

Guideline for Infrequent Excavation Permit (XP) Applicants

on

How to Apply for an XP through Hardcopy Submissions

Introduction

1. Under the Land (Miscellaneous Provisions) Ordinance (LMPO), Cap. 28, except under and in accordance with a prospecting licence, mining licence or sand removal permit, or a lease (including the Green area under the lease), licence, deed of appropriation, memorandum of appropriation or engineering conditions for land allocation, issued by the Director of Lands, a person must obtain an excavation permit (XP) before making or maintaining an excavation in unleased Government Land. It is an offence for a person carrying out excavation works without an XP, breaching any permit conditions, or breaching the safety requirements.
2. Under the Ordinance, Director of Highways is the authority for issuance of XP for excavation works in streets maintained by the Highways Department (HyD). Director of Lands is the authority for other unleased land.
3. Only the promoter of the excavation works can be the permittee of the XP. For example, if the proposed excavation work is initiated due to a property development/maintenance work, the owner of the land/property is regarded as the promoter. The authorized person/consultant/construction company/property management company employed by the promoter can only help the promoter to make the application, but cannot be the applicant of the XP.

Purpose of this guideline

4. This guideline is written to provide guidance for infrequent applicants (i.e. applicants other than utility undertakings and government departments) who choose to **apply for XP through hardcopy submissions**. It covers the application procedures lead to successful issuance of XP. Notwithstanding, you may be required to comply with some other specific procedures or requirements not covered by this guidance during your XP application process. For more details, you are recommended to refer to the Excavation Permit Processing Manual (XPPM), Chapter 5, Section 1, which can be viewed/downloaded from HyD's web site:
http://www.hyd.gov.hk/en/publications_and_publicity/publications/technical_document/xppm/
5. After you have obtained an XP successfully, you become the permittee of the XP and are required to comply with the permit conditions to make or maintain the excavations. You may also consider nominating your contractor as the Nominated Permittee in

accordance with the LMPO provision. Finally, you are required to notify HyD by completion of reinstatement, or apply for permit extension if necessary. For details, please also refer to the XPPM, Chapter 5, Section 1.

If you choose to apply for XP online using the Excavation Permit Management System (XPMS), please refer to the 'Guideline for Infrequent Excavation Permit (XP) Applicants on How to Apply for an XP through the Excavation Permit Management System (XPMS)'.

Application steps

6. The procedures for a hardcopy XP application is outlined as follow:

- (i) You should obtain the registration form (Form HYD 97) from HyD's web site or any one of the Regional Offices of HyD.
- (ii) You should then register the proposed excavation works by submission of the completed Form HYD 97 by post/hand to the respective Regional Office's Excavation Permit Processing Team (XPPT) with:
 - (a) 2 copies of the A4/A3 layout plan(s) in 1:1000 scale showing the full extent of the excavation works;
 - (b) a permit period assessment with details of the programme of the proposed excavation works;
 - (c) a copy of the document to demonstrate the applicant's identity as the promoter of the excavation works in accordance with paragraph 3 above.
[Hints: Please approach XPPT for the requirement.]
 - (d) a copy of the applicant's official identify certificate; and
[Hints: If the applicant is a company, a copy of the company's business registration certificate should be provided; if the applicant is a joint venture company, a copy each of all partners' business registration certificates should be provided; if the applicant is a corporation or an organization, e.g. the Incorporated Owners of a Building, a Registered Charitable Organization, a Registered Non-profit-making Organization, or an organization gazetted under Ordinance, a copy of the Certificate of Registration or gazetted document should be provided; or if the applicant is a person, a copy of his/her identity card should be provided.]
 - (e) a copy of the proposed contractor's business registration certificate.
[Hints: If the contractor is a joint venture company, a copy each of all partners' business registration certificates should be provided. If the contractor is not yet confirmed, the copy should be submitted later together with Application Form HYD 14.]

(iii) Upon successful registration, XPPT will inform you of the followings within

20 working days by e-mail, by post or by fax:

- (a) the registered “Plan ID” which is a unique 7 digits reference number;
- (b) comments on your proposed excavation alignments or permit period;
[Hints: XPPT may advise you to adjust the proposed start date or the excavation alignment if violation of any excavation restriction, or insufficient lead time is encountered, or to shorten the permit period with reason(s).]
- (c) comments from other HyD Offices;
- (d) a list of other proposed or ongoing excavation works in the vicinity with contact information, including office phone numbers, mobile phone numbers and e-mail addresses. The list also specifies the Utility Undertaking who takes lead of the coordination of conflicting excavation works (Lead UU). The list may not be given if no conflict is identified by XPPT.
- (e) Necessary actions to be taken by you. Examples of such actions are:
 - to obtain records of existing services in the area, in particular gas main and power cable records, for locating these services on site;
 - to seek the approval of Transport Department (TD) directly if the excavation works involve relocation of temporarily traffic signs and traffic light signals, bus stops or other facilities, or closure of parking spaces;
 - to seek the agreement from TD and Hong Kong Police Force (HKPF) directly on the temporary traffic arrangement (TTA) plan, including necessary supporting material such as staging of works, traffic impact assessment, drawings, plans and calculations, to be signed by a professional engineer who has been a corporate member of the Hong Kong Institution of Engineers in the Civil Discipline for at least 2 years; or Electrical / Mechanical Discipline with at least 3 years’ relevant experience in TTA submission preparation; or Logistics and Transportation Discipline; or has possessed equivalent qualifications, and if the works affect vehicular traffic; or to submit the lighting, signing and guarding (LSG) plan to HKPF for agreement if works do not affect vehicular traffic;
[Hints: (i) You are required to submit a hardcopy of your TTA/LSG plan to TD and HKPF for their processing. You should state clearly the “Plan ID” in your submission. If TD/HKPF has offered their comments on your submission via XPMS, XPPT will also forward the comments to you by e-mail, by post or by fax for

your follow up action.

(ii) Your TTA/LSG plan should comply with the Code of Practice for the Lighting, Signing and Guarding of Road Works, which can be viewed/downloaded from HyD's web site:

http://www.hyd.gov.hk/en/publications_and_publicity/publications/technical_document/index.html

(iii) For works affecting Traffic Impact Assessment (TIA)/ Day-Time Ban (DTB) routes, you should follow the procedures as stipulated in HyD's Guidance Notes No. RD/GN/021 - Guidelines on Traffic Impact Assessment & Day-Time Ban Requirements for Road Works on Traffic Sensitive Routes for preparation of your submission. If you are not familiar with the requirements, you are recommended to seek expertise input from an experienced traffic engineering consultant. RD/GN/021 can be viewed/downloaded from HyD's web site:

http://www.hyd.gov.hk/en/publications_and_publicity/publications/technical_document/guidance_notes/index.html

(iv) Some examples of TTA plan are shown in Annex C for your reference.]

