

Guideline for Infrequent Excavation Permit (XP) Applicants On How to Apply for an XP through the Excavation Permit Management System (XPMS)

Notice (27.10.2014):

XP/XP extension fees up to \$100,000 can now be settled directly online by e-payment (PPS) method after permit/permit extension approval. Please refer to the user guide on XPMS webpage for how-to.

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 would like to **apply for XP through XPMS**. It covers the application procedures which lead to opening of an ad hoc XPMS account and successful issuance of XP. Notwithstanding, you may be required to comply with some other specific procedures or requirements not covered by this guidance after you have obtained

the XP successfully. For more details, you are recommended to refer to the Excavation Permit Processing Manual (XPPM), Chapter 4, 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/index.html

5. If you choose to apply for XP through hardcopy submissions, please refer to the 'Guideline for Infrequent Excavation Permit (XP) Applicants on How to Apply for an XP through Hardcopy Submissions'.

Opening an XPMS Account for Ad hoc Users

6. If you are the promoter of the excavation work and would like to apply for XP through XPMS, you should contact the respective HyD Regional Office according to the location of your excavation works to apply for an XPMS account. For contact phone numbers, please see **Appendix A**.
7. If the respective HyD Regional Office satisfies that you are the promoter of the excavation works, a guest user account and the hyperlink to XPMS user registration homepage will be given to you via e-mail. You should fill in your company particulars in the homepage and upload a scan copy of the Business Registration Certificate for user registration. If your registration is accepted by the respective Regional Office, XPMS will generate a "User ID" and send it to you via e-mail automatically. The "Password" of your ad hoc user account will be sent to your official address by post separately by the respective Regional Office. If your registration is denied, the respective Regional Office will notify you of the result and reason(s) by e-mail.
8. With a valid XPMS account, you can then follow the procedures stated below to apply for the XP.

Registration of Excavation Works

9. You are required to firstly register your proposed excavation works in the XPMS by creating a plan. You can apply for an XP for each plan. A plan is allowed to have more than one excavation item. Each item represents an excavation on carriageway, footway, back/ side lane, verge, cycle track or roadside slope maintained by HyD.

10. The minimum registration lead time requirement varies according to the location and duration of the proposed excavation works. For details, please refer to the following table.

Category		Minimum Lead Time
(i)	(a) Works on carriageway of trunk roads/primary distributors; or (b) Works on any carriageway exceeding 3 months	6 months
(ii)	(a) Works on carriageway (other than trunk roads/primary distributors) not exceeding 3 months; or (b) Works not on carriageway but exceeding 3 months	2 months
(iii)	Works not on carriageway and not exceeding 3 months	1 months

11. To complete the registration of a new plan, you have to:
- (i) fill in all the mandatory textual information, such as location and proposed start date.
 - (ii) digitize the alignment of the proposed trench/ excavation, and mark the area with point/line/polygon, base on which XPMS will work out the extent of excavation which the XP will cover. For details of the approved extent to be generated by point/line/polygon in XPMS, please refer to **Appendix B**.
 - (iii) provide the works programme by creating a Gantt chart in XPMS as described in Paragraph 17 below.

[Hints: If you propose to carry out pavement reinstatement not affecting carriageway, you will be allowed to apply for XP before agreement by Hong Kong Police Force (HKPF) to your lighting, signing and guarding (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 XP has been issued. To register a plan for pavement reinstatement works, you should select a work class namely “reinstatement work”. 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.]

12. When you register your plan, XPMS will perform spatial check immediately. If any of the following restrictions is violated:-
- (i) Road Opening Restriction;
 - (ii) Repeated Opening Restriction;
 - (iii) Registration Lead Time; and
 - (iv) Non Highway Reserve,
- your plan registration will be rejected by XPMS. You should consider revising the proposed start date and/or your plan alignment with reference to the rejection reason, in order to avoid violation of the restriction again during resubmission of your plan.
13. When your plan fails to pass the spatial check and you consider that violation cannot be avoided, you may apply for waiver(s) corresponding to the restriction(s) being violated through XPMS. The waiver application(s) will be submitted to the Inspector of Works (IOW) for vetting and then the respective HyD officer for approval when the plan is registered. The respective HyD officer rank for waiver approval is listed below:
- (i) Road Opening Restriction – Chief Highway Engineer (CHE) of the respective Regional Office
 - (ii) Repeated Opening Restriction – Senior Engineer (SE) of the respective Regional Office
 - (iii) Registration Lead Time – Engineer/Chief Technical Officer (E/CTO) of the respective Regional Office
- 14 The applicants are required to provide the following written justification(s) and supporting document(s) to substantiate and facilitate the application for waiver:
- 1) Road Opening Restriction
 - i) Reason(s) why the concerned works cannot be carried out and completed before the handing over of new roads; and
 - ii) Reason(s) why the works cannot be carried out after the end date of the road opening restriction.
 - 2) Repeated Opening Restriction
 - i) Reason(s) why common trench approach cannot be adopted and coordinated to overlap with the works of other works promoters;
 - ii) Reason(s) why the concerned works cannot be carried out and completed before the imposition of Repeated Opening Restriction; and
 - iii) Reason(s) why the concerned works cannot be carried out after the imposition of Repeated Opening Restriction.
 - 3) Registration Lead Time Requirement

- i) Reason(s) why the minimum registration lead time requirement is violated; and
 - ii) Reason(s) to justify urgency of the concerned works.

15. In case of having difficulties in digitizing your plan alignment, you may request for assistance of HyD Regional Office through XPMS. In this regard, you should check the “Request Digitization Assistance” checkbox in XPMS, and mark a point on XPMS’s map view indicating the approximate location of the proposed excavation. You should also attach a softcopy of 1:1000 sketch showing the alignment of the proposed trench/ excavation and area where the XP is to cover. The Drawing Office of the respective HyD Regional Office would digitize the alignment of the proposed trench/ excavation and the affected area for you within 10 working days upon receipt of your request. After that, your plan will be returned to you for completion of registration.

16. Immediately after registration via XPMS, you should check if your works will affect-
 - (i) Light Rail Transit (LRT), Mass Transit Railway (MTR), or other railway facilities where MTRC should be consulted;
 - (ii) any road side tree and/or Old and Valuable Tree (OVT); consent from the responsible authorities such as Leisure and Cultural Services Department (LCSD), Agriculture, Fisheries and Conservation Department (AFCD), Landscape Unit of Highways Department (LU/HyD), etc. should be obtained; and
 - (iii) unleased government land other than streets maintained by HyD; where excavation application is controlled and administered by the Lands Department.You should approach the corresponding party to resolve the issue, if any, before proceeding to permit application stage.

Permit Period Assessment (PPA)

17. When you create a new plan, you have to choose one of the following categories¹ to specify the type of your works:
 - (i) Short Duration Works - the duration to be applied will not exceed 14 working days [*Hints: If you choose “short duration works”, the step of permit period assessment will be exempted.*]; and
 - (ii) Non-standard Works – the duration to be applied will exceed 14 working days and the type of work is not a typical utility trench work.

¹ There is a ‘Standard Works’ category in PPA for calculating duration for typical utility trench works using standard templates. However, this category is not applicable to infrequent XP applicants.

[Hints: If you choose “non-standard works”, you are required to provide information to substantiate your proposed duration.]

18. If you choose “non-standard works”, you are required to create a simple Gantt chart by completing the blank templates as provided in XPMS. XPMS is also able to import MS Project compatible file for the “non-standard works” programme from you.
19. Other than “short duration works”, for assessment of permit period, you are reminded to provide the supporting information that includes but not limited to the following:
 - 1) Detailed programme of the proposed excavation works;
 - 2) Comments, agreement or consent of works proposal from owners of nearby underground utilities and structures such as government departments, utility undertakings, MTR Corporation, etc.;
 - 3) Approval for waiver of shallow cover, if required, from maintenance team or excavation permit processing team of the HyD; and
 - 4) Drawing(s) indicating proposed works extent.

You can upload files with total size not exceeding 8MB containing necessary supporting documents for HyD’s reference. You are recommended to zip the file for more effective transmission and storage.

20. When you have registered your plan successfully in XPMS, your plan would be transferred to the respective HyD Regional Office for assessing the permit period calculated by you. If necessary, HyD may request you to submit more information before accepting or amending the permit period proposed by you. If your submission is in order, HyD will normally inform you the assessment result via XPMS in 20 working days.
21. In general, XPMS would pass registered plans to Transport Department (TD), LCSD or the Slopes Section, Structures Maintenance Section or High Speed Road (HSR) Maintenance Section of HyD for their agreement automatically based on the following criteria:
 - (i) TD – if Traffic Impact Assessment (TIA) route or Day-time Ban (DTB) route is involved;
 - (ii) LCSD – if any tree, OVT maintained by LCSD and/or LCSD maintenance

- area is involved;
- (iii) Slopes Section – if any slope maintained by HyD is involved;
 - (iv) Structures Maintenance Section – if any structure maintained by HyD is involved; or
 - (v) HSR Maintenance Section – if any high speed road is involved.

The above-mentioned parties will respond within the following pledge time:

Pledge time	
TD	1 month
LCSD	14 working days
Slope Section	10 working days
Structures Maintenance Section	12 working days
HSR Maintenance Section	12 working days

22. You can at any time revert your plan to registration stage in order to update the proposed start date, works programme or plan alignment. For instance, works programme may need to be changed if TD/HKPF impose restrictions on the working hours, or on the staging of works leading to a longer working period.

