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New York State Thruway Authority

REAL PROPERTY MANAGEMENT STANDARD OPERATING PROCEDURE

FIBER OPTIC CONNECTIONS

Section 02.11

January 2016

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**1. Purpose**

The purpose of this procedure is to: (a) ensure consistency in the review and issuance of occupancy permits for the installation of new Fiber Optic Connections at locations other than the original 15 designated locations for connections to the fiber optic backbone system located on property under the jurisdiction of the New York State Thruway Authority (Authority); and (b) provide a description of the duties of the Fiber Optic Project Manager and the Headquarters Permit Coordinator. This procedure supplements SOP - TRANSACTION ANALYSIS PROCESS (500-2-02.1) and SOP - OCCUPANCY PERMITS (500-2-02.5).

**2. Applicable Law and/or Guidance**

New York State Public Authorities Law, Article 2, Title 9, and Article 9, Title 5-A

Thruway Real Property Management Policy (25-6-02)

Thruway Permit Application (TA-W5124)

Occupancy and Work Permit Accommodation Guidelines (TAP-401)

Fiber Optic Facilities Supplement (TAP-401F)

Design and Construction Requirements for Occupancies:

- General Design and Construction Requirements (TAP-421A)
- Underground Crossing of Mainline Pavement and Shoulders (TAP-421B)
- Installations/Crossings on or Attached to Bridge Structures, Bridge Culverts, or Structural Retaining Walls (TAP-421D)

Authority Fee Policy, as amended

Executive Instruction entitled Issuing A Work Permit For Preliminary Planning Purposes In Advance Of A Contemplated Occupancy Permit Or Disposal Of Real Property



**3. Introduction**

The Authority has a fiber optic backbone system (Fiber Optic Facilities) maintained by the Authority’s Fiber Optic Contractor (Contractor).

Third parties who want to install a connection to the Fiber Optic Facilities (Fiber Optic Connection) at locations other than the 15 locations\* originally designated for Fiber Optic Connections must apply to the Authority for an occupancy permit as described in SOP - TRANSACTION ANALYSIS PROCESS (500-2-02.1), SOP - OCCUPANCY PERMITS (500-2-02.5) and as described herein.

Note: The Authority’s agreement with its Contractor allows the Contractor to enter into User Agreements with third parties to use the Fiber Optic Facilities. The User Agreements allow Users to connect to the Fiber Optic Facilities at 15 designated locations. The connections at these locations and the User Agreements do not require the issuance of an occupancy permit as described in SOP - OCCUPANCY PERMITS (500-2-02.5) and as described herein.

In addition to the Authority permit application fees, each Fiber Optic Connection is subject to an annual fee that must be approved by the Authority’s Finance Committee for Fiber Optics as provided by the Authority’s Fee Policy, as amended, before the permit is issued.

\* Original Fiber Optic Connection Locations

Number	Name	Milepost
1	Ripley Barrier	494.90
2	Buffalo (I-190)	4.37
3	Buffalo (I-190)	5.36
4	Buffalo	426.17
5	Rochester	366.35
6	Syracuse	282.70
7	Utica	232.85
8	Rapp Road	148.30
9	Albany	147.40
10	Albany	142.50
11	Rte. 9W	141.00
12	New Paltz	75.80
13	Poughkeepsie	75.80
14	White Plains	CW 3.70
15	Hall Place	0.30



**4. Processing and Issuing an Occupancy Permit for a Fiber Optic Connection**

Upon receipt by staff of an inquiry for an occupancy permit for a Fiber Optic Connection to the Fiber Optic Facilities, the Division Permit Coordinator (DPC) and the Fiber Optic Project Manager (Manager) work cooperatively with and parallel to each other in processing the inquiry and THRUWAY PERMIT APPLICATION (TA-W5124).

The DPC processes the inquiry in accordance with SOP - TRANSACTION ANALYSIS PROCESS (500-2-02.1) and SOP - OCCUPANCY PERMITS (500-2-02.5). Additional requirements for processing an occupancy permit for a Fiber Optic Connection to the Fiber Optic Facilities are described below.

4.1. The DPC informs the inquirer that:

- The FIBER OPTIC FACILITIES SUPPLEMENT (TAP-401F) sets forth the additional requirements for a Fiber Optic Connection. The DPC should direct the inquirer to the Real Property page of the Authority's website ([www.thruway.ny.gov](http://www.thruway.ny.gov)) to view and download this document or can provide a hardcopy upon request.
- The inquirer must contact the Manager for specific technical information related to a Fiber Optic Connection.