- to obtain a Construction Noise Permit (CNP) from the Environmental Protection Department (EPD) directly if the works will be carried out during restricted hours and exceed the noise level requirements;
- to obtain consent from the Leisure and Cultural Services Department (LCSD) directly if the works affect any amenity area and/or Old and Valuable Tree (OVT) maintained by LCSD;
[Hints: you should state clearly the "Plan ID" in your submission to LCSD. If LCSD has commented on your submission via XPMS, XPPT will also forward to you by e-mail, by post or by fax for your follow up action. To enhance the efficiency in handling XP applications affecting trees/OVT, applicants should upload site photos to show the works area and the nearby trees (with trees' diameter at breast height (DBH) and distance between trees and the works area). The date of photo-taking should be within 3 months preceding to the 1st day of XP submission. Sample photos are shown in Annex D.]
- to obtain consent from the responsible authorities such as Agriculture, Fisheries and Conservation Department (AFCD), Landscape Unit of Highways Department (LU/HyD), etc, if the

- works affect any tree and/or OVT maintained by such authorities;
 - to liaise with the Lead UU to resolve conflicts if any.
[Hints: Normally, the Lead UU will approach you to resolve any conflicts. After all conflicts have been resolved, the Lead UU will submit the coordinated programme through XPMS for XPPT approval. Nevertheless, you may also contact the Lead UU for progress update or request for coordination. If the Lead UU does not respond in two weeks, you should seek XPPT's assistance.]
- (iv) Upon receipt of XPPT's first reply, you are required to submit to XPPT the following as necessary:
- (a) 2 copies of the A4/A3 layout plan(s) in 1:1000 scale showing the revised full extent of the excavation works, if advised by XPPT in the permit assessment results;
 - (b) a revised permit period assessment with details of the revised programme of the proposed excavation works, if advised by XPPT in the permit assessment results, or if agreed with the Lead UU to resolve conflicts;
 - (c) existing utility service records as requested by XPPT;
 - (d) a copy of the original and then subsequent revisions of the TTA plan or LSG plan when you are making your submissions to TD/HKPF;
 - (e) a copy of signed undertaking to LCSD if required by LCSD.
- (v) After the agreements have been granted by the relevant authorities and conflicts have been resolved, the respective XPPT will send to you by e-mail, by post or by fax the application form (Form HYD 14).
[Hints: If you propose to carry out pavement reinstatement not affecting carriageway, you will be allowed to apply for XP before agreement by HKPF to your LSG plan is obtained in order to expedite issuance of XP for the reinstatement works. However, you can only carry out excavation works after agreement by HKPF is obtained even though the XP has been issued. Please also note that the reinstatement may cover run-in/out construction, provided the spare ducts as required in the HyD standard drawings have already been laid in place.]
- (vi) You should submit the following by post or by hand to the respective XPPT:
- (a) the original duly signed XP application Form HYD 14 (*company chop should be stamped against the signature on the application form*); and
 - (b) a crossed cheque payable to "The Government of the Hong Kong Special Administrative Region" for the amount of prescribed fee calculated on

the XP application form. The prescribed fee shall include a one-off registration fee and a daily fee in accordance with Appendix 2.1.3.

- (vii) Upon receipt of the above, HyD will issue the XP to you by post.

Enquiries about XP application

HyD Offices

- Urban Region/ Hong Kong

7/F., North Point Government Offices, 333 Java Road, North Point, Hong Kong.
Fax : 2576 6244

Please contact:

Engineer/Excavation Permit (Hong Kong North & West)
Tel: 2231 5632

Engineer/Excavation Permit (Hong Kong East & South)
Tel: 2231 5814

- Urban Region/ Kowloon

13/F., Nam Fung Commercial Centre, 19 Lam Lok Street, Kowloon Bay, Kowloon.
Fax : 2758 3394

Please contact:

Engineer/Excavation Permit (Kowloon East)
Tel: 2707 7281

Engineer/Excavation Permit (Kowloon West)
Tel: 2707 7237

- New Territories Region

Unit 1706-07, 17/F., One Harbourfront, 8-22 Tak Fung Street, Hung Hom, Kowloon,
Hong Kong
Fax : 3526 0159

Please contact:

Maintenance Engineer/Excavation Permit (East)
Tel: 3526 0110

Maintenance Engineer/Excavation Permit (West)
Tel: 3526 0108

Enquiries about Seeking Traffic Advice

Hong Kong Police Force

- Road Management Office (Hong Kong Island)
Room 304, 3/F., Happy Valley Police Station, 60 Sing Woo Road, Happy Valley, Hong Kong.
Tel: 3660 1887
Fax: 2803 4783
- Road Management Office (Kowloon West)
Room 208, 2/F., Traffic Kowloon West Operational Base, 8 Wai Wan Lane, Hung Hom, Kowloon.
Tel: 2773 5240
Fax: 2399 7659
- Road Management Office (Kowloon East)
1/F., Kowloon East Operational Base, 2 Siu Yip Street, Kowloon Bay, Kowloon.
Tel: 2755 3515
Fax: 2750 4456
- Road Management Office (New Territories South)
Room 1, G/F., E&C Block, New Territories South Operational Base, 4 Castle Peak Road, Tsuen Wan, New Territories.
Tel: 2611 3388
Fax: 2415 1636
- Road Management Office (New Territories North)
G/F., Tai Hing Operational Base, 80 Tsun Wen Road, Tuen Mun, New Territories.
Tel: 2467 7793
Fax: 2463 4236

Transport Department

- Traffic Engineering Division/ Hong Kong
37/F., Immigration Tower, 7 Gloucester Road, Wan Chai, Hong Kong.
Tel: 2829 5815
Fax: 2824 0399
- Traffic Engineering Division/ Kowloon
8/F., Mongkok Government Offices, 30 Luen Wan Street, Kowloon.
Tel: 2399 2471
Fax: 2397 8046
- Traffic Engineering Division/ New Territories East and
Traffic Engineering Division/ New Territories West
7/F., Mongkok Government Offices, 30 Luen Wan Street, Kowloon.
Tel: 2399 2194
Fax: 2381 3799

Enquiries about Seeking LCSD's Agreement

Leisure and Cultural Services Department

[Hong Kong Island]

- Southern District
4/F, Aberdeen Municipal Services Building, 203 Aberdeen Main Road, Hong Kong.
Contact Point: ADLM(S)5
Tel.: 2555 8967
Fax: 2552 8370
e-mail: adlms5@lcsd.gov.hk
- Central & Western District
Room 1001, 10/F, Sheung Wan Municipal Services Building, 345 Queen's Road Central, Hong Kong.
Contact point: ADLM(C&W)4
Tel.: 2853 2564
Fax: 2545 5866
e-mail: adlmcw4@lcsd.gov.hk
- Wan Chai District
9/F, Lockhart Road Municipal Services Building, 225 Hennessy Road and 224 Lockhart Road, Wan Chai, Hong Kong.
Contact point: ADLM(Wch)4
Tel.: 2879 5568
Fax: 2586 1935
e-mail: adlmwch4@lcsd.gov.hk
- Eastern District
3/F, Quarry Bay Municipal Services Building, 38 Quarry Bay Street, Hong Kong.
Contact point: ADLM(E)4
Tel.: 2564 2654
Fax: 2563 2013
e-mail: adlme4@lcsd.gov.hk

[Kowloon]

- Kwun Tong District
Unit 13 - 18 M1/F & Units 110 - 118 M2/F, Tsui Cheung House, Tsui Ping North Estate, Kwun Tong, Kowloon.
Contact Point: ADLM(KT)2
Tel.: 2797 3886
Fax: 2763 7240
e-mail: adlmkt2@lcsd.gov.hk
- Wong Tai Sin District
4/F, Ngau Chi Wan Municipal Services Building, 11 Clear Water Bay Road, Kowloon.
Contact Point: ADLM(WTS)4
Tel.: 2351 7531
Fax: 2328 9841
e-mail: adlmwts4@lcsd.gov.hk

