Stamp each plan with the Archive Stamp as described in the [Plan Set](#) section, second bullet. Or use the Header & Footer feature of Adobe Acrobat Pro to insert the information. When finished, go to File, Save as Other, Archivable PDF (PDF/A).
2. DDYYBPPNNNN.pdf - For each permit number, combine the remaining permit documents into a single read-only PDF file using Adobe Acrobat Pro. Insert the Slipsheet (see [Slipsheet and EPMS Output section](#) of these guidelines) at the beginning and end of each permit file. When finished, go to File, Save as Other, Archivable PDF (PDF/A).
3. Generate an Archive Index (Microsoft Excel file) from the EPMS Output File (or manually generate the index) as described in the [Slipsheet and EPMS Output section](#) of these guidelines. Note: The only difference between the EPMS Output file and an Archive Index is the "Filename" column and additional rows required for each filename.
4. Add a column and label it "FileName" to the Archive Index file as shown below.
5. Add the 'filename' for each PDF file from Steps 1 and 2.
6. In the Archive Index file (Microsoft Excel file), copy and insert additional rows as required for each PDF file from Steps 1 and 2. For example, when the data from EPMS is exported to Microsoft Excel, there will only be one row (record) for each permit number. But there needs to be two identical rows (except for the filename): one row for the Permit File PDF and one row for the Plan Set PDF (unless there are no plans). Note: the only difference between an Archive Index and an EPMS Output file is the addition of the "FileName" column and the addition of duplicate rows.

Archive Index

	permit	applicant	desc. of work	permit district	begin postmile	county	begin postmile	route	begin postmile	pre	begin postmile	begin postmile	align	end postmile	pre	end postmile	end postmile	align	applicant date (simplex)	expiration/extension date	status	close date	FileName
1																							
2	01-09-6-SV-0359	The McEdwards Group	Monitoring Wells - the McEc	01	MEN	222			2.10					2.10					10/27/2009	04/30/2016	(8) closed	08/10/2018	01096SV0359.pdf
3	01-09-6-SV-0359	The McEdwards Group	Monitoring Wells - the McEc	01	MEN	222			2.10					2.10					10/27/2009	04/30/2016	(8) closed	08/10/2018	01096SV0359_plans.pdf
4	01-12-N-BR-0270	Willow Creek Community Se	Hang Banner	01	HUM	299			38					38					06/19/2012	08/31/2012	(8) closed	07/27/2018	
5	01-13-6-RS-0112	Betty Delaney	Road Approach	01	MEN	175			6.50					6.50					02/27/2013	05/31/2017	(8) closed	08/09/2018	
6	01-13-N-AH-0131	The Venue at Camp Indian	AAH - LITTER	01	LAK	29			8.50					9.50					03/12/2013	03/31/2018	(8) closed	07/03/2018	
7	01-13-N-AH-0131	The Venue at Camp Indian	AAH - LITTER	01	LAK	29			8.50					9.50					03/12/2013	03/31/2018	(8) closed	07/03/2018	

Note: DD= two-digit District number, YY= last two digits of the current calendar year, B= billing code, PP= permit type, NNNN= chronological number assigned by EPMS

Archive Slipsheet and EPMS Output File – Mail Merge for form TR-0155:

Generate EP - Archive Slipsheets (Form TR-0155) electronically.

1. Generate search criteria in EPMS (must use Custom Search since Advanced Search does not have the capability to produce the correct output). There are still some bugs with Custom Search, so it is advised to check results.
 - a. Set permit Status equal to “closed.”
 - b. Set permit District equal to DD (this is not required if logged in as a district user).
 - c. Set “Close date” between “Date” and “Date” (fill in as required).
 - d. Set output fields. It is advised to save the search when finished with this step.
 - i. Click on fields in the “Select Results Fields” box that match the column headings in the Archive Index (Microsoft Excel file) shown below. Use the arrows to move the fields from the left window to the right window. Use the “up” and “down” buttons to put the results in the exact order shown in the Archive Index (Microsoft Excel file) below: top to bottom in “Select Results Fields” window in EPMS will be output left to right in the Microsoft Excel file output. Or the columns can be rearranged after exporting the data to Microsoft Excel (not recommended).

The screenshot displays the EPMS search interface. At the top, the header includes the CALTRANS logo and the text 'CALIFORNIA DEPARTMENT OF TRANSPORTATION En encroachment Permit Management System'. Below this, the 'SEARCH PERMITS' section has a 'Enter your search parameters below:' prompt. The 'Search Filters' section includes a search bar and a filter for 'district' equal to '01'. The 'Select Results Fields' section has two columns of fields with arrows between them. The 'Output Results' section has a dropdown menu set to 'excel file'. The 'Save Search' section has a text input field and a 'save' button. The 'Query Code' section shows a SQL query.

