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# Policies

## ARS Statutes

Arizona Criminal and Traffic Law Manual  
Title 28 Transportation Chapter 2 Administration

### Article 2. Department of Transportation

28-332 Department of Transportation jurisdiction; duties; divisions  
[28-332. Department of transportation jurisdiction; duties](#)

### Article 3. Director of the Department of Transportation

28-363 Duties of the Director; Administration  
[28-332. Department of transportation jurisdiction; duties](#)

## Chapter 5 State Highways and Routes

### Article 5. State Highways and Routes

28-7053 Department of transportation jurisdiction; duties; divisions  
[28-7053. Misuse of public highway or airport; violation; classification; injunction; definition](#)

## Arizona Administrative Code Title 17 Transportation

Chapter 3. Department of Transportation - Highways

[Department of Transportation - Highways](#)

- R17-3-501. Definitions
- R17-3-502. Applicability
- R17-3-503. Who Can Apply for an Encroachment Permit
- R17-3-504. General Application Procedures
- R17-3-505. Supporting Documentation
- R17-3-506. Encroachment Permit Requirements
- R17-3-507. Review Procedures
- R17-3-508. Unauthorized Encroachments; Enforcement Actions
- R17-3-509. Hearings

Please review the following sections as they pertain to ADOT Encroachment Permits.

# INSURANCE REQUIREMENTS

## Encroachment Permits Requirements

Assume all legal liability and financial responsibility for the encroachment activity for the duration of the encroachment, including indemnify, defend, and save harmless ADOT and the State of Arizona and any of its departments, agencies, boards, commissions, universities, officers, officials, agents and employees from and against any and all claims, demands, suits, actions, proceedings, loss, costs, damages of every kind, or expenses, including court costs, reasonable attorney's fees and/or litigation expenses, and costs of claim processing and investigation, arising out of bodily injury or death of any person, or tangible or intangible property damage, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts, or omissions of the Permittee, any of its directors, officers, agents, employees, or volunteers, or its contractor or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers' Compensation Law or arising out of the contractor's failure to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. Permittee and Contractor agree to provide ADOT with certificate(s) of insurance consistent with the requirements stated in the ADOT Permit Insurance Matrix to include naming State of Arizona/ADOT as an Additional Insured with respects to General Liability and Automobile Liability and provide a Waiver of Subrogation endorsement in favor of the State of Arizona/ADOT for all insurance coverages. The required insurance shall be kept in force by the Permittee and its contractors/subcontractors for the term of the permit and shall not expire, be canceled or materially changed to affect coverage available to the State without thirty (30) days written notice to the State. Automobile and Worker's Compensation coverage requirements are dependent upon the use of employees and autos for the encroachment activity. Please refer to the ADOT Permit Insurance Matrix to determine requirements for coverage, limits, language and other insurance related items specific to each permit. Permittee agrees to maintain and make available to ADOT all contractors/subcontractors' certificates upon demand. ADOT reserves the right to require an increase or allow a decrease in insurance limits or coverage based on the risks and financial exposure arising out of the event or activity proposed in the permit application. The Encroachment Permit is issued upon the expressed condition that ADOT and The State of Arizona does not protect or insure against loss of personal property or improvements owned by Permittee.

The insurance requirements for each type of Permit, as well as related tools and information, are provided here:

[Encroachment Permit Insurance Requirements and Example Certificate \(link is external\)](#)

## Self Insured Letter Template

- This is a template to be revised to each unique self-insurance program - it may be used for some or all of the required coverage and endorsements (a Certificate of Insurance with required endorsements are required for purchased insurance coverage)
- The purpose of the Letter is to ensure ADOT can fully transfer risks arising out of permitted or contract-related activity by self-insured governments and companies
- By providing such a letter, the Applicant, Vendor, or Contractor agrees:
  - ADOT and/or the State will be provided a legal defense and coverage for losses arising out of permit or contract related activities
  - Subrogation claims adverse to ADOT and/or the State of Arizona are waived

- The Applicant, Vendor, or Contractor self-insurance is primary, and ADOT's insurance will not contribute to defense or settlement costs.

## Self Insured Letter Template

Date: \_\_\_\_\_

The State of Arizona  
Arizona Department of Transportation  
1324 N. 22nd Avenue, MD 128A  
Phoenix, AZ 85009

RE: General Liability, Auto Liability, and Workers' Compensation  
Self-Insured Retention (SIR) Practices for \_\_\_\_\_

\_\_\_\_\_, hereinafter referred to as "The Company", is a business with operations in Arizona. Based on its financial condition, The Company utilizes an SIR mechanism as an equivalent to third-party provided insurance for portions of its aggregate general liability risk. Auto liability self-insurance has been approved by MVD via self-insurance application process, and an official MVD issued self-insurance certificate is attached. Workers' compensation self-insurance coverage has been approved according to all applicable statutory requirements and can be verified through the Arizona Industrial Commission.