- Kowloon City District
10/F, To Kwa Wan Market and Government Offices, 165 Ma Tau Wai Road, Kowloon.
Contact Point: ADLM(KC)3
Tel.: 2762 2456
Fax: 2713 6690
e-mail: adlmkc3@lcsd.gov.hk
 - Yau Tsim Mong District
1/F, Kowloon Park Management Office, 22 Austin Road, Tsim Sha Tsui, Kowloon.
Contact Point: ADLM(YTM)4
Tel.: 2928 8189
Fax: 2736 9555
e-mail: adlmytm4@lcsd.gov.hk
 - Sham Shui Po District
6/F, Sham Shui Po Government Offices, 55 Un Chau Street, Sham Shui Po, Kowloon.
Contact Point: ADLM(SSP)4
Tel.: 2370 9012
Fax: 2370 9018
e-mail: adlmssp4@lcsd.gov.hk
- [New Territories & Islands]**
- Kwai Tsing District
Room 805, 8/F, Kwai Hing Government Offices Building, 166-174 Hing Fong Road, Kwai Chung, N.T..
Contact Point: ADLM(KwT)2
Tel.: 2619 9732
Fax: 2425 1589
e-mail: adlmkwt2@lcsd.gov.hk
 - Tsuen Wan District
3/F, Yeung Uk Road Municipal Services Building, Tsuen Wan, N.T..
Contact Point: ADLM(TW)4
Tel.: 2212 9749
Fax: 2944 8950
e-mail: adlmtw4@lcsd.gov.hk
 - Tuen Mun District
3/F, Tuen Mun Government Offices Building, 1 Tuen Hi Road, Tuen Mun, N.T..
Contact Point: ADLM(TM)4
Tel.: 2430 9620
Fax: 2459 2175
e-mail: adlmtm4@lcsd.gov.hk
 - Yuen Long District
2/F, Yuen Long Government Offices Building and Tai Kiu Market, 2 Kiu Lok Square, Yuen Long, N.T..
Contact Point: ADLM(YL)1
Tel.: 2475 0381

Fax: 2470 7551
e-mail: adlmyl1@lcsd.gov.hk

- North District
4/F, Shek Wu Hui Municipal Services Building, 13 Chi Cheong Road, Sheung Shui, N.T..
Contact Point: ADLM(N)3
Tel.: 2679 2823
Fax: 2671 5410
e-mail: adlmn3@lcsd.gov.hk

- Tai Po District
3/F, Tai Po Complex, 8 Heung Sze Wui Street, Tai Po, N.T..
Contact Point: ADLM(TP)4
Tel.: 3183 9044
Fax: 2651 0315
e-mail: adlmtp4@lcsd.gov.hk

- Sha Tin District
Unit 1207-1212, 12/F, Tower I, Grand Central Plaza, 138 Rural Committee Road, Sha Tin, N.T..
Contact Point: ADLM(ST)3
Tel.: 2634 0141
Fax: 2606 0541
e-mail: adlmst3@lcsd.gov.hk

- Sai Kung District
4/F, Sai Kung Government Offices Building, 34 Chan Man Street, Sai Kung, N.T..
Contact Point: ADLM(SK)3
Tel.: 2791 3135
Fax: 2194 4241
e-mail: adlmsk3@lcsd.gov.hk

- Islands
6/F, Harbour Building, 38 Pier Road, Central, Hong Kong, N.T..
Contact Point: ADLM(Is)3
Tel.: 2852 4581
Fax: 2854 3949
e-mail: adlmis3@lcsd.gov.hk