Coordination of Works

23. In order to avoid occurrence of repeated opening at the location of your proposed work, XPMS would carry out spatial check to find out whether:-
- (i) any other party has carried out excavation at that location not more than 3 months before the intended commencement date of your proposed work;
 - (ii) any other party will carry out excavation at that location within 3 months after the intended completion date of your proposed work;
 - (iii) you have ever carried out excavation at that location not more than 6 months before the intended commencement date of your proposed work;
 - (iv) you will carry out excavation at that location again within 6 months after the intended completion date of your proposed work;
 - (v) any other party has carried out excavation at that location more than 3 months but not more than 6 months before the intended commencement date of the proposed work; and
 - (vi) any other party will carry out excavation at that location within 3-6 months after the intended completion date of the proposed work.

When repeated opening is identified (i.e. scenarios (i) to (iv) above), you should

adjust the proposed start date or apply for a waiver through XPMS.

Scenarios (v) and (vi) above are not classified as repeated opening. However, in order to reduce the overall duration of excavation, the applicants should program their works to overlap with the works by the other works promoters by adopting a common trench approach as far as practicable. Justifications to the satisfaction of respective Regional office should be provided if common trench cannot be adopted.

24. In case of no repeated opening, HyD would determine whether your proposed work is in conflict with any other work which is within 30m from your proposed work. If HyD determines that your proposed work is in conflict with other works, it would group the conflicting plans into an “uncoordinated” case for the concerned applicants’ actions. If no conflict is found, a new case would be formed to contain your plan and HyD would set the case status to “coordinated”. For more information on case formulation, see **Appendix C**.

[Hints: If the new plan is solely for rectification of road defects caused by the applicant, the new comer only needs to liaise with other parties in the case who have plans within 5m of his proposed alignment.]

25. If HyD assigns your plan into an existing “conflicting” case which has been coordinated before, you only need to liaise with other parties who have plans within 30m of your proposed alignment. If the existing conflicting case is not yet coordinated, your plan will be included for coordination. Through XPMS, you will be advised of the Utility Undertaking who would take lead of the coordination (Lead UU), normally being the one with a plan with the earliest start date, who would liaise with you among others for coordination purpose.
26. Whenever a new case for coordination is formed, a programme showing all the plans within the case will be generated by XPMS automatically. After a coordinated programme is agreed, all concerned parties must immediately amend their plans respectively. Once the updating of all the affected plans is done, the Lead UU in coordination can put forward the case to HyD for acceptance through XPMS. If HyD is satisfied with the coordination, it would set the case status to “coordinated”. Otherwise, the Lead UU would be informed of any deficiency requiring rectification.

[Hints: (1) Upon receipt of coordination request, the recipient must respond within

two weeks. Otherwise, the party who sent out the coordination request may inform HyD to take necessary action.

(2) For more information on case coordination, see **Appendix C.**]

Updating of Proposed Start Date or End Date

27. After plans have been “coordinated”, users in general will not be allowed to change the start/end dates of their “coordinated” plans, except when the plan duration is shortened by bringing forward its end date. All changes of start/end dates of a “coordinated” plan other than the exception just mentioned will result in changing the current “coordinated” plan status to “PPA” stage, “plan registration” stage or “uncoordinated” status of “Case Coordination” stage in accordance with the following situations:

- (i) when the plan duration needs to be prolonged, the subject plan will be reverted to “PPA” stage;
- (ii) when the plan alignment needs to be changed, the subject plan will be reverted to “plan registration” stage;
- (iii) when the plan duration is shortened **and** the start date is also shifted or when the plan duration remains unchanged but its start date is shifted, the plan will be reverted to “uncoordinated” status for updating of start/end dates. XPMS will then check for any violation of repeated opening and lead time requirement automatically. If there is no violation and the overall duration of the case is not extended, the subject plan will be changed back to “coordinated” status automatically.

[Hints: The above-mentioned situations will only affect the subject plan which has changed its start/end dates. Other plans in the case will remain “coordinated” plan status.]

Regarding the situation (iii) mentioned in the above, if the subject plan is found violating repeated opening or lead time requirement, the plan status and the case status will not be changed back to “coordinated” automatically. HyD will review the new coordinated programme again. The plan initiating the change will become the leading plan of the case which has previously been coordinated. The leading plan owner needs to work out with other plan owners within the case and submit the revised coordinated programme to HyD. Other plan owners within the case shall update their plans’ start/end dates according to the agreed programme, if necessary. If there are any “coordinated” plans within the case which become conflicting with the leading plan, the leading plan owner should work out a coordinated programme with the conflicting plans, and they should

update their start/end dates individually. The status of these plans may need to be reverted to “uncoordinated” for such updating in accordance with the situations mentioned in the above. If no violation of repeated opening or lead time requirement is found, the plans’ status will be changed back to “coordinated” again automatically.

28. When all individual updating as necessary are done, the leading plan owner should submit the revised coordinated programme as generated by the system to HyD for consideration. If the revised programme is acceptable, HyD will set the case as “coordinated”.

Seek Traffic Advice

29. You should submit the temporary traffic arrangement (TTA) plan to TD and HKPF for agreement if –
- (i) your proposed works involve opening on carriageway of Traffic Impact Assessment (TIA)/ Day-Time Ban (DTB) routes;
 - (ii) your proposed works would necessitate closure of any lane of a carriageway;
 - (iii) your proposed works involve change of traffic flow directions of a carriageway; or
 - (iv) your proposed works involve diverting pedestrian traffic onto carriageway.

The details of the TTA, including necessary supporting material such as staging of works, traffic impact assessment, drawings, plans and calculations, shall 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.

TD and HKPF would aim to provide comments within 1 month.

[Hints: (1) 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 covering letter, and upload an image of the letter to XPMS. You are also required to fill in the hardcopy submission date in XPMS.

(2) 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

(3) 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

(4) Some examples of TTA plan are shown in **Appendix D** for your reference.]

30. If your plan does not need TTA plan, you should submit LSG plan to HKPF for agreement after registration via XPMS. HKPF would aim to respond to your LSG plan within 2 weeks.

31. If your roadwork will affect traffic aids, upon TD's request, you are required to submit the record photos before and after your roadwork through reporting Advance Notification (AN) and Completion Notice (CN) respectively for TD's acceptance.

[Hints: Traffic aids include: traffic signs, directional signs, road markings, traffic light signal posts, illuminated traffic bollards, railings, crash barriers, etc.]

32. TD/HKPF can provide comments on the TTA/LSG plan to you via XPMS. You shall revise your TTA/LSG plan according to the comments given by TD/HKPF and resubmit it to TD/HKPF through XPMS. When your revised TTA/LSG plan is agreed by TD/HKPF, your plan will proceed to the "Permit Processing Stage". If TD/HKPF consider that your TTA/LSG plan will cause significant impact to the vehicular/pedestrian traffic, TD/HKPF may turn down your proposal. If you encounter such situation, your XP application will be reverted back to the "Registration" stage.

[Hints: Under normal circumstances, TD/HKPF would not hastily terminate a TTA/LSG plan if it can be revised to suit the situation. When TD/HKPF decides to terminate a TTA/LSG plan as mentioned in this paragraph, it would be a situation that such act is the last resort.]

33. You should note that there is a 120 days restriction time for accepting TTA/LSG plans. If a TTA/LSG plan is submitted earlier than 120 days before the intended start date of the proposed excavation works, even though TD/HKPF have no objection to the TTA/LSG plans, the XPMS will withhold the accepting function at XPMS until the day which is 120 days before the intended start date of the proposed excavation works. XPMS will then alert TD/HKPF to process the respective TTA/LSG plan.

Advice on Affected Trees/OVT

34. If LCSD comments on your proposed excavation works via XPMS, you should address/respond to LCSD's comments accordingly. In case LCSD disagrees with the proposed excavation for the reason of adverse impact on the planting/trees/landscaping, you are required to adjust the excavation extent as far as possible. Under the circumstance, your plan would be reverted to the "Registration" stage for plan alignment updating. If the affected trees/OVT are maintained by authorities other than LCSD (e.g. AFCD, LU/HyD, etc.), action required by the applicant is similar except the communication is made outside the XPMS, i.e. the applicant should approach the responsible authorities directly to obtain their written advice/consent.

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 **Appendix E**.

Permit Processing

35. After the "Coordinated" status is given **and** the TTA and/or LSG plan(s) have been accepted by TD/HKPF, you may proceed to apply for the XP via XPMS. However, please note that your XP application cannot be submitted over 120 days before the commencement date of your proposed excavation works.
36. Upon receipt of your XP application, HyD will issue a Demand Note (DN) via XPMS to you within 5 working days from the date of receipt of your application. For details of XP fees, see Appendix 2.1.3. You can settle the DN via Payment by Phone Service (PPS), Internet payment or Post Office (*print a hardcopy of DN from XPMS first*). The Account Section of the respective Regional Office will carry out daily check on the status of the DN issued to XP applicants and update

the records in XPMS accordingly. When XPMS confirms that your DN has been settled, it would automatically issue a digitally signed XP to you. For permit application which is not paid and the approved end date is expired, XPMS will reject the application and Account Section will arrange for cancellation of the DN. For permit extension application which is not paid and the approved extension start date is expired, XPMS will reject the application and Account Section will arrange for cancellation of the DN.