Under the SIR, The Company self-insures for these risks at the level and dollar amounts, up to \$\_\_\_\_ Million, on a per occurrence basis, as specified under the Agreement between The Company and ADOT for permitted and non-public use of the State of Arizona's and/or ADOT's right-of-way. The Company maintains adequate levels of retained earnings or revenue to meet these self-insuring obligations. Copies of the Annual Report are available and electronic copies will be provided upon request.

The Company agrees to waive its rights of recovery in subrogation as to ADOT, its officials and employees for all claims, damages, losses, liabilities, or expenses relating to, arising from, or resulting from work performed by or on behalf of The Company within the ADOT right-of-way.

ADOT shall have additional insured status with respect to The Company's self-insured vehicle liability and general liability insurance to the scope and extent of ISO Form CG20101185; and with all stated coverages limited to the amounts specified in the ADOT Permit Insurance Matrix

\_\_\_\_\_'s self-insurance shall be primary and any insurance maintained by ADOT shall not contribute to, or be excess of, \_\_\_\_\_'s self-insurance.

As part of the SIR, The Company assumes responsibility to respond to any loss or risk relating to, arising from, or resulting from work performed by or on behalf of The Company within the ADOT right-of-way, to the extent that standard insurer policies would respond to an insurable loss.

Sincerely,



Standard work and a "job aid" for typical exceptions are located here:

This document will act as a "job aid" and supplement to existing guidance - such as the Insurance Matrix and Permits Insurance Checklist. It is intended to provide instruction with regard to the variety of permit applicant types (commercial, residential, sole proprietor, vehicle/no vehicle, employees/no employees, etc., and the evidence of insurance required for each type.

Definitions: Party is the Owner, Applicant, or Contractor.

**EXCEPTIONS - Matrix Applies with exceptions for the following:**

<b>Applicant Type</b>	<b>Evidence Required</b>	<b>Submit to <a href="mailto:insurance@azdot.gov">insurance@azdot.gov</a></b>	<b>Notes</b>
Party does not have employees and therefore does not carry workers' compensation insurance	<a href="#">Provide the party with the Workers' Compensation Sole Proprietor Waiver</a>	All Checklist items required, except for workers' compensation for those parties that provide a Sole Proprietor Waiver	Arizona does not require workers' compensation for sole proprietor businesses (no employees)
Owner/Applicant is not a business and property is residential	a. Collect a copy of homeowner's insurance declaration page b. If Applicant's automobiles will be employed for the encroachment permit work, collect automobile insurance declarations page	Owner/Applicant must provide homeowner's insurance declaration page and automobile insurance declarations page (if vehicles will be used), neither work comp nor a Sole Proprietor Waiver are required for a Homeowner; Contractor shall provide evidence required by the Checklist	In lieu of the Commercial General Liability and Auto Liability requirements; Matrix applies to all other parties
Party will not employ vehicles for the encroachment permit work nor stage mobile equipment in the right of way	Automobile insurance may be waived	All Checklist items required, except for automobile insurance / endorsements for the Party (s) that will not employ vehicles for the permit activity.	Permit documents should verify that the Party's vehicles will not be employed for the work, nor staged / parked in ADOT right of way. Matrix applies to all other requirements
Federal Government is the Owner/Applicant	Federal Government Agencies will not provide insurance and will not agree to indemnify		Insurance is required of the Federal Agency Contractor
Arizona Municipal Risk Retention Pool ("AMRRP") / Arizona Counties Insurance Pool ("ACIP")	Endorsements may not be available, and are not required if they are not available		These pools do not develop endorsements for all required coverages
No automobile policy - General Liability policy includes auto coverage for vehicles	Separate automobile policy is not required, nor endorsements for auto		General Liability policy will have endorsements that cover the automobile liability exposure

Please contact ASD/Safety and Risk Management for additional information or assistance.



# General Encroachment Permit Information

## ADOT Jurisdictional Control Statement

ADOT desires to operate a safe and efficient State highway system. The management of access to the system in an effective manner is vital to maintain the overall safety and efficiency of this system. Access to the State highway system is managed through the encroachment permit process. This permit process requires those desiring access to the State highway system apply for access through the Encroachment Permit process as described in this Policies, Guidelines and Procedures Manual.

Access to Non-Access Controlled highways will be conditionally granted to abutting property owners if it is safe, reasonable and lawful, upon application the Department will review the proposed access for compliance with sound engineering judgment, current ADOT Construction Standards, physical features of the State highway and the abutting property and proposed use of the property.

## Useful Information for Encroachment Permits Applications

All ADOT permits require the same basic information:

- ADOT's highways are designated in the following manner; Interstate is I for example; I-40, I-10,.
- United States highways are designated as U or US for example; US 93, US 89, US 95, US 191.
- State Route highways are designated as S or SR for example; SR 85, SR 95, SR 77, SR 202.