Enquiries about Obtaining Construction Noise Permit

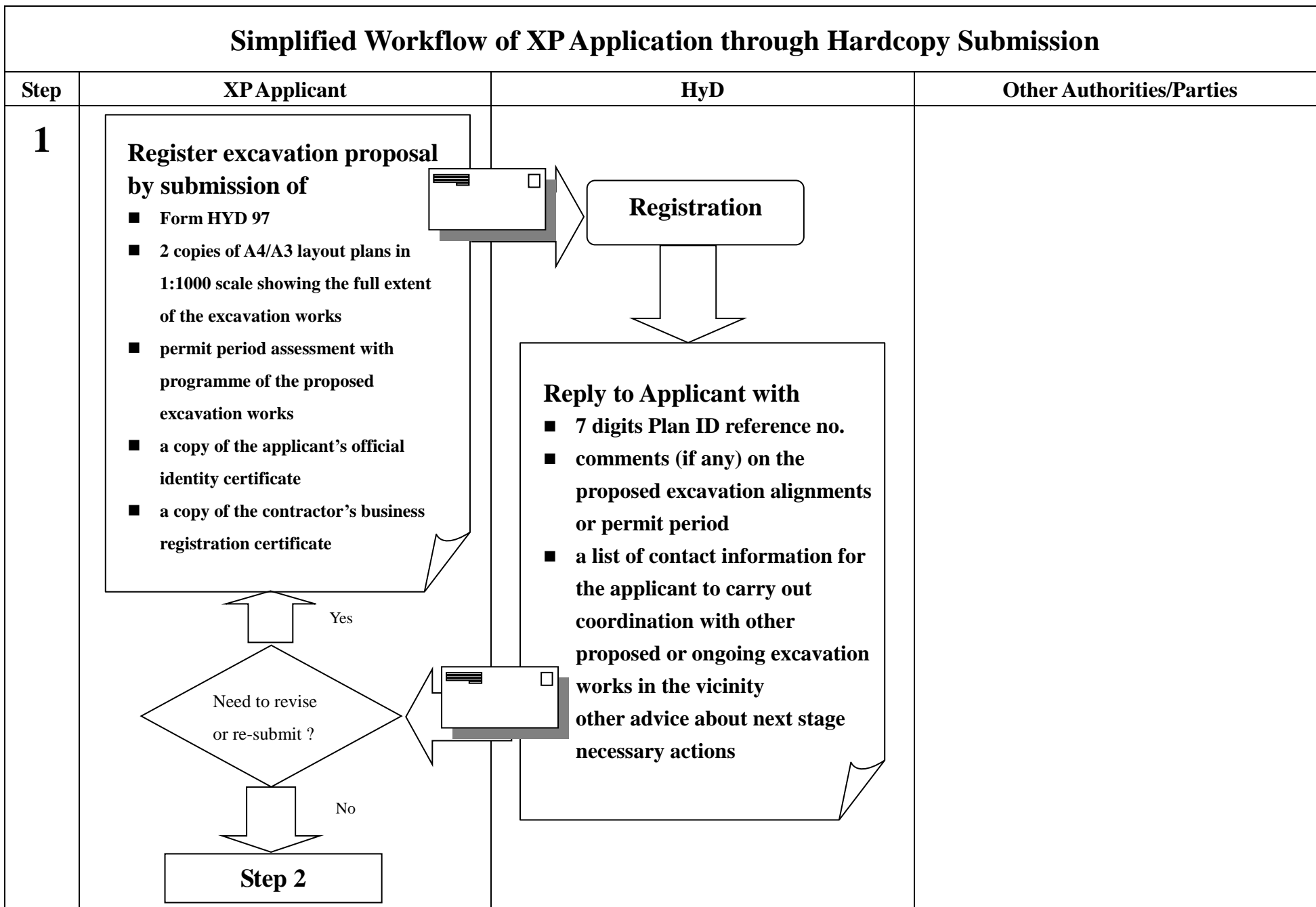
Environmental Protection Department

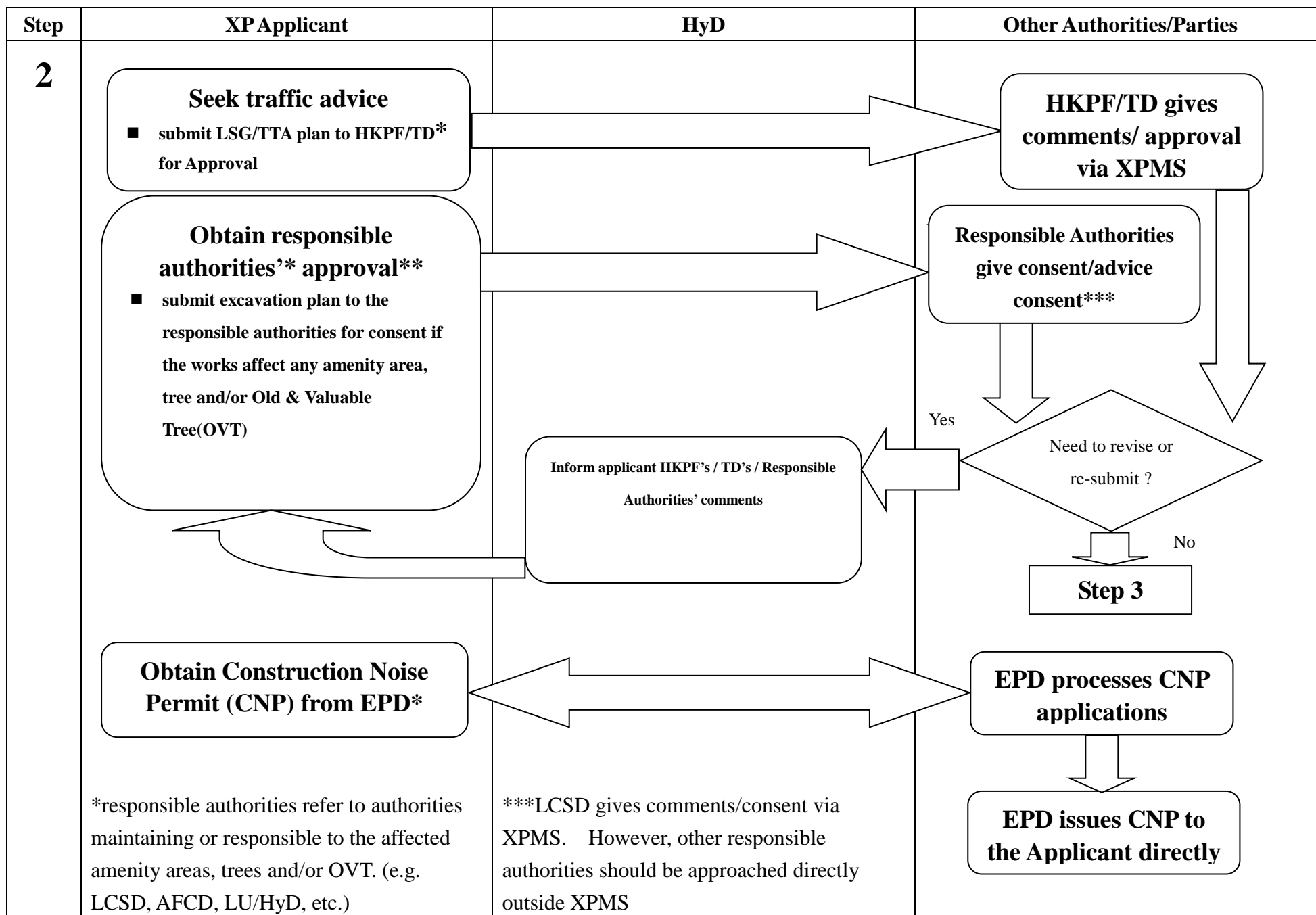
- **Regional Office (East)**
5/F., Nam Fung Commercial Centre, 19 Lam Lok Street, Kowloon Bay, Kowloon.
Tel: 2755 5518
