

PIMA COUNTY REGIONAL FLOOD CONTROL DISTRICT ADMINISTRATIVE PROCEDURE

PROCEDURE NO.: Administrative Procedure, ADM-220 **EFFECTIVE DATE:** 6/19/07
REVISED DATE: 10/4/10

PROCEDURE TITLE: FPUP File Contents

PURPOSE: An internal procedure to establish minimum criteria for the contents of Floodplain Use Permit (FPUP) files in order to ensure that files contain the information necessary to support permitting decisions. The procedure also establishes the organization of files to make later permit review and scanning easier.

PROCEDURE:

Permits issued by the District are often reviewed at some point after issuance, either to assess what was permitted previously when further improvements are proposed, to assess compliance with permit conditions, or because flood damage has been sustained on a property. The ability to reconstruct permitting decisions is critical in these situations. It is the responsibility of staff preparing permits to ensure that supporting documentation in FPUP files is clearly labeled and well organized.

When documenting a permit, it is important to remain factual. Do not place any documentation in the file that expresses your opinion. Professional judgment is acceptable if supported by the Ordinance, policy, or other substantive means. Further, documentation in the file should not assign or imply blame for actual or potential flooding problems on the District or Pima County. This does not mean that you could not or should not note conversations with customers in which they express their opinions, i.e. "Customer indicated that he believes the wash has been diverted by new subdivision." This type of documentation may illustrate why a certain action was taken during the course of the permit review.

The documentation within the permit folder should provide enough detail to allow a future reviewer to be able to re-construct the permit and understand the basis for permit conditions. Any document or information that was used to evaluate the site or draw conclusions should remain in the file. Should the permit ever go to court, the permit file should be able to stand on its own merit.

The minimum necessary documentation and the order in which it should be placed in the file is outlined below, as are documents that shall not be included in permit files.

A. Initiation of FPUP application – Counter Hydrologist Responsibility

The Area Hydrologist should expect to receive FPUP applications with this information provided:

1. Original green floodplain use permit form
2. Development Services Activity Permit application, if applicable
3. Zoning reviewed site plan, if applicable
4. Mapguide Map with Aerial photo (newest PAG photo) and the following layers turned on: washes, 2005 Riparian Habitat, roads w/ names, and topography (most recent year), printed at 2400 scale (1" = 200'), with North arrow and scale.

B. File Contents Prior to Permit or Letter Review FPUP - Area Hydrologist Responsibility

Prior to submitting an FPUP to senior staff for review of conditions or comment letters, all documents prepared up to that point shall be attached to the file as outlined in Section C below. All electronic files shall be created and named as outlined in Section D below. Letters submitted for review should be in Microsoft Word format until approved, at which point they must be converted to PDF format and electronically signed prior to sending.

If the permit is being submitted for conditions review, standard detail sheets, Elevation Certificates, and covenants (as applicable) must be completed and included in the file, and conditions must be entered into Permits Plus.

C. Prior to Issuance – FPUP File Contents - Area Hydrologist Responsibility

Naming conventions for electronic versions of the file contents are noted in Section D. The following documents shall be placed in the file, attached to the right-hand side of the folder (except as noted), in the following order (from top to bottom):

1. FPUP File Chart (left-hand side). **Hydrologists must document important information, including discussions, events and/or decisions on the FPUP File Chart.** This includes summaries of site visits, conversations with customers, customer decisions, supervisor decisions, etc. Documentation on the FPUP File Chart must include the date and the initials of the person annotating the file.
2. FPUP Form (not attached until issued) and original site plan(s) with stamps (If the FPUP form has been created electronically, the file shall be named *FPUP.pdf*. Once approved and signed by applicant the scanned file shall be named *010-FPUP.pdf*)
3. Elevation Certificate(s) (Original to customer, who must acknowledge receipt in FPUP File Chart)
4. As-Built Certification (Original to customer, who must acknowledge receipt in FPUP File Chart)
5. Covenants (if not yet signed, not attached; If signed, should be acknowledged in FPUP File Chart)
6. Site plan (photocopy with stamps and signature) Use “Pima County fold” for large plan sheets.
7. Foundation plan(s) and/or flood/erosion protection details, if appropriate (photocopy with stamps and signature)
8. Photocopy of DSD Activity Permit
9. 2,400 scale aerial, with an approximate sketch of where the proposed improvements will be located, showing washes, floodplains, road names and topography, and riparian disturbance calculation, if applicable.
10. Maps with calculations or hand written notes including BFE determination (dated and initialed), including map used to interpolate between cross-sections (BFE spreadsheet to be PDF copy saved as *050-BFE calcs.pdf*)
11. Responses to comment letter in chronological order, including photographs from the customer
12. Memos (such as riparian habitat mitigation memos and engineering) shall be saved as PDF with the following naming conventions: *071-engineering memo-yyyy-mm-dd.pdf*, *071-riparian memo-yyyy-mm-dd.pdf*. Other memos should be named *071-description-memo-yyyy-mm-dd.pdf*
13. Other maps as necessary to illustrate permit issues, including pertinent information from Special Studies, labeled with study information, north arrow, scales, etc. (Sufficient notes should detail why, including historic photos with photo year indicated if non-conforming use or to address presence of other structures)
14. Photocopies of pertinent information from Special Studies, labeled with study information, north arrow, scales, etc.
15. Riparian Mitigation plan, if applicable (Original to customer, copy in file)
16. Engineering reports, attached to the **left-hand side** of the folder