4.2. The Manager informs the inquirer that:

- The preferred location for a Fiber Optic Connection is at a site where there is already infrastructure connecting to the Fiber Optic Facilities.
- The installation of an additional Fiber Optic Connection will only be considered after the Contractor reviews the feasibility of using infrastructure at one of the existing Fiber Optic Connections.
- Regardless of the Contractor's determination of the location of the Fiber Optic Connection (at either an existing Fiber Optic Connection where there is already infrastructure or at new location), a "rider" to the occupancy permit, describing the relationship among the Authority, the Contractor and the Permittee and addressing specific additional terms of the occupancy, must be developed.
- The inquirer shall be responsible for obtaining, at its sole expense, agreement by the Contractor to inspect the installation of the Fiber Optic Connection.

4.3. Upon the DPC's receipt of an application package, the DPC notifies the Manager and forwards design documents (including, but not necessarily limited to, site plan, scope of work and survey) to the Manager.



- 4.4. While the DPC completes SOP 500-2-02.5 steps 4.2 – 4.5, the Manager forwards design documents submitted by the applicant to the Chief Engineer or designee for review and approval.
  - 4.4.1. If rejected by either the Chief Engineer, Division Director or their designees, the Manager notifies the applicant and the procedure stops here.
  - 4.4.2. If approved, the Manager notifies the DPC (who completes the THRUWAY TRANSACTIONAL ANALYSIS/RECOMMENDATION (TA-N5116)) and proceeds to step 4.5.
- 4.5. The Manager and a representative from Legal, in consultation with the Headquarters Permit Coordinator (HPC), develop the rider with its specific additional terms for the occupancy permit. Once developed, the HPC forwards the rider to the DPC for attachment to the occupancy permit.
- 4.6. The HPC, in consultation with the Manager, proposes an annual occupancy permit fee; and the Manager submits it to the Authority's Finance Committee for Fiber Optics for review and approval.
  - 4.6.1. If disapproved, the Manager resubmits a revised fee to the Committee following re-evaluation by the HPC in consultation with the Manager.
  - 4.6.2. If approved, the Manager informs the HPC and DPC. The DPC informs the applicant of the annual fee and sends the occupancy permit (including the rider) to the applicant for signature.
- 4.7. The applicant signs and forwards the occupancy permit (with rider) to the Contractor and sends the first year's annual fee to the DPC.
- 4.8. The Contractor signs and forwards the occupancy permit (with rider) to the Manager.
- 4.9. The Manager obtains the Chief Engineer's signature then sends a scanned electronic copy of the rider to the DPC and HPC (for the Transaction Record).
- 4.10. DPC enters the rider into PERMITS Plus and files a copy in permit files.
- 4.11. Upon receipt of the annual fee, the DPC sends the Permittee a copy of the fully executed permit with rider along with a receipt for the payment, updates PERMITS Plus with the permit information and processes the occupancy permit in accordance with SOP 500-2-02.5 steps 4.10 through 4.12.



4.12. The Manager files the fully executed permit with rider in permit file and sends a copy to the Contractor.

**5. Administering a Fiber Optic Connection Occupancy Permit**

In addition to the administrative tasks in SOP 500-2-02.5 Section 6, the DPC serves as the point-of-contact for interactions with the Contractor, the Permittee, Division staff and Headquarters staff.

**6. Responsibilities**

Division Permit Coordinators progress the occupancy permit in accordance with SOP 500-2-02.1, SOP 500-2-02.5 and this procedure including: inform inquirers of additional information; forward applicant design documents to the Manager; and progress the occupancy permit (with rider) through the signature process. DPCs also serve as the points-of-contact for interactions with the Contractor, the Permittee, Division staff and Headquarters staff.

Fiber Optic Facilities Manager works in cooperation with and parallel to the Division Permit Coordinator in processing the application and subsequent permit; secures the Chief Engineer's (or designee's) review of the design documents; with a representative from Legal, develops the rider to the occupancy permit; and submits the proposed annual fee to the Finance Committee for Fiber Optics for review and approval.