[Control districts: Kwun Tong, Wong Tai Sin, Sai Kung, Yau Tsim Mong & Kowloon City]

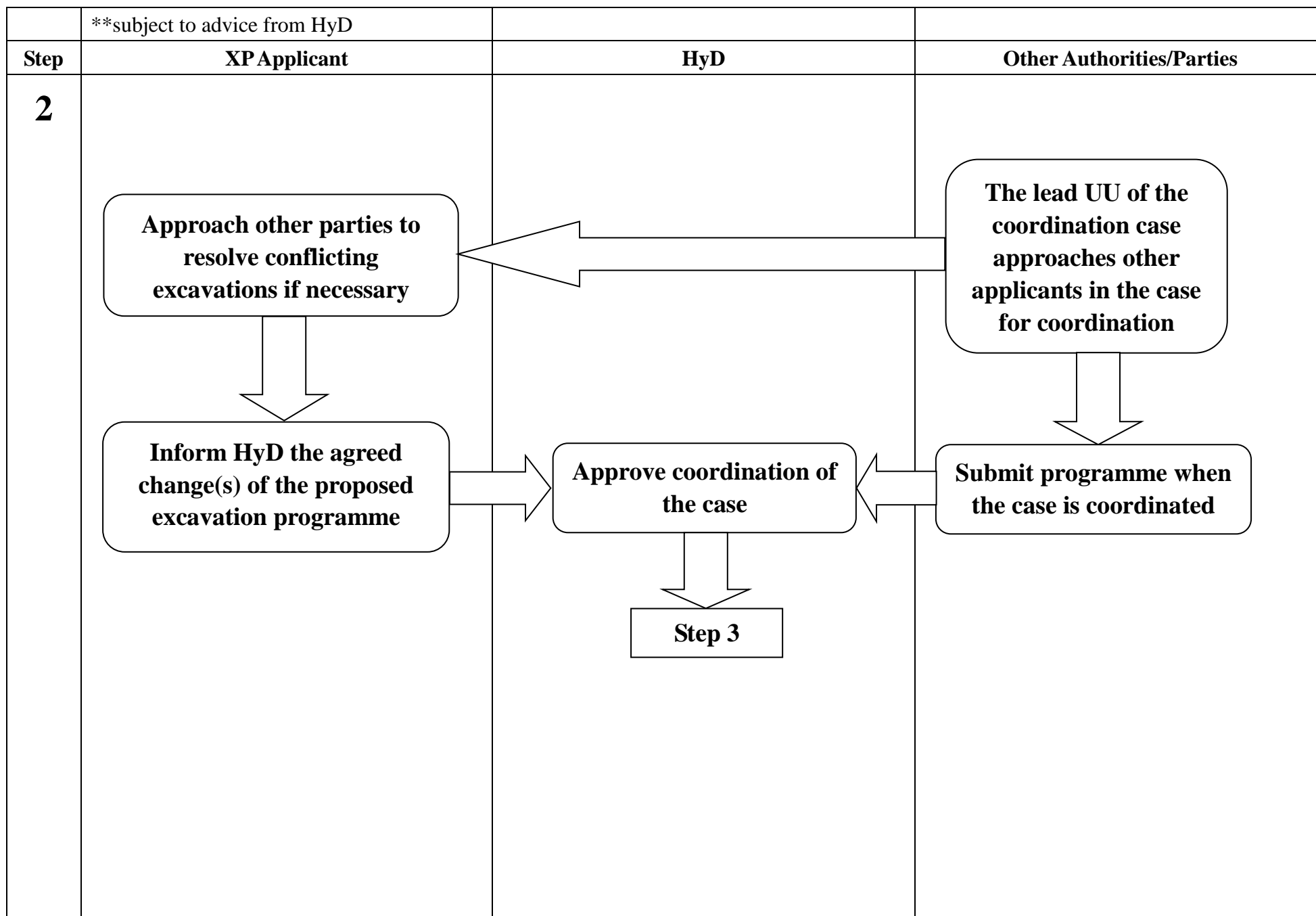
- **Regional Office (South)**
2/F., Chinachem Exchange Square, 1 Hoi Wan Street, Quarry Bay, Hong Kong.
Tel: 2516 1718
[Control districts: Hong Kong Island & Islands]