D. Prior to Issuance – Electronic Folder Contents – Area Hydrologist Responsibility

1. If the FPUP form was created electronically, the file shall be named *FPUP.pdf*. Conditions shall be saved as Word document named *Conditions.doc*
2. Elevation Certificate saved as PDF with name *El Cert.pdf* (This file shall be saved until the completed document is returned, at which point it shall be deleted by person scanning the returned document and the scanned document shall be saved as *020-El Cert.pdf*)

3. As-built Certification saved as PDF with name *As-built.pdf* (This file shall be saved until the completed document is returned, at which point it shall be deleted by person scanning the returned document and the scanned document shall be saved as *025-As-built.pdf*)
4. Covenants saved in Word document with name *covenants.doc* or *access-covenants.doc* (These files shall be saved until the completed documents are returned, at which point they shall be deleted by person scanning the returned documents and the scanned documents shall be saved as *030-covenants.pdf* or *031-access-covenants.pdf*)
5. Site plans obtained digitally or scanned shall be saved as PDF with name *040-site plan.pdf*.
6. Detail sheets obtained digitally or scanned shall be saved as PDF with name *04X-plantype.pdf*, where 04X is the a successive number starting with 031 and plantype is the name indicated on the plan sheet, e.g. *041-foundation plan.pdf*, *042-electrical.pdf*, *043-erosion protection.pdf*.
7. BFE and DV² spreadsheet as PDF with name *050-BFE calcs.pdf* followed by maps associated with calculation saved as PDF with name *05X-description.pdf*
8. Foundation/toe-down determination spreadsheet saved as PDF with name *060-Foundation toe-down.pdf*
9. Signed comment letters saved as PDF with name *070-Comment letter yyyy-mm-dd.pdf*. Attachments that are unique or customized must be merged to the letter in PDF format. Attachments that are either already in the file (such as previous letters and attachments to those letters) or are standard information (Technical Policies/Procedures, handouts, etc.) should NOT be merged to the letter in the file, as this information can be found elsewhere.
10. Responses to comment letters, if received electronically, shall be named *080-response letter-yyyy-mm-dd.pdf*.
11. Memos (such as riparian habitat mitigation memos and engineering) shall be saved as PDF with the following naming conventions: *071-engineering memo-yyyy-mm-dd.pdf*, *071-riparian memo-yyyy-mm-dd.pdf*. Other memos should be named *071-description-memo-yyyy-mm-dd.pdf*
12. Maps, if applicable, shall be named *09X-map description.pdf*
13. Miscellaneous documents, if applicable, shall be named *100X-document description.pdf*, including pertinent information from Special Studies, labeled with study information, north arrow, scales, etc.
14. Contact sheet of photos, following *Procedure Adm-212*, except named *110-photos-yyyy-mm-dd.pdf*. (Photos from the customer should be taped securely onto an 8 1/2" X 11" sheet of paper and attached to the file. When scanned or received digitally, customer photos must be named *115-last name-photos-yyyy-mm-dd.pdf*, using the last name of the customer.)
15. If a riparian mitigation plan is submitted electronically, it shall be saved as a PDF with name *120-riparian mitigation plan.pdf*
16. Engineering report(s), if received electronically, shall be saved as PDF with name *130-engineering-yyyy-mm-dd.pdf*.

Purge all other duplicate, unnecessary, and obsolete information from the file prior to giving to Administrative Staff for database change to APPR and placement in Ready File. If there are multiple versions of the same document that need to be kept in the folder, use the date (using the yyyy-mm-dd format) as a suffix to the file name, i.e. 030-siteplan-2010-04-22.pdf and 030-siteplan-2010-06-07.pdf. If there are multiple files for one document, add a two digit number with leading zero suffix to the file name, after the date if the date is also necessary, i.e. 040-foundation plan-2010-04-22-01.pdf and 040-foundation plan-2010-04-22-02.pdf.