2. In the Output Results window, click on the down arrow and change Output Results to “excel file.”
3. Click “get” to retrieve the Query Code. Copy the entire Query Code and paste it into a new tab in the EPMS Output Microsoft Excel file for future reference.
4. Type in a name in the “Save Search” field to save the search if desired. (Saving is highly recommended if you plan to archive files again. Your saved search will appear in the dropdown menu in the upper right corner next to “reset” in the Search Filters section.)
5. In the Output Results section, click “Search” to export to Microsoft Excel, save the file, then organize search results to exactly match the spreadsheet below (if not already done with the “up” and “down” buttons). **Note:** Use this Microsoft Excel EPMS Output file to generate an Archive Index (see [“Generate Read-Only PDF File and Archive Index”](#) section of these guidelines).

EPMS Output

Get Data From Text/CSV From Web From Table/Range Recent Sources Existing Connections Refresh All Properties Edit Links Sort Filter Advanced Text to Columns Flash Fill Remove Duplicates Data Validation Consolidate Relationships Manage Data Model																
C8 AAH - LITTER																
permit	applicant	desc. of work	permit district	begin postmile county	begin postmile route	begin postmile pre	begin postmile align	begin postmile pre	begin postmile align	begin postmile pre	begin postmile align	begin postmile pre	begin postmile align	begin postmile pre	begin postmile align	begin postmile pre
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
01-09-6-SV-0359	The McEdwards Group	Monitoring Wells - the McEdwards Group	01 MEN	222	2.10											
01-12-N-BR-0270	Willow Creek Community Services	Hang Banner	01 HUM	299	38											
01-13-6-RS-0112	Betty Delaney	Road Approach	01 MEN	175	6.50											
01-13-N-AH-0131	The Venue at Camp Indian	AAH - LITTER	01 LAK	29	8.50											
01-13-N-AH-0144	Susan King	AAH - LITTER	01 LAK	53	0.00											
01-13-N-AH-0173	Confusion Hill	AAH - LITTER	01 MEN	101	101.80											
01-13-N-AH-0186	Garcia River Casino	AAH - LITTER	01 MEN	1	18											
01-13-N-AH-0214	Casper/Westport Beach	AAH - LITTER	01 MEN	1	81.50											
01-13-N-AH-0246	Psalm 24	AAH - LITTER	01 LAK	29	43.50											
01-13-N-AH-0301	Toni Genaro & Damon Siska	AAH - LITTER	01 HUM	254	4.30											
01-13-N-UR-0237	Frontier Communications	EA 476901 / NTO 01-2057	01 DN	101	4											

- The column headings must match exactly, and the data be in the exact order shown in the example above.
 - Save the Microsoft Excel file.
- Save the Microsoft Word file "Template - TR-0155_Mail_Merge.docx" then open the file.
 - Click Mailings.
 - Click "Select Recipients."
 - Click "Use an existing list."
 - Click on "MS Excel Worksheets via DDE (*.xls)."

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMITS - MICROSOFT EXCEL SHEET
TR-0155 (REV 05/2011)

PERMIT NUMBER: _____

PERMITTEE: _____

BRIEF DESCRIPTION (2-5 words max): _____

DISTRICT: <permit_district>

COUNTY: <begin_postmile_county>

ROUTE: <begin_postmile_route>

START POST MILE PREFIX: <begin_postmile_pre>

START POST MILE: _____

- If only OLE DB is shown, click on "Show all."
 - Click on "MS Worksheets via DDE (*.xls)."

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
ENCROACHMENT PERMITS - MICROSOFT EXCEL SHEET
TR-0155 (REV 05/2011)

PERMIT NUMBER: _____

PERMITTEE: _____

BRIEF DESCRIPTION (2-5 words max): _____

DISTRICT: <permit_district>

COUNTY: <begin_postmile_county>

ROUTE: <begin_postmile_route>

START POST MILE PREFIX: <begin_postmile_pre>

START POST MILE: <begin_postmile>

- The Microsoft Excel file should have opened and now the Microsoft Excel data is merged into a Microsoft Word file.
- Click on "Preview Results" to view each page, and there are three options:
 - "Print" (place into paper files).
 - "Create PDF" (insert into digital files).
 - "Email" (for someone else to finish).