[Hints: For permit application with DNs not yet settled, XPMS will generate daily reminders to the respective applicants after the approved start date has passed. For permit extension application, XPMS will check daily for DNs which have not been settled and generate reminders to respective applicants.]

Enquiries about XP application or Request for Opening an Ad hoc XPMS Account

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

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..
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Simple Guidelines on Digitizing Proposed Excavation in XPMS and Definition of Approved Extent Under an Excavation Permit

1. For an excavation with area less than 4 sq.m in rectangular shape, **point model** should be used to locate the centre of the required excavation area. The approved extent of the proposed excavation would be exactly defined as the required excavation area in rectangular shape plus 1m margin on each side.
2. For a narrow trench excavation (*trench width less than 2 m*), **line model** should be used to indicate the proposed excavation. The approved extent of linear alignment on different areas would be defined in the XP as follows:
 - i. If the line lies on verge, road shoulder, footpath or cycle track, the full width of the verge, road shoulder, footpath or cycle track would be defined as the required excavation area (*including both bounds of cycle track unless there is a physical barrier between different bounds*).
 - ii. If the line lies on carriageway along the direction of traffic, the full width of the traffic lane would be defined as the required excavation area.
 - iii. If the line crosses the entire road (e.g. cross road ducts), 5 metres within any point of the line including footway would be defined as the required excavation area. However, the actual width of excavation made and maintain at any time should not exceed the trench width shown on the XP.
 - iv. If the line crosses from one traffic lane into another traffic lane or footway, 5 metres within any point in the portion of the line transit between different traffic lanes or between carriageway and footway would be defined as the required excavation area.
 - v. If the line does not lie on the above list (e.g. slope), 3 metres within any point of the line would be defined as the required excavation area.

Illustration for the afore-mentioned scenarios is shown in **Annex 1** for easy reference.

3. For non-narrow trench excavation (*trench width equal to or more than 2 m*), polygon model should be used. The approved extent of excavation would be exactly the polygon drawn by the applicant.

Note: (1) *In addition to the approved excavation extent, the excavation made and maintained at any time must also comply with the dimensions shown on the XP, relevant permit conditions and requirements given by Traffic Police and Transport Department, e.g. the minimum width of footway or carriageway to be maintained.*

(2) *A scaled map with the polygons and lines drawn by the applicant would be embedded in the electronic XP downloaded from XPMS. The map forms part of the XP and should be displayed onsite.*

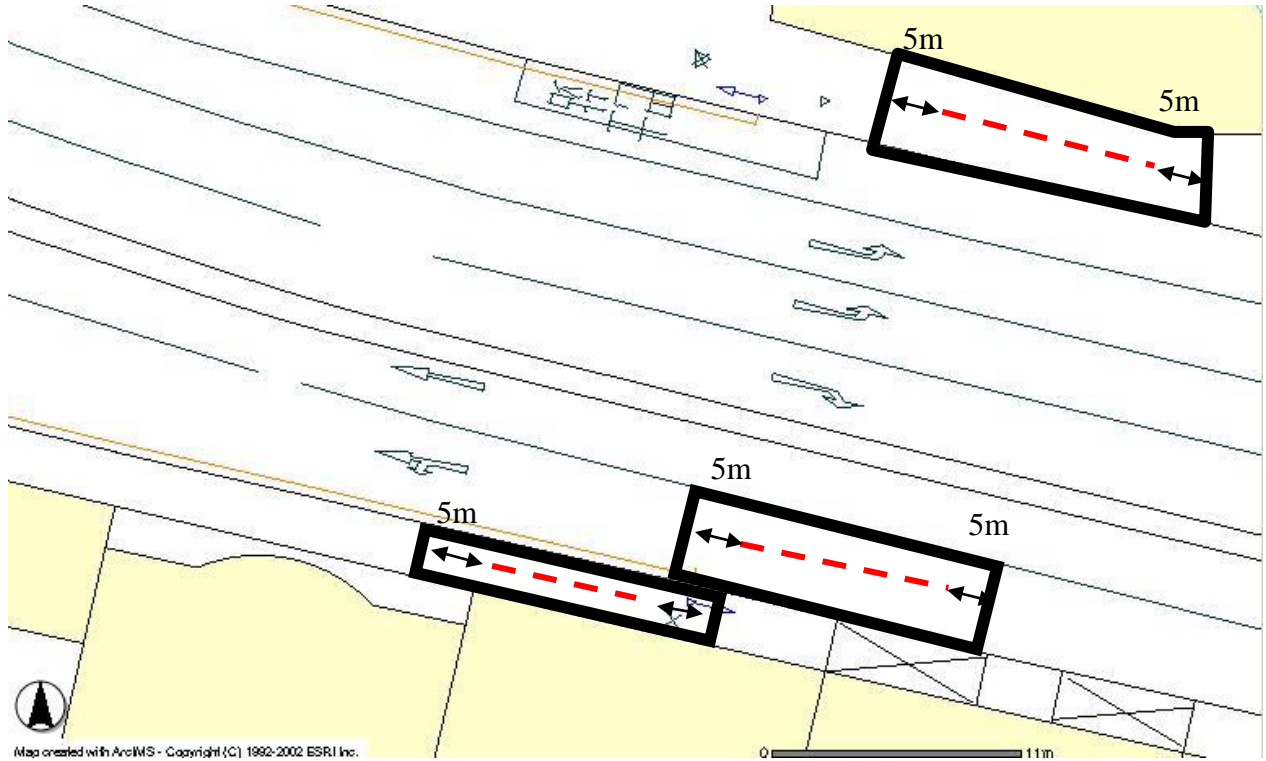
Legend:

