

## EXCAVATION PERMIT SUBMISSION CHECKLIST

**Note: As per Streets Department, ROW protections must be provided where the excavation is within the ROW Zone (measured in a horizontal project from the ROW line to a point that is equal the excavation depth). The designer must comply with Streets Dept design criteria and provide documentation demonstrating compliance, as established by Streets.**

		PROVIDED		N/A	
<b>1. Interdepartmental Approvals</b>					
	<b>A. Streets Dept Approval--Encroachments in the Public ROW</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<ul style="list-style-type: none"> <li>- Temporary Excavation Encroachment is more than 3' into the ROW, with exception of emergency egress window well dimensions.</li> <li>- Any excavations exceeding 12'-0" in depth and within the ROW zone width (equal to the excavation depth).</li> <li>- All permanent encroachments into the public right-of-way.</li> </ul>				
	<b>B. PWD--Storm Water Management Approval (Area of Disturbance &gt; 5,000 SF)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
<b>2. Plan Submission</b>					
	<b>A. Property Lines</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>B. Location and Width of Adjacent Site Elements (within a separation distance the greater of 15'-0" or 1.5 times the excavation depth)</b>				
	Adjacent Walkways	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Adjacent Alleys	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Adjacent Streets	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Curblines locations and cross-sections	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>C. Neighboring Structures (within 10' of excavation)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Height	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Stories	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Width	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Description of Construction Type	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>D. Area &amp; Depth of Excavation</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>E. Location of Utilities near the Work Area (within 15' of excavation)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Utility Type & Depth	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Underground Utility Confirmation Number	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	Support of Excavation system located to Avoid Utility or Rail Service interference	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>F. Size and Location of Construction Barriers (In accordance with Ch 3306)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A
	<b>G. Identified location of State or other highways in proximity to Excavation operations</b>	<input type="checkbox"/>	Y		N/A
	Separation distance of proposed excavation from travel lane	<input type="checkbox"/>	Y	<input type="checkbox"/>	N/A

Will Crash Protection Barriers be required based on separation distance? [Within a 12'-0" distance of a State Highway, or 10'-0" on all other highways]	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Crash Protection Barrier Details Provided, if required	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>H. If Foundation/Retaining Walls found within 10 Ft of Excavation</b>	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
Depth and description of Footing (i.e. concrete, rubble stone, etc..)	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Is Underpinning OR Alternate Structural Support Systems Required?	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
Description and Sequencing	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Details for Damp-proofing of Foundation Walls (Ch 18 of the Building Code)	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>I. Protective support system for ROW (more than 3'-0" beyond the ROW line, or a ROW zone within a separation distance equal to the excavation depth)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Designed in accordance with ROW Structural Design Criteria (Engineer's calculations must be provided)	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>J. Protective support system outside of ROW zone</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Prescriptive requirements proposed for trenches (15' or less in width) that are a depth of 12' or less [Refer to Section 1926.652(b) & (c) for prescriptive allowances]	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
OSHA Soil Type Identified	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Trench structural support details	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Trench width and depth	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<i>[Note: Engineered support system, with supporting calculations, will be required for excavations wider than 15' (in any direction) AND/OR deeper than 12']</i>						
<b>K. Required details for engineered system</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Details provided to demonstrate means of connecting the SOE system at corners	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Material properties of the piles and concrete identified	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Height of the SOE system	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
SOE cross-section views & elevation views	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Top of the SOE system relative to the top of finished grade elevation	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Pile Sizes & Spacing	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Lagging Type & Spacing	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Pile Embedment Depth	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Pile Encasement at embedded portions of piles	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Dewatering operations provided with notes	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Sequence of SOE system construction indicated	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
Raker and/or tiebacks properties (size, orientation, angle, location, material, etc.) identified	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
For SOE systems involving raker component installations;	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A