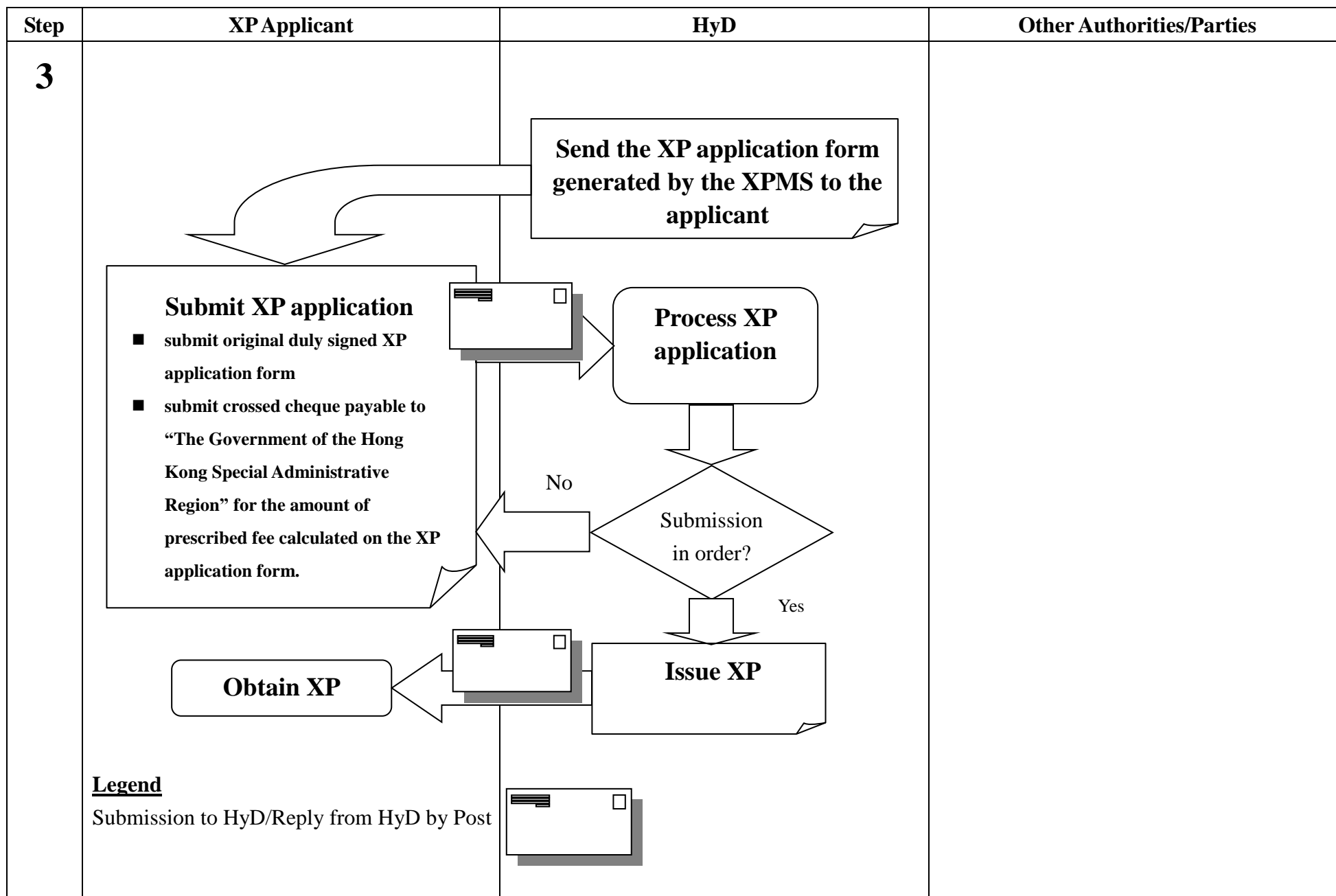
- **Regional Office (West)**
8/F., Tsuen Wan Government Offices, 38 Sai Lau Kok Road, Tsuen Wan, New Territories.
Tel: 2417 6116
[Control districts: Tuen Mun, Tsuen Wan, Kwai Tsing & Sham Shui Po]

- **Regional Office (North)**
10/F., Sha Tin Government Offices, No. 1 Sheung Wo Che Road, Sha Tin, New Territories.
Tel: 2158 5757
[Control districts: Yuen Long, Shatin, Tai Po & North]