----- Plan line

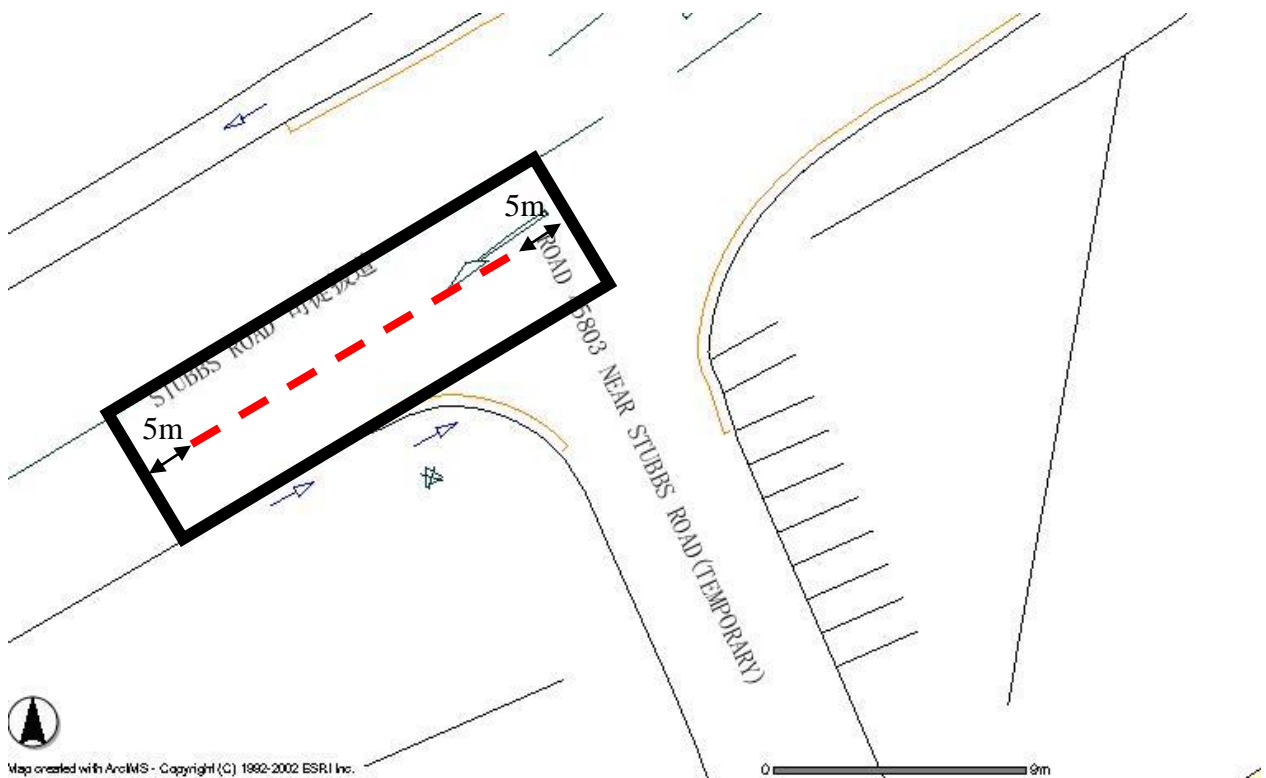


Approved excavation extent

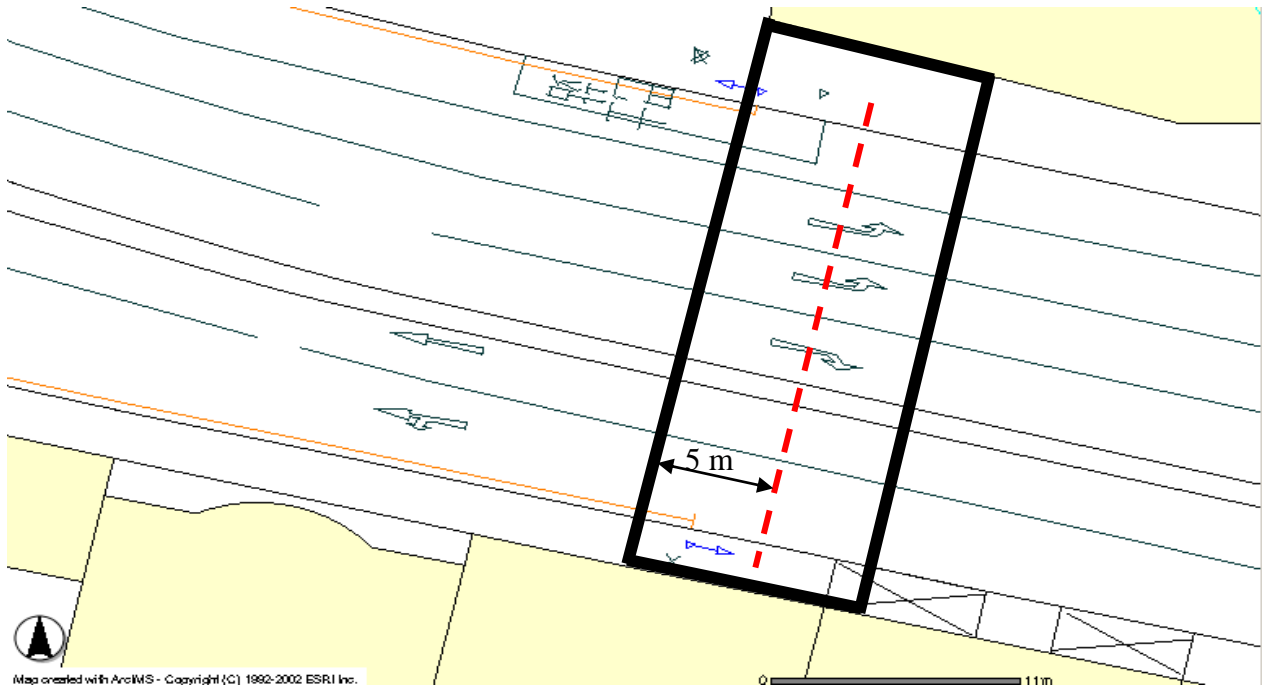
Example of plan lines lies on carriageway or footpath. (Para. 2ii refers)



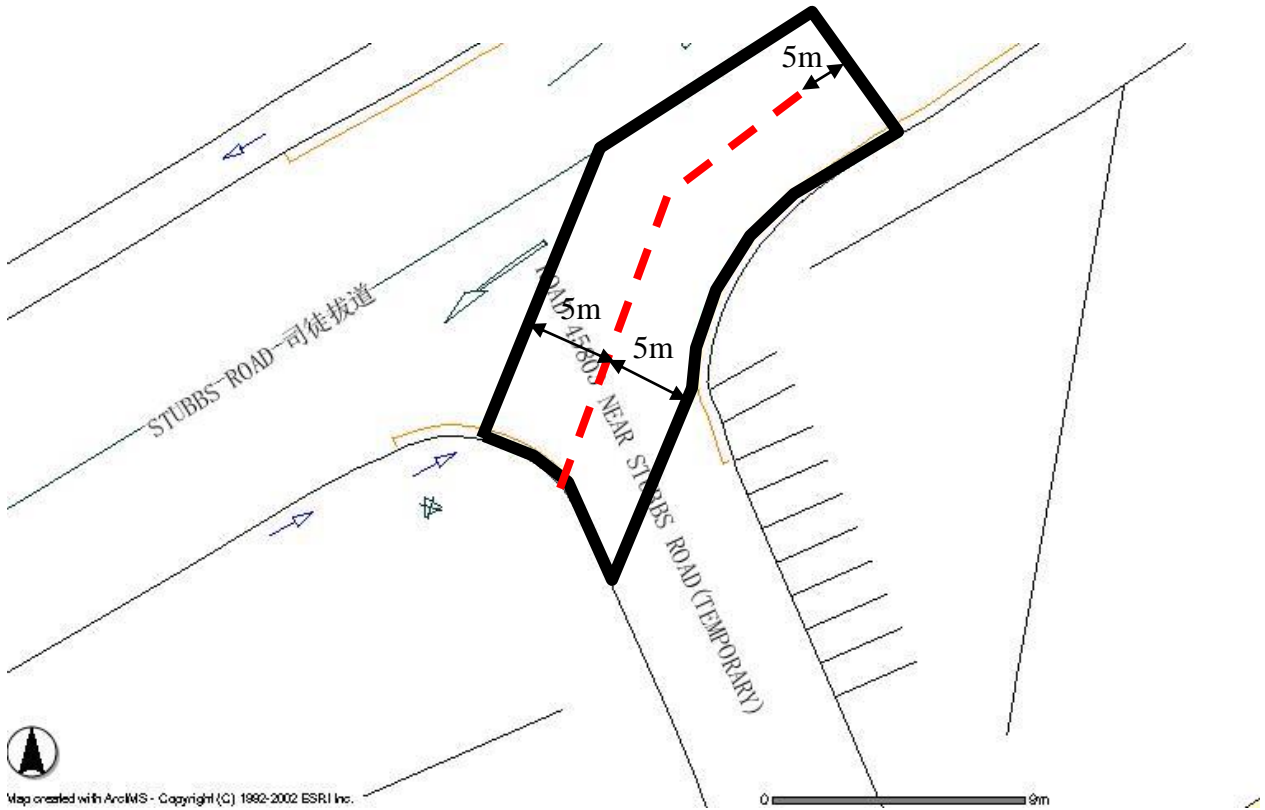
Example of plan line lies on carriageway near a road junction. (Para. 2ii refers)



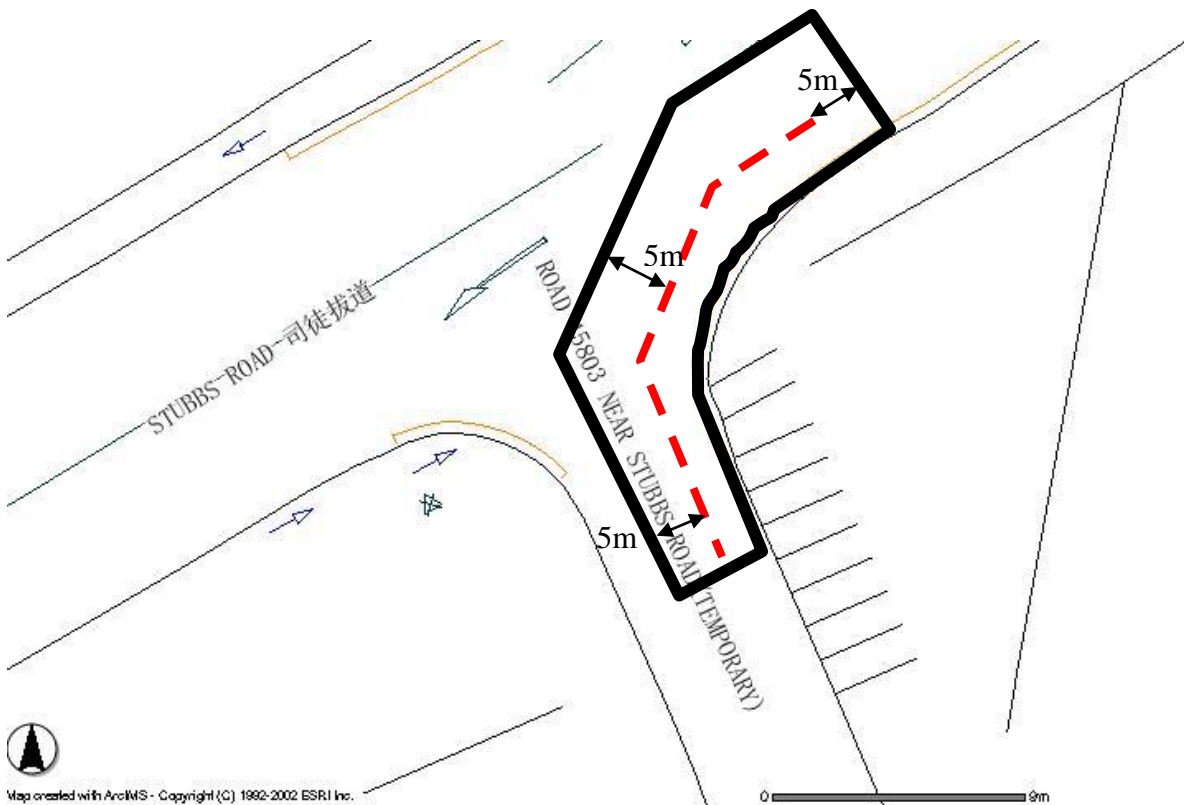
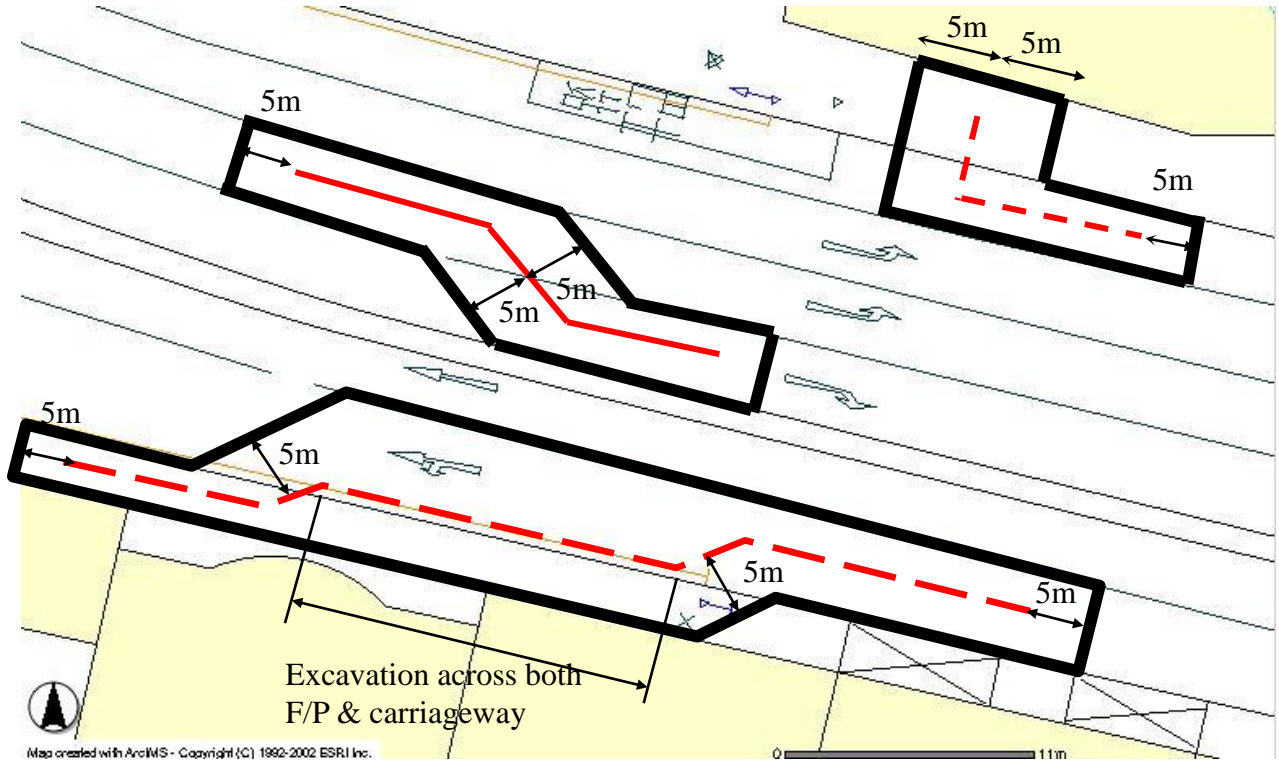
Example of a plan line crosses the entire road (Para. 2iii refers)