E. After Issuance - Counter Hydrologist Responsibility

The following updates to the Permit file shall be made upon issuance of the FPUP:

5. Copy of FPUP Form, signed by applicant, to be attached
6. Applicant acknowledgement of As-Built Certification receipt on FPUP File Chart
7. Applicant acknowledgement of Elevation Certificate receipt on FPUP File Chart
8. Covenants, signed and notarized (Do not attach until returned from Recorder)

Permit shall be given to Administrative Staff for database change to ISSU or ISSU-NF and filing in TRS files.

F. During and After Construction – Administrative Staff Responsibility

The following updates to the Permit File shall be made as documents are returned.

1. FPUP remains the same, and remains on top
2. Attach completed As-Built Certification, attached to **left hand side**
3. Attach completed Elevation Certificates
4. Attach recorded Covenants

Once all necessary documents have been returned, the permit file can be scanned/archived or remain in TRS files, as appropriate.

G. Final Electronic Document Order – Administrative Staff Responsibility

Once all documents are returned to the District and the file is complete and finalized, a PDF shall be created that contains all of the FPUP file contents in the following order.

1. FPUP File Chart
2. FPUP Form (completed) – From *010-FPUP.pdf* if prepared electronically
3. Elevation Certificate(s) (scanned, completed document with name *020-El Cert.pdf*)
4. As-Built Certification (scanned, completed document with name *025-As-built.pdf*)
5. Scanned recorded covenants named *030-covenants.pdf* or *031-access-covenants.pdf* if previously scanned.
6. Site plan (scanned, completed document with stamps and signature with name *040-site plan.pdf*)
7. Foundation plan(s) and/or flood/erosion protection details, (scanned, completed document with stamps and signature) Detail sheets obtained digitally or scanned shall be saved as PDF with name *04X-plantype.pdf*, where 04X is the a successive number starting with 041 and plantype is the name indicated on the plan sheet, e.g. *041-foundation plan.pdf*, *042-electrical.pdf*, *043-erosion protection.pdf*.
8. Photocopy of DSD Activity Permit
9. Scanned 2,400 scale aerial, with an approximate sketch of where the proposed improvements will be located, showing washes, floodplains, road names and topography, and riparian disturbance calculation, if applicable.
10. BFE spreadsheet to be PDF copy saved as *050-BFE calcs.pdf* followed by maps associated with calculation saved as PDF with name *05X-description.pdf*
11. Foundation/toe-down determination spreadsheet saved as PDF with name *060-Foundation toe-down.pdf*
12. Signed comment letters saved as PDF with name *070-Comment letter yyyy-mm-dd.pdf*. Attachments that are unique or customized must be merged to the letter in PDF format. Attachments that are either already in the file (such as previous letters and attachments to those letters) or are standard information (Technical Policies/Procedures, handouts, etc.) should NOT be merged to the letter in the file, as this information can be found elsewhere.
13. Memos (such as riparian habitat mitigation memos and engineering) shall be saved as PDF with the following naming conventions: *071-engineering memo-yyyy-mm-dd.pdf*, *071-riparian memo-yyyy-mm-dd.pdf*. Other memos should be named *071-description-memo-yyyy-mm-dd.pdf*
14. Scanned responses to comment letters in chronological order, named *080-response letter-yyyy-mm-dd.pdf* if received electronically.
15. Scanned maps as necessary to illustrate permit issues named *09X-map description.pdf* (Sufficient notes are necessary that demonstrate the purpose for keeping the map)
16. Miscellaneous documents, if applicable, shall be named *100X-document description.pdf*, including pertinent information from Special Studies, labeled with study information, north arrow, scales, etc.

17. Contact sheet of photos, following *Procedure Adm-212*, except named *110-photos-yyyy-mm-dd.pdf*. (Photos from the customer should be taped securely onto an 8 ½" X 11" sheet of paper and attached to the file. When scanned or received digitally, customer photos must be named *115-last name-photos-yyyy-mm-dd.pdf*, using the last name of the customer.)
18. Riparian Mitigation plan, if applicable (scanned, completed with name *120-riparian mitigation plan.pdf*)
19. Engineering report(s), if received electronically named *130-engineering-yyyy-mm-dd.pdf*.

H. Prohibitions

Permit file **shall not** contain the following documents:

1. Post-it notes – unless they are taped down on all edges to a minimum 8.5 x 11 sheet or photo
2. Pieces of paper smaller than 8.5 x 11 – this includes the return mail cards
3. In-house generated maps that are not to scale or without the property boundary clearly shown—an exception would be a reduced (not to scale) copy of the subdivision plat, though a copy of the plat should only be in the file if it has been annotated with information important to the permit.
4. Multiple copies of the same document
5. Obsolete documents that have been revised
6. Loose photographs – all photographs must be either attached or scanned to a minimum 8.5 x 11 sheet of paper
7. Documents stapled to the file folder
8. Site plans that are not an exhibit of the floodplain use permit

Attachment: FPUP File Chart