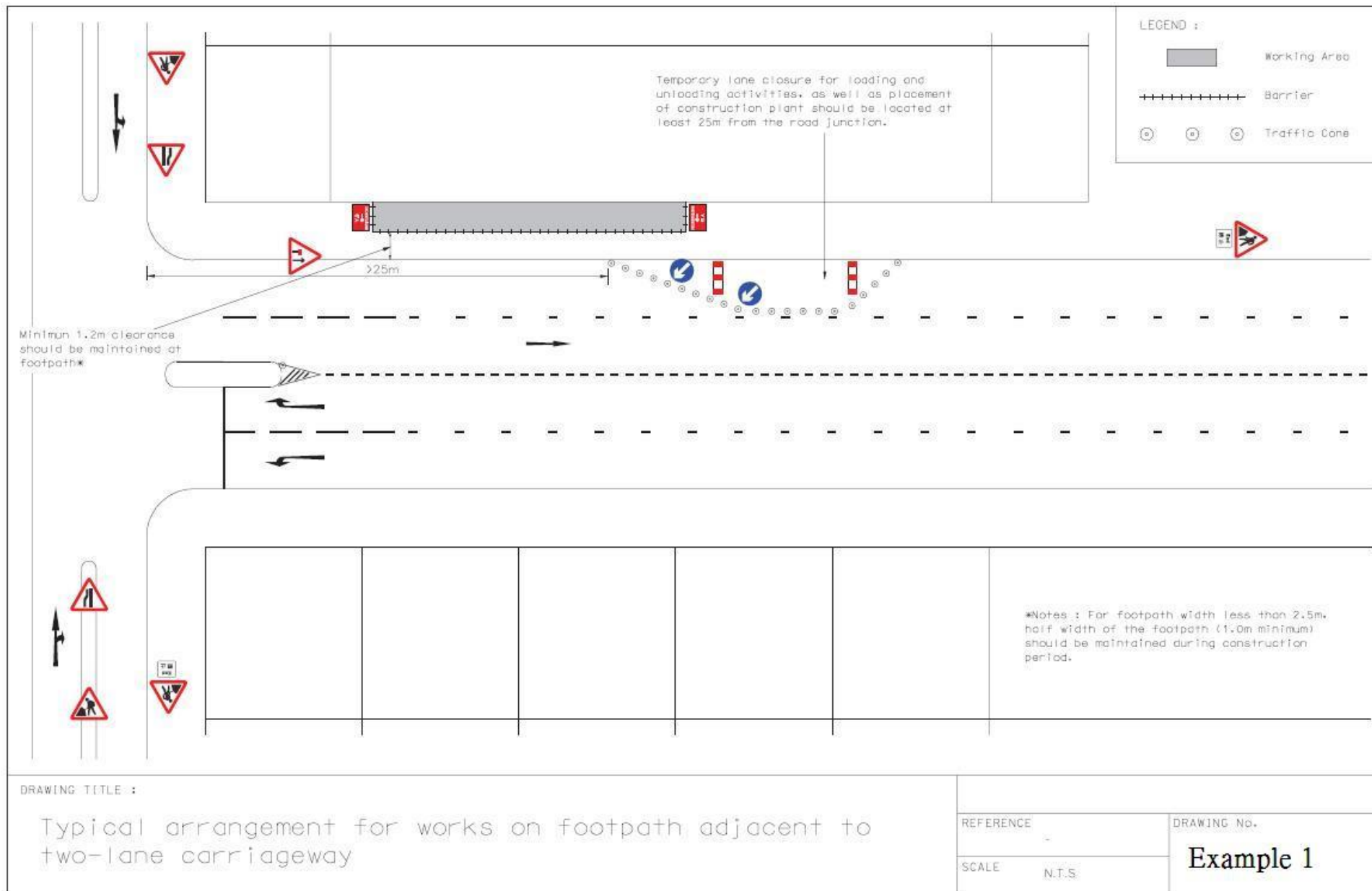




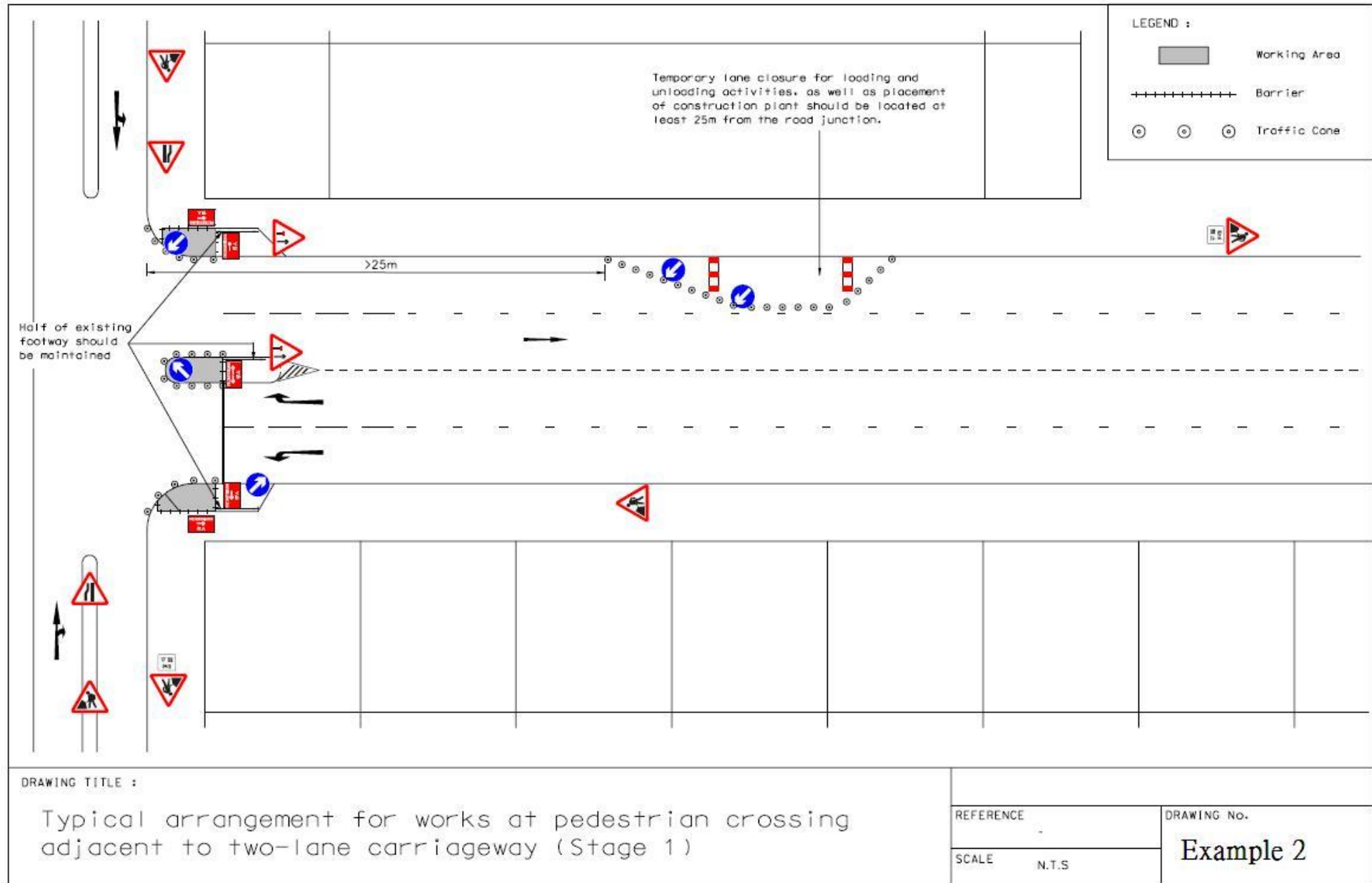




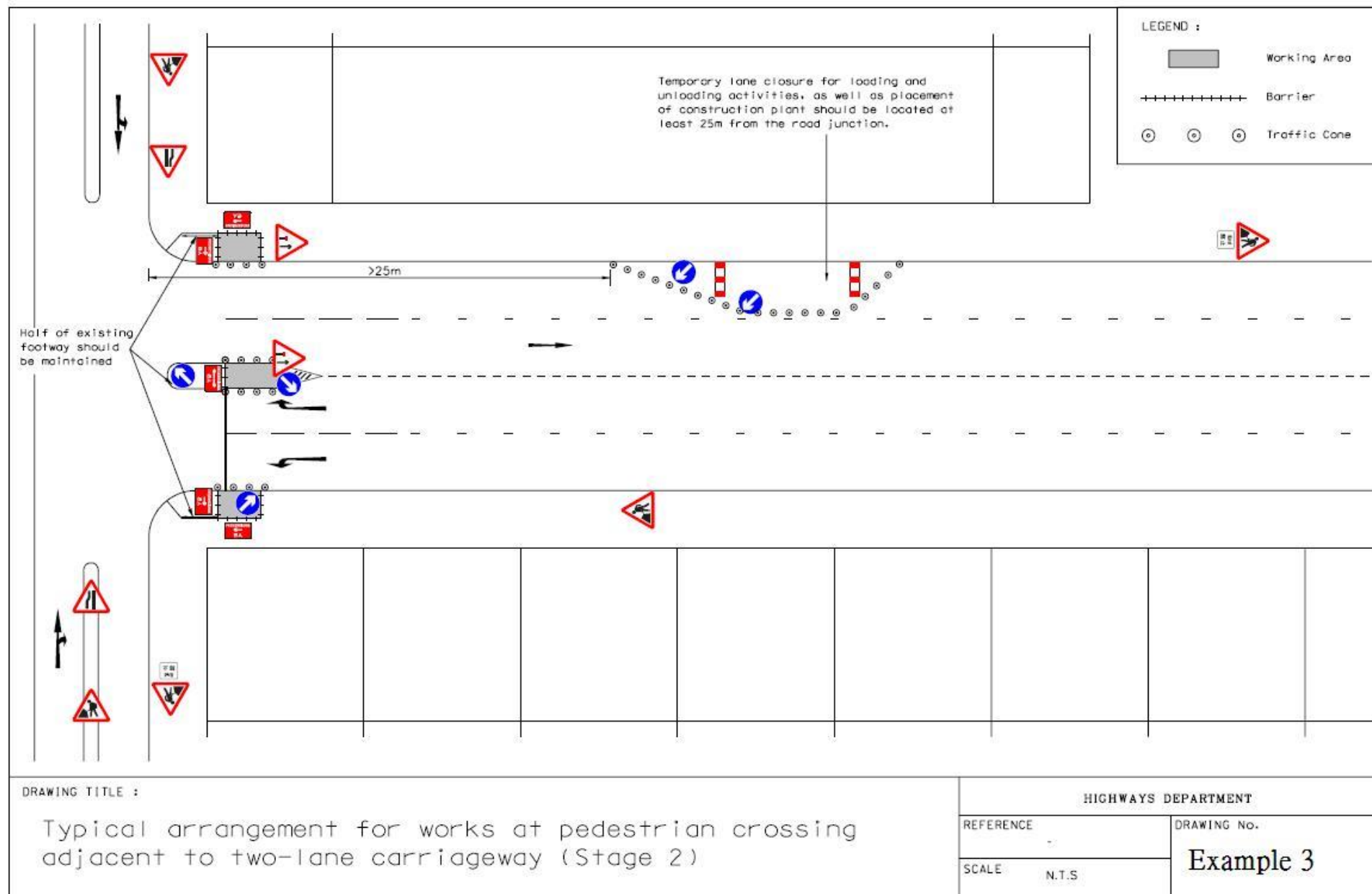
Examples of Temporary Traffic Management (TTA) Plan