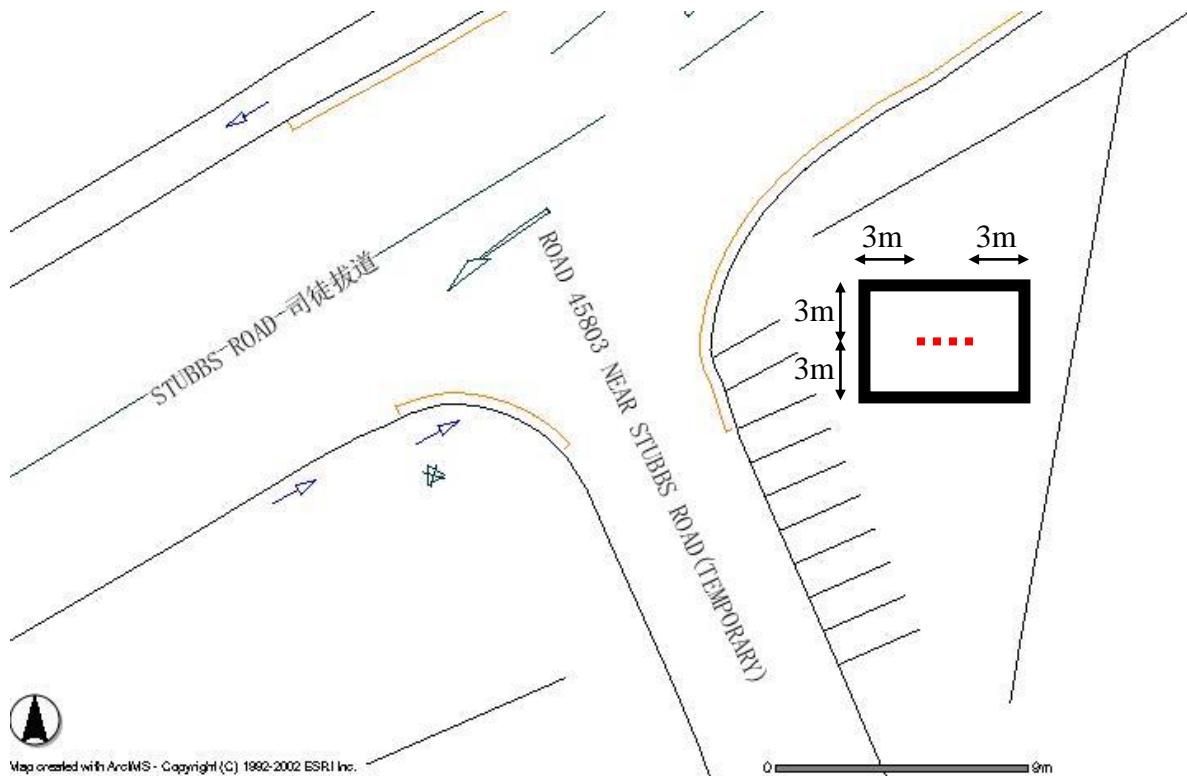
Example of plan line crosses entire road at a junction (Para. 2iii refers).



Example of a plan line crosses from one traffic lane into another traffic lane and from carriageway into footway (Para. 2iv refers).



Examples of plan line lies on a slope (Para. 2v refers).



Notes on Case Formulation & Case Coordination

1.0 Introduction

1.1 Coordination among road work promoters in carrying out road excavation works is one of the major concerns of the public. Upon implementation of the Excavation Permit Management System (XPMS), involved parties have been equipped with a better information tool for facilitating coordination. In order to achieve better utilization of the facilities and further enhancement on the coordination process, guidelines are prepared below for both the staff of Highways Department (HyD) and those of road work promoters.

2.0 Guidelines on Case Formulation

2.1 A radius of 30m should generally be adopted for delineating the influence boundary of a ‘**Plan**’ for conducting the spatial analysis. This radius may be adjusted to cater for any specific circumstances as appropriate.

2.2 A “**Case**”² for coordination consists of a number of Plans with locations being in close proximity and the scheduled implementation times are also close to each other. However, not every Plan within the influence boundary will be required to incorporate into a Case. The responsible Inspectorate Staff of HyD (*hereafter called “IOW”*) would exercise judgment in selecting Plans to form a Case for coordination. The IOW would try to restrict the maximum number of Plans in a Case for coordination to less than 10 Plans. Also, a Case should not cover a road length longer than 1 kilometer.

2.3 The IOW could break down a Case of excessive size at less important locations to yield Cases of smaller size. Anyhow, if a Case of excessive size is unavoidable, the Plan triggering the coordination may seek assistance from the IOW at the first instance. With HyD’s active participation, it is expected that resolution of conflicts amongst concerned parties can be made easier.

2.4 In this connection, excavation permit (XP) applicants should avoid grouping works items without intrinsic relations³ into a single Plan. If HyD considers that the Plan contains a large number of scattered works items without intrinsic

² A “Case” consists of a number of Plans with locations being in close vicinity, of which the scheduled implementation times are also close to each other.

³ Works items with intrinsic relations are hereby defined as those works that must be carried out together within a relatively short time period due to technical reasons although they may not appear continuous on plan.

Notes on Case Formulation & Case Coordination

relations, the Plan owner will be required to justify the intrinsic relations on the contrary.

- 2.5 When a Plan consisting a long alignment or different distinct alignments (*hereafter called “multi-relation Plan”*) causes different groups of plans to become having indirect relationship (*“different groups of plans” means each group of plans may be selected to form individual Cases if the multi-relation Plan does not exist*), the IOW would follow the following guidelines to form a Case in order to limit the number of Plans in the Case:
- (i) The IOW would assess the effect of the multi-relation Plan to other existing plans by means of the information of sectional start and end dates shown in XPMS and put the multi-relation Plan with those closely related existing plans together to form a Case. If necessary, using the “Remark” box in XPMS to request other Cases to liaise with the multi-relation Plan to resolve their individual conflicting issues or;
 - (ii) If the multi-relation Plan is in connection with different groups of plans and the total number of plans not exceeding 10, a single Case should be formed; and
 - (iii) If the effect and interface issues of the multi-relation Plan are considered having significant effects to different groups of plans, the multi-relation plan should then be extracted to form a single Case. However, the IOW should request the multi-relation Plan to coordinate with other Plans which have interface with this multi-relation Plan by means of the “Remark” box in XPMS.

3.0 Guidelines on Case Coordination

- 3.1 For cases that have not been coordinated before, the Plan owner with the earliest proposed start date should take the lead in coordinating with other parties. However, if the Plan with the earliest start date is an infrequent XPMS user (*e.g. XP applicant using ad-hoc XPMS account*), the Plan with the second earliest proposed start date and is owned by a utility undertaking (UU) will be required to take the lead in the coordination exercise.
- 3.2 Notwithstanding the provisions in the above, if the road excavation works are required as a result of a HyD project and the excavations will be partially or entirely within HyD project sites, the responsible HyD staff shall initiate the coordination.