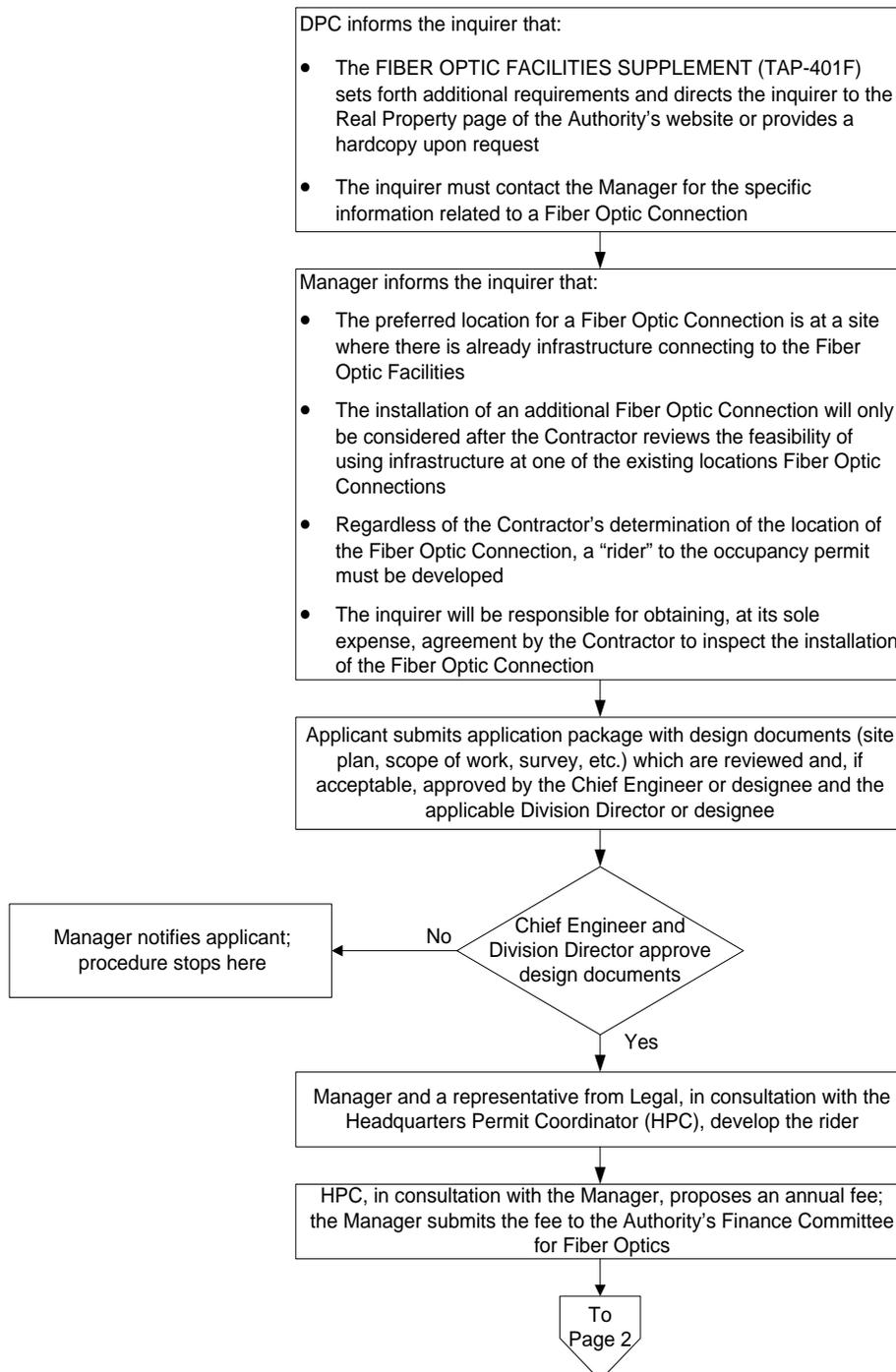
Headquarters Permit Coordinator, in consultation with the Manager, proposes an annual fee.



7. Flowchart

Upon receipt of an inquiry for an occupancy permit for a Fiber Optic Connection to the Authority's Fiber Optic Facilities at locations other than the 15 locations originally designated for Fiber Optic Connections, the Division Permit Coordinator (DPC) and Fiber Optic Project Manager (Manager) work cooperatively with and parallel to each other in processing the inquiry and application.

The DPC processes the inquiry in accordance with SOP - TRANSACTION ANALYSIS PROCESS (500-2-02.1) and SOP - OCCUPANCY PERIMTS (500-2-02.5). Additional requirements are described below.





# PROCEDURE

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