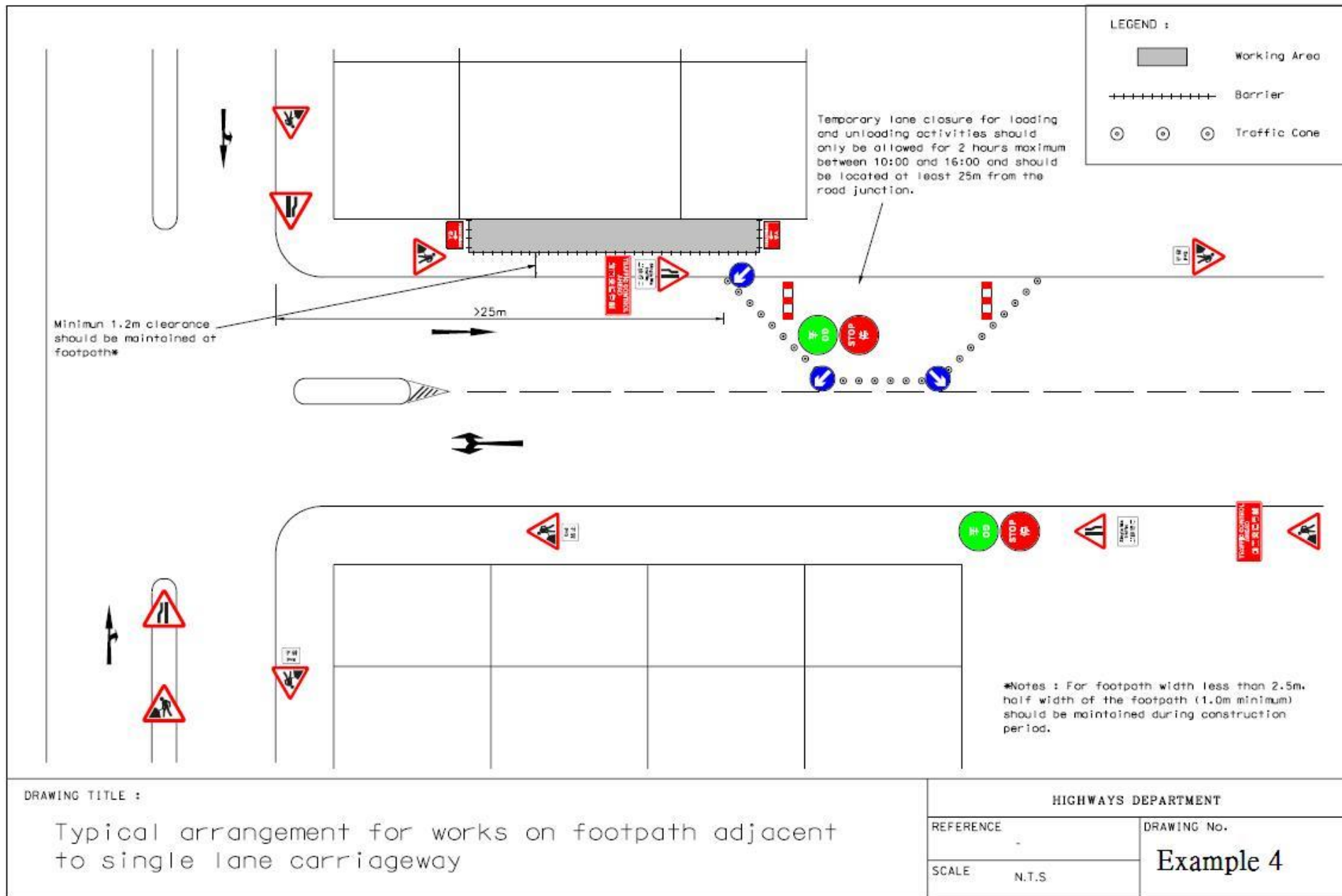
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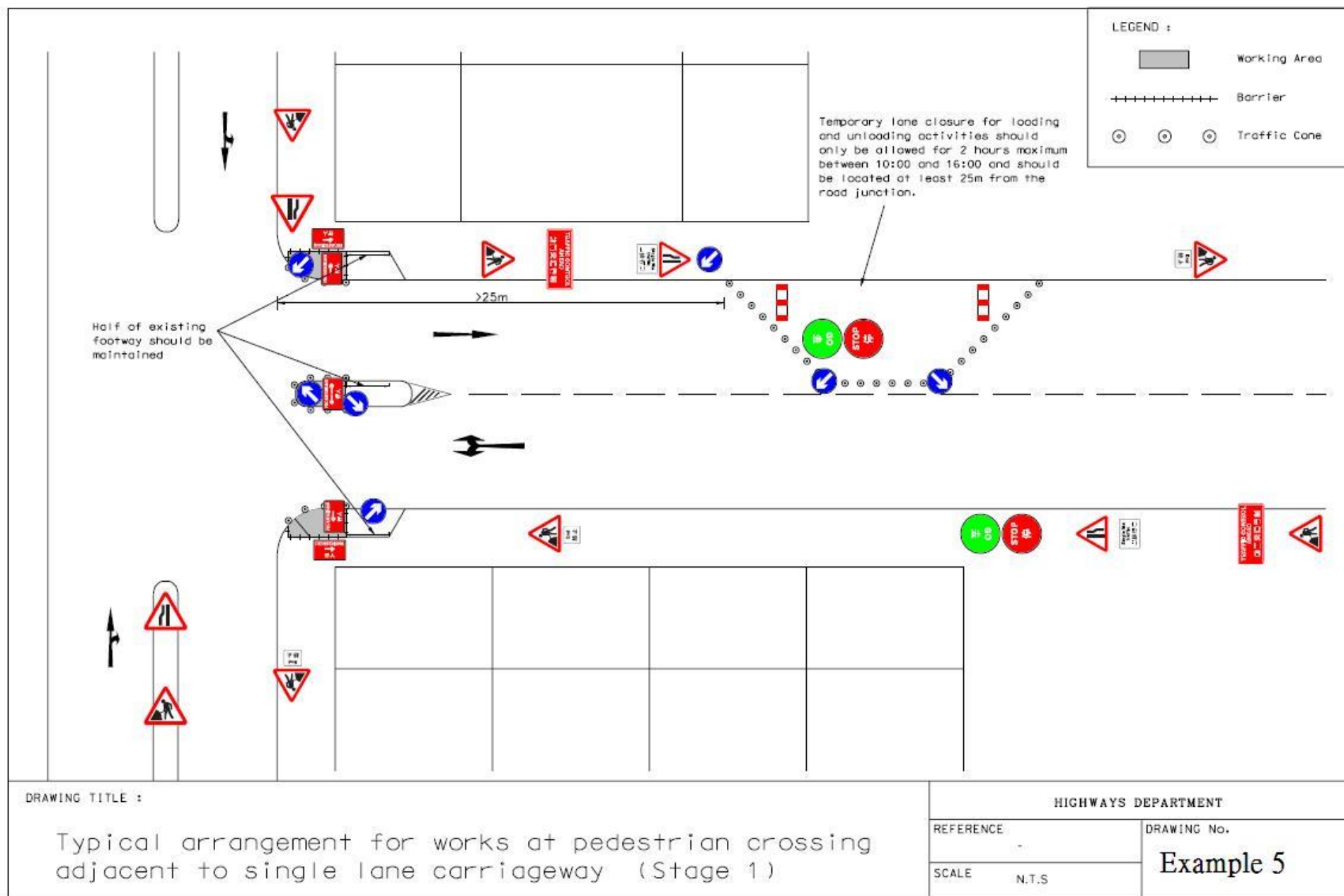
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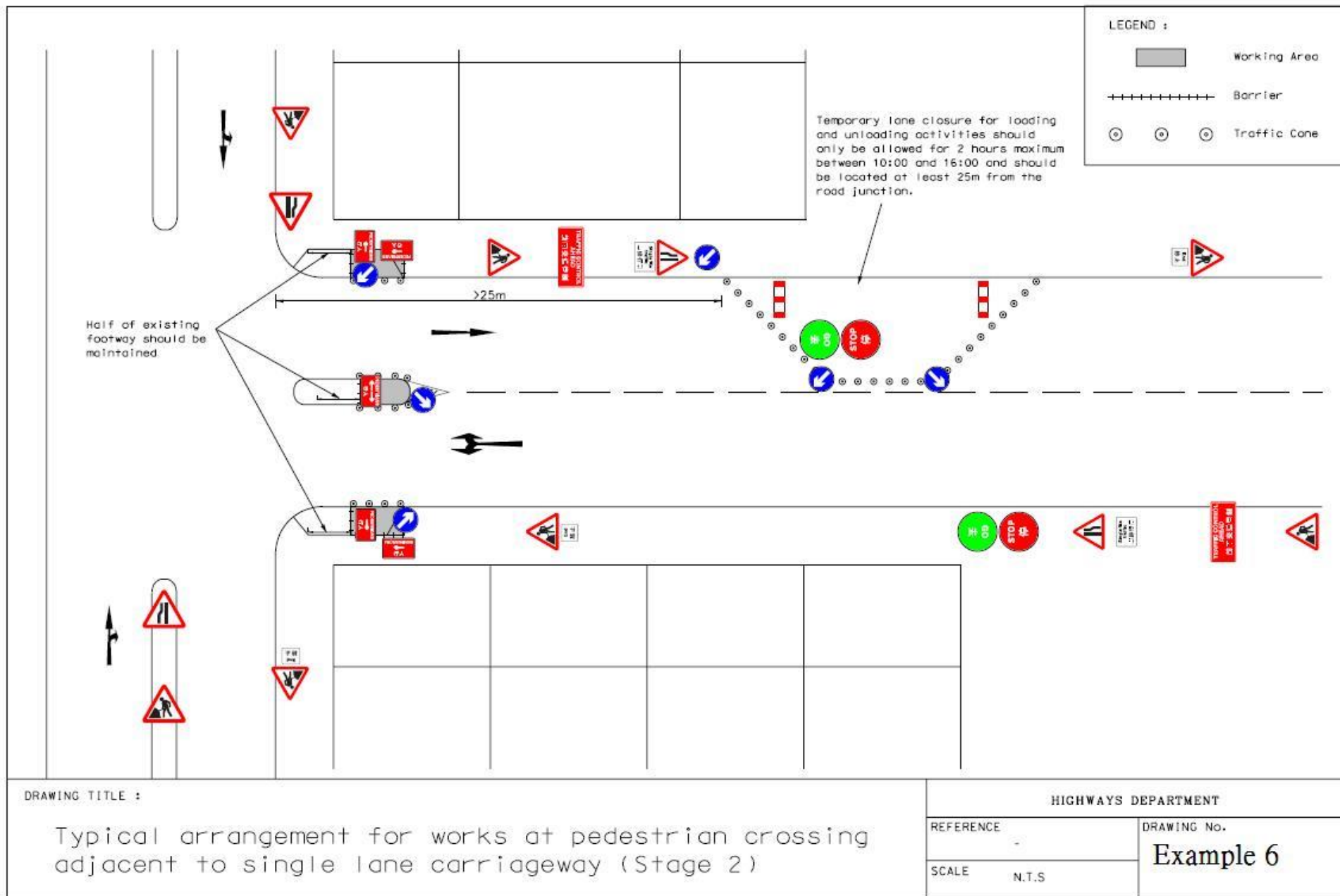
Examples of Temporary Traffic Management (TTA) Plan



Examples of Temporary Traffic Management (TTA) Plan



Examples of Temporary Traffic Management (TTA) Plan



*Date of photo-taking: DDMMYY



Photo 1: Vertical clearance between tree-crown and works area



Photo 1: Horizontal clearance between trees and works area (with trees' diameter at breast height)

Note: *The date of photo-taking should be within 3 months preceding to the 1st day of XP submission.