Notes on Case Formulation & Case Coordination

- 3.3 In order to avoid any uncooperative Plan owners retarding the progress of coordination, upon receipt of a coordination request, the recipient must respond within two weeks by amending the programme, or reply by email if his/her works programme cannot be compromised. If any recipient fails to respond by the end of the two weeks' period, the Plan owner who sent out the coordinating request may report such to the Excavation Permit Processing Team (XPPT) of HyD with supporting evidence. XPPT would take necessary action to resolve the issue.
- 3.4 When a coordinated programme has been agreed by all parties within the Case, all concerned Plans within the Case must immediately amend their programmes respectively to reflect the coordinated programme, if any change is needed. Once the updating of all the affected Plans is done, the Plan which takes the lead in coordination can put forward the case to the IOW for acceptance through XPMS. As a good practice, the leading Plan owner should keep records of agreed programmes in case of argument.
- 3.5 If the IOW accepts the coordinated programme, the case status will be changed to "coordinated", and all the uncoordinated plans within the Case will also be set "coordinated". Otherwise, the leading Plan will be informed of the rejected reason(s).
- 3.6 In case of any one of the following situations is encountered, the leading Plan owner or individual Plan owner can still submit his/her plan to HyD for consideration:
- (i) If one of the Plans in the Case refuses to discuss/amend the programme, the leading Plan owner can write down the reasons in the comment box in XPMS and submit the incompletely coordinated programme to HyD for consideration.
 - (ii) If the leading Plan owner is considered not properly taking the lead of forming coordinated programme, individual Plan owner can write down the reasons in the comment box in XPMS and submit his/her Plan to HyD direct for consideration.
- 3.7 The primary objective of coordination is to implement the potentially conflicting works in an efficient and effective manner, as well as to ensure that nuisance caused to the public is kept to the practical minimum. In line with

Notes on Case Formulation & Case Coordination

the primary objective, IOWs will base on the following criteria to determine whether a proposed coordinated programme is acceptable:

- (i) Within a section of 20m in the same bound of a footpath or carriageway, only one XP should normally be working at any one time.
- (ii) Overlapping of time programmes for different Plans is allowed provided that the XPs could commence in a coordinated manner.
- (iii) Time gaps between works under successive Plans within the same Case should be avoided.
- (iv) Subject to the above, the overall duration of the coordinated programme should be the shortest possible.

4.0 Alert Mechanism for Bring Up Problematic Cases

- 4.1 It is expected that coordination for a Case should be completed within one month under normal circumstances. Each Regional Office of HyD will generate a monthly report for uncoordinated Cases and upload the report to XPMS for UUs to download and for their reference. In monthly Road Opening Coordinating Committee (ROCC) meetings, the Chairmen of ROCC will remind the responsible leading Plan owners of uncoordinated Cases to expedite coordination or to delete obsolete Plans.
- 4.2 Notwithstanding the above, should Plan owners encounter any problems that could not be resolved among themselves in the coordination process, they should approach HyD for assistance without waiting for the reminding reports. Upon request from Plan owners, the responsible HyD staff shall assist proactively to resolve those Cases remaining uncoordinated.

5.0 Procedures for Resolving Problematic Cases

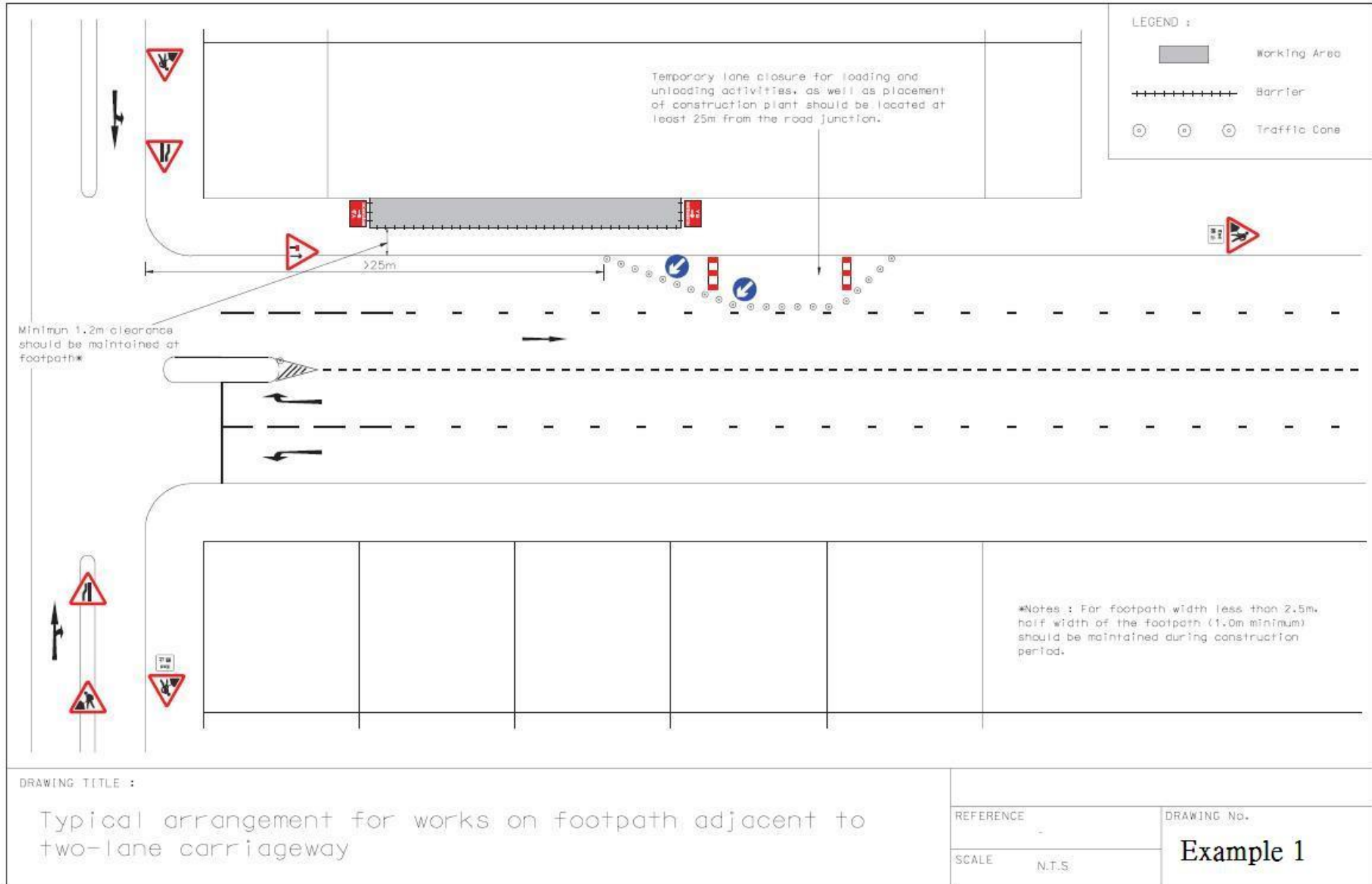
- 5.1 Under normal circumstances, Plan owners are very cooperative with each other. Yet unresolved Cases may arise essentially owing to the following reasons:
 - (i) The coordinator cannot contact the other persons designated to be responsible for other Plans in the Case.
 - (ii) Due to genuine technical difficulties, some Plans in the Case cannot amend their own programmes to suit each others.
- 5.2 It is noted that most of the unresolved Cases fall within the first category. To overcome the problem, the leading Plan owner of an unresolved Case may