	<p>If kicker blocks are being used, does the centerline of the raker intersect the centerline of the kicker block at the raker/kicker block connection?</p> <p>[If centerlines do not intersect, the licensed professional engineer on record shall provide a signed and sealed statement confirming the structural adequacy of the eccentric loading configuration with the raker and kicker system layout.]</p>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>3. Are Preconstruction &amp; Structural Observations Documentation Required? (B-1704.6.4 &amp; 3307.9)</b>		<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	<b>A. IF excavations to a depth greater than 5 ft within 10 ft of an adjoining or adjacent building; OR</b>	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	(Note: Continuous Observations to be provided as per B-1704.6.4, Monitoring Plan not required)	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	<b>B. IF excavation within 90 ft of a building or structure designated as historic under Ch 14-1000</b>	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	(Note: Periodic Inspections to be provided as per B-1704.6.4, along with Monitoring Plan documentation)	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
<b>4. Is the Preconstruction Survey required? (B-3307.9.1) {Refer to Separate Preconstruction Checklist}</b>		<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>5. Geotechnical Investigation</b>							
	<b>A. If a structure within 10' (as per pre-construction survey), is the geotechnical investigation report provided?</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Does the geotechnical investigation report Identify the bottom of adjacent footing?	<input type="checkbox"/>	Y	<input type="checkbox"/>	N		
	<b>B. Were test pits used?</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	If 'Y', test pit plan demonstrating compliance with Code Bulletin B-9906 shall be included	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Special Inspection Reports for Test Pit Excavation per B-1704.2.4	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
<b>6. Is Structural Observations &amp; Monitoring Plan Documentation Req'd? (See Checklist, Section 3)</b>		<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	<b>A. Monitoring Plan -- Statement signed by a representative verifying monitoring of existing conditions during construction &amp; demolition operations</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Frequency of Inspections	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Method of structural monitoring & observations	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Extents of Observations	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>B. Statement of Special Inspections Schedule Form</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>C. Special Inspections Duties &amp; Responsibilities Agreement Form</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A

<b>7. Initial Notification Requirement</b>							
	<b>A. IF excavations to a depth greater than 5 ft within 10 ft of an adjoining or adjacent building; OR</b>	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
	<b>B. IF excavation within 90 ft of a building or structure designated as historic under Ch 14-1000</b>	<input type="checkbox"/>	Y			<input type="checkbox"/>	N/A
<b>8. Initial Notification Records (If Required)</b>							
	<b>A. Signature of Adj Property Owner on an affirming receipt of notification and statement of owner's rights</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>B. Evidence of Delivery and Reasonable Attempt to Acquire Signature of Receipt (ie Certified Mail receipts)</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	60 Days after Permit Application Submission _____	<input type="checkbox"/>	Y	<input type="checkbox"/>	N		
	60 Days from Date of Notice Transmission _____	<input type="checkbox"/>	Y	<input type="checkbox"/>	N		
<b>9. Structural Design Parameters and Calculations</b>							
	<b>A. Were Calculations provided?</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>B. Are the calculations organized, legible, well documented, and completed per the latest design standards?</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>C. Seal and Signature by a PA PE</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>D. Verify that the following Structural Design Parameters are identified on the SOE Structural Details Plan</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	1) Does the type of soil considered in the calculations match what was identified in the soil investigation?	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Soil Type						
	Bearing Capacity						
	Density						
	Friction Angles & Earth Pressures						
	2) Is a live load vehicular surcharge being considered for the proposed work scope based on PennDOT Design Manual 4 (for State Routes) and AASHTO standards (for all other highways)?	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	3) Are surcharges being considered based on existing or proposed site conditions, including:						
	Existing Buildings adjacent to excavations	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Additional Construction Staging Considerations	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	Parked Vehicles	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	4) Are SOE deflections adjacent to a ROW calculated to ensure that deflections do not exceed 1-inch maximum?	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A
	<b>E. Are calculated factors of safety presented on the submitted calculations?</b>						
	<b>F. Are calculations provided for all components of the SOE system proposed?</b>	<input type="checkbox"/>	Y	<input type="checkbox"/>	N	<input type="checkbox"/>	N/A