Notes on Case Formulation & Case Coordination

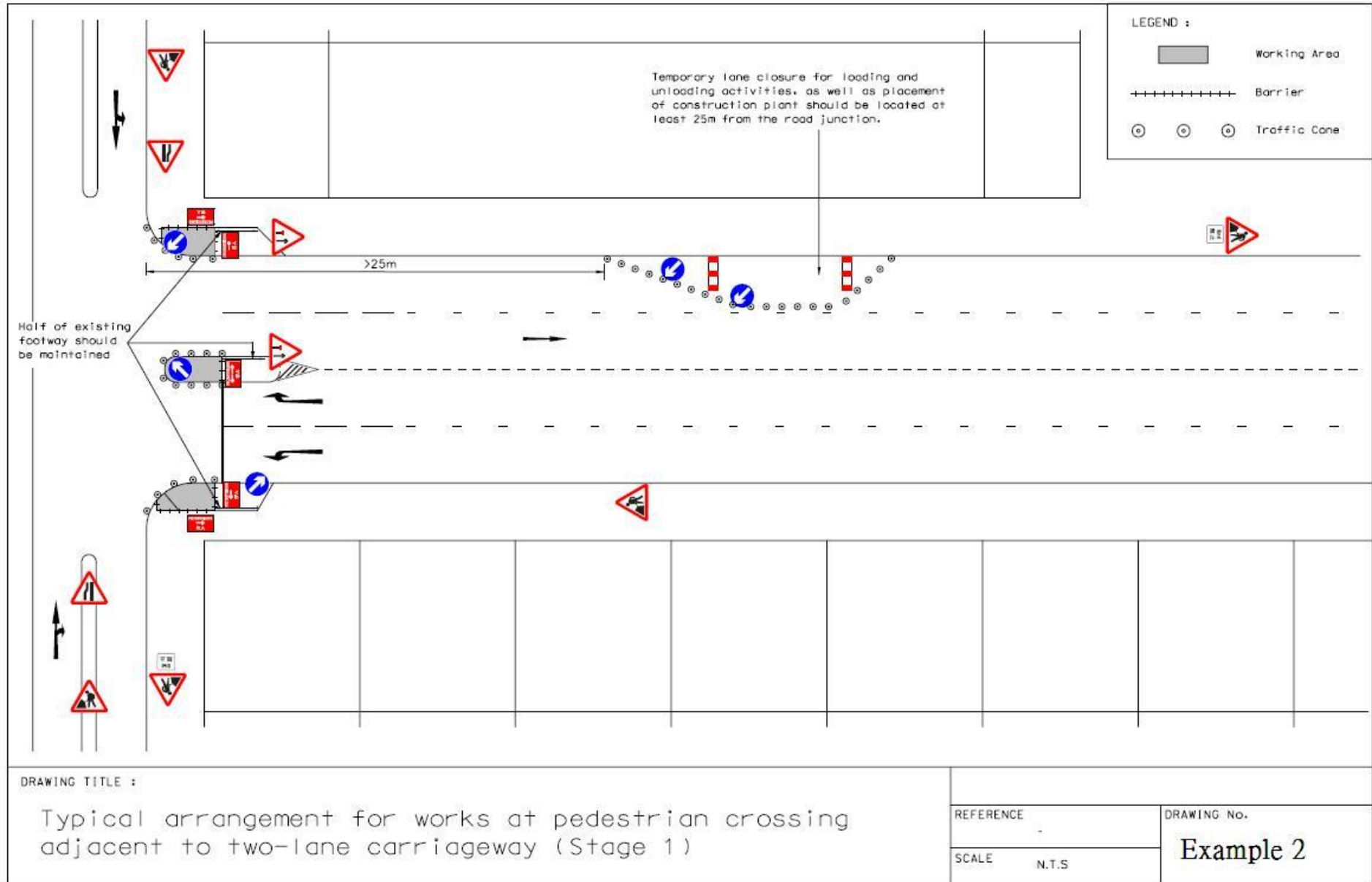
approach the Representative of the respective UU in ROCC to ask for assistance. Under extreme cases when the respective UU's ROCC representative also cannot be reached, the UU leading the coordination for the Case may acquire assistance from the responsible HyD inspectorate staff who shall try to approach the concerned ROCC representative direct. If the attempt still fails, HyD shall escalate the issue to the UTLC representative or other senior management of the concerned organization.

- 5.3 For problematic Cases due to genuine technical difficulties, the concerned UUs shall invite HyD to step in. With the opinion from HyD, it is expected that achievement of a compromised solution would be easier. In addition, the concerned UUs may also bring up the Case to the monthly ROCC meeting for acquiring a compromise programme. If all such measures have failed, HyD shall judge the Case and exercise authority in making the decision.

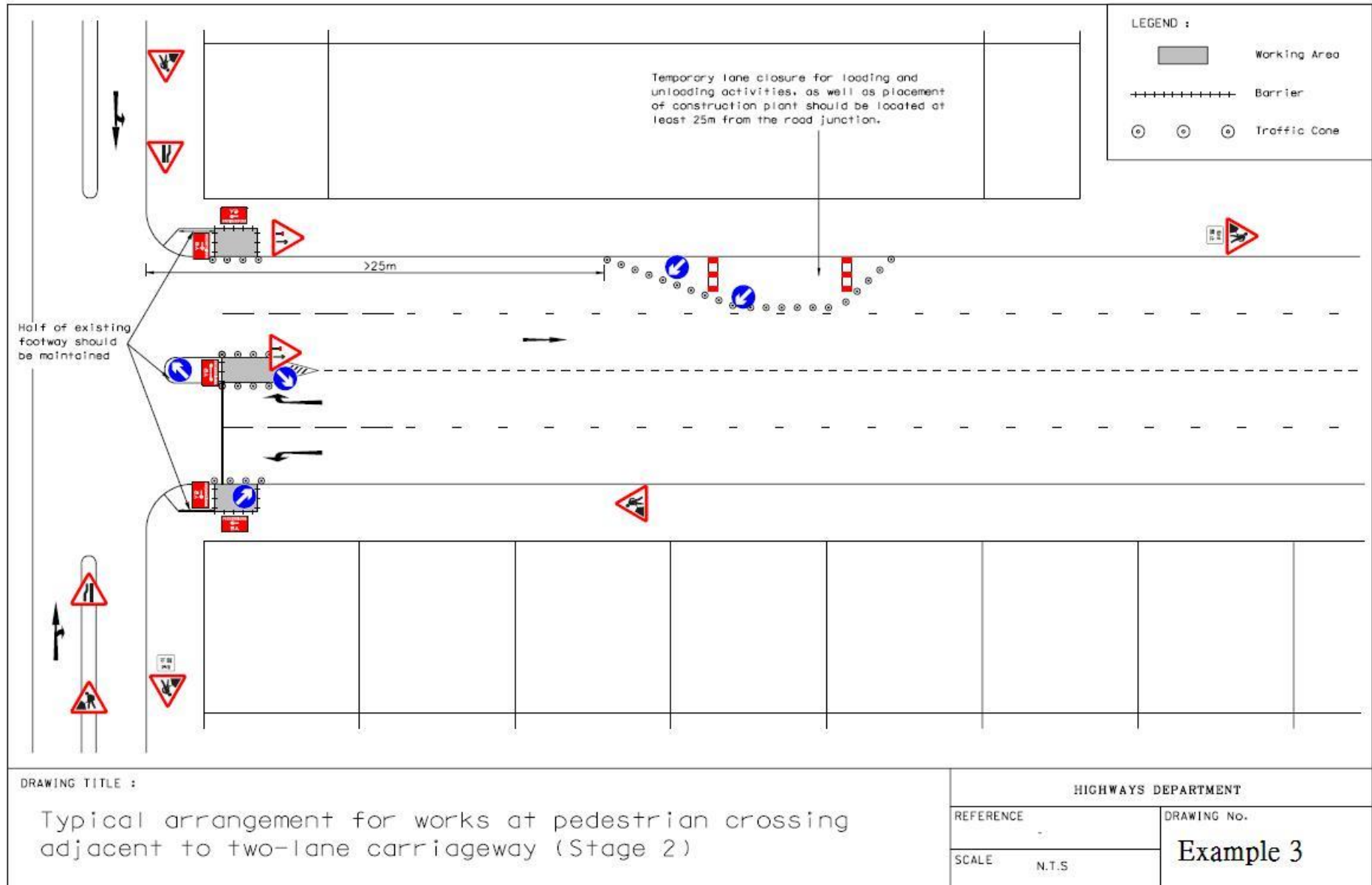
Examples of Temporary Traffic Arrangement (TTA) Plan



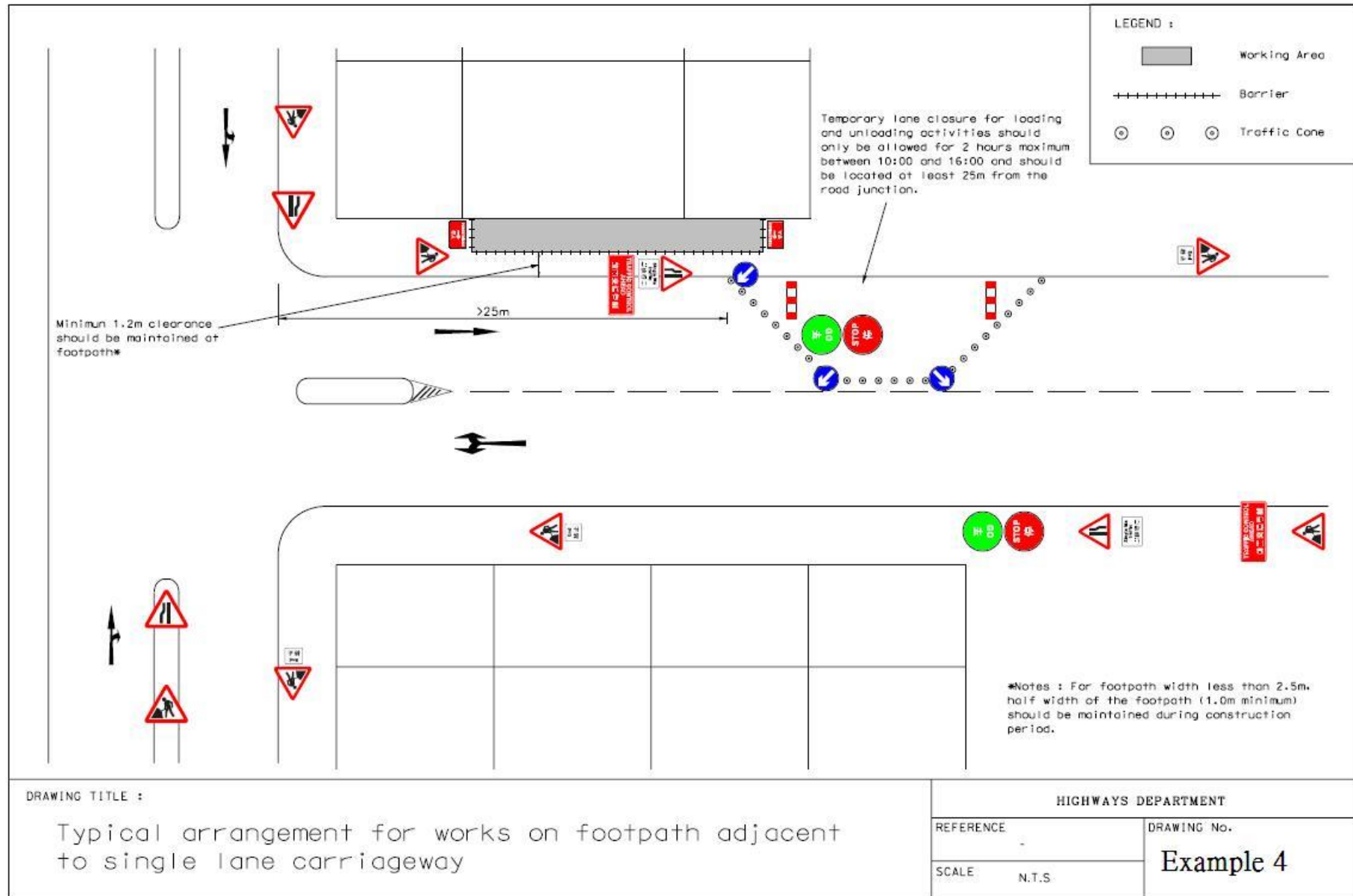
Examples of Temporary Traffic Arrangement (TTA) Plan



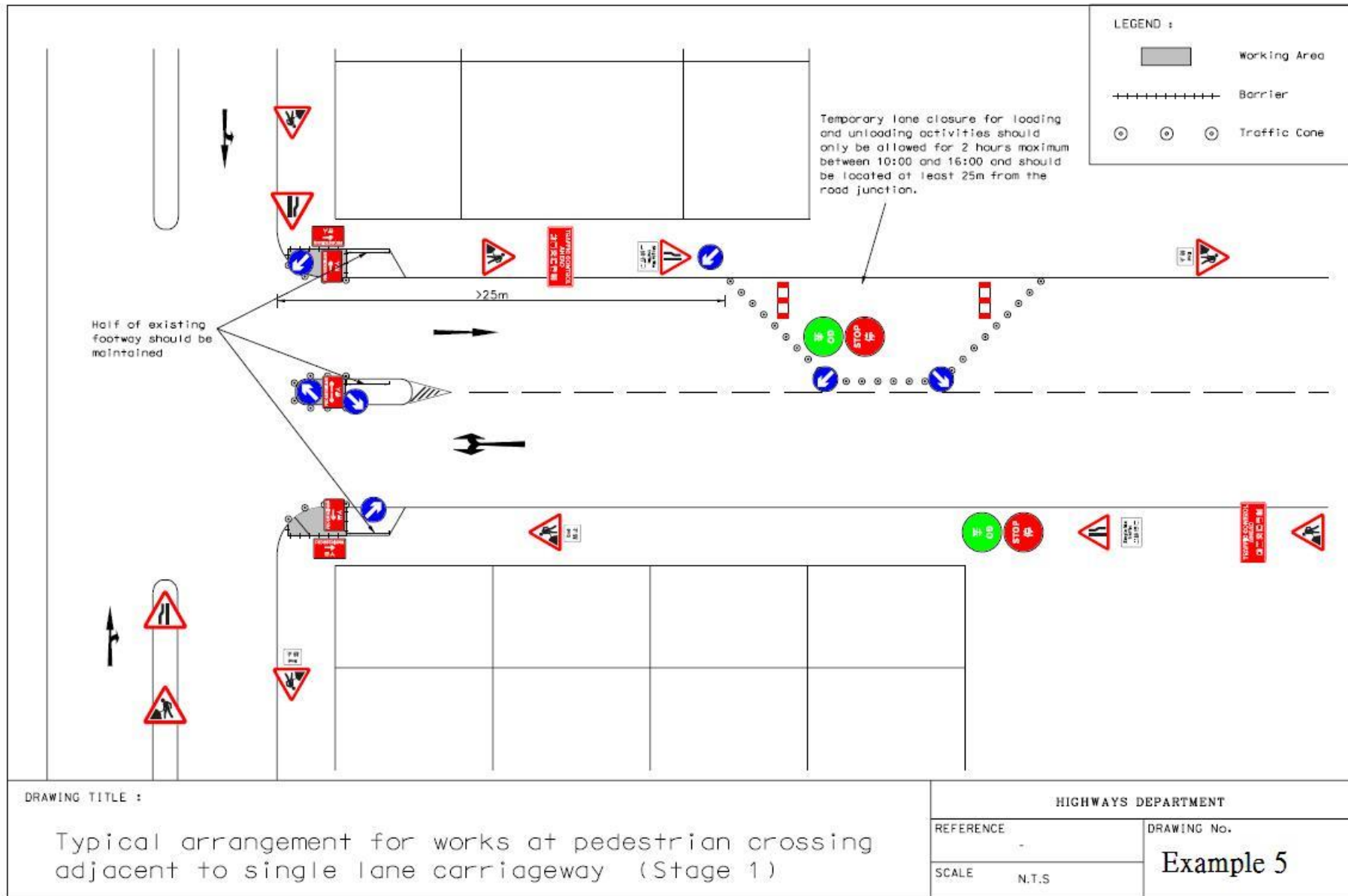
Examples of Temporary Traffic Arrangement (TTA) Plan



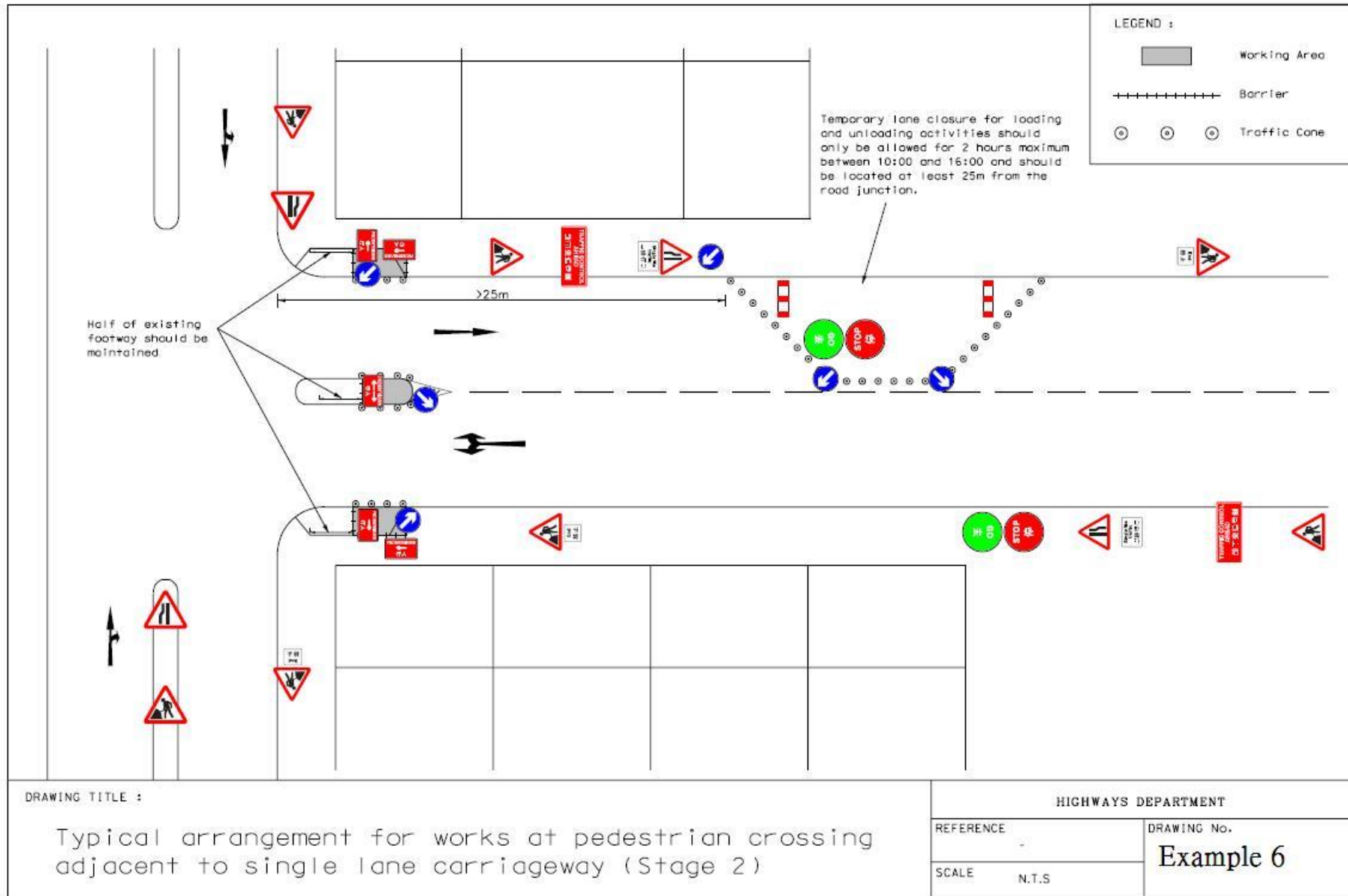
Examples of Temporary Traffic Arrangement (TTA) Plan



Examples of Temporary Traffic Arrangement (TTA) Plan



Examples of Temporary Traffic Arrangement (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.