All three designations can be further described as follows even numbered routes are EastWest routes for example 1-40 begins at the California border and ends at the New Mexico border with a direction of travel being East-West. Odd numbered routes are North-South routes for example I-17 begins in Phoenix and ends in Flagstaff with a direction of travel being North-South.

All ADOT highways are further defined by milepost markers, milepost markers or MP's are green panels with white numbering and lettering that are 2 foot to 4 foot in height, MP's are set one mile / 5280 feet apart for example; 1-40 at the California border is MILE 000 getting larger going East to New Mexico's border MILE 359.

ADOT has jurisdictional control over the highway and property on both sides of the roadway or roadways this area can vary in size and is measured from the center of the roadway to the property line or Right of Way line this line may be delineated by a fence or Right of Way markers. It is this property that applicants request the use of for varying types of encroachments for example; driveways, utilities, landscaping or in the case of Special Events use the roadway surface for; bike events, parades, banners and in the case of Adopt-A-Highway applicants that will pick up litter along the roadway with-in the ADOT Right of Way

Encroachment owner, Adopt-A-Highway applicant or Special Event applicant is the name of the individual that is the abutting property owner in the case of access, an employee of a utility co. or other governmental agency installing a utility on ADOT Right of Way or the applicant that is going to be responsible for the group that will be picking up litter with-in ADOT' s Right of Way or the representative of an organization requesting the use of the roadway surface for a Special Event.

City: the city or town closest to the location of the encroachment, event or the section of a route adopted.

Description of the proposed work or activity: for example; construct one twenty-five foot wide turnout with a double gate, Fourth of July parade close both lanes of Route SR 264 and in the case of Adopt-A-Highway you must complete the message portion of the application.

## Applications and Instructions:

The following are the three types of permit applications issued by the ADOT District Permits offices.

[Encroachment Permit Application \(link is external\)](#)

[Encroachment Application Instructions \(link is external\)](#)

[Special Event Permit Application \(link is external\)](#)

[Special Event Application Instructions \(link is external\)](#)

[Adopt a Highway Volunteer Application \(link is external\)](#)

This permit manual will break down the different permit business types. Provide a brief description and provide a general checklist. The checklists are provided to give permittees general guidance but are not intended to be all encompassing. Further guidance and detailed instructions and information go to the ADOT Engineering & Construction Section of the manual. There you can access links directly to the discipline of that specific ADOT Department.

Permittees are strongly encouraged to contact their local permits office to talk with a permit supervisor or permit technician regarding any questions related to the permit process. Also available from the permits office is a pre-application checklist

[ADOT district offices](#)

## Statewide Permit Services

Please contact Statewide Permit Services for any requests for Outdoor Advertising, Film or Class C permitting.

### Class “C” Permits:

Applications for Class C Permits may be submitted online using the [ADOT ePRO System](#). For other submittal options, please contact the Class C Permits Office at 602.712.8280 or 8176. [Class “C” Permits](#)

### Film Permits:

To perform any filming activity on an ADOT roadway, including the right of way or any ADOT property, a film permit is required.

[Film Permits](#)

### Outdoor Advertising Permits

The state of Arizona’s Highway Beautification Program requires oversight of outdoor advertising signs (billboards) placed along state highways and some other roads. This program is in addition to programs and ordinances of local governments to control and oversee placement of signs within their jurisdiction.

[Outdoor Advertising Permits](#)

# Encroachment Permit Types

## Access

- Range
- Residential
- Multi-family/minor commercial
- Major commercial
- Major commercial with signal
- Joint use turnouts/driveways

## Adopt-A-Highway:

- Volunteer Program

## Drainage

- New construction
- Alteration of facilities
- Restoration / Repair

## Environmental Investigation

- Archeological
- Geotechnical
- well monitoring
- Haz-mat Investigation / cleanup

## Fence

- Installation & Removals
- Modifications

## Landscaping, Right of Way Grading

- Vegetation Control
- Installation & maintenance
- Grading

## Permanent Structures

- Bus Stops
- Monuments
- Sidewalks
- Mailboxes

## Security

- Checkpoints
- License Plate Readers

## Special Event;

- Parades
- Banners
- Bike events
- Coffee Breaks
- Traffic control for events not on the highway

#### Temporary Activity

- Surveys: topographic, boundary
- traffic data collection

#### Traffic Control

- Temporary traffic control for:
  - maintenance activities
  - improvements outside of ADOT ROW

#### Permanent traffic control:

- Signage
- Striping
- Traffic signals
- Emergency Vehicle Signal (EVS)

#### Utilities - Non-Access Controlled Routes

- Aerial parallel
- Underground parallel
- Crossings both aerial and underground
- Relocating within project limits
- Removals and abandonments

#### Utilities - Access Controlled Routes

- Aerial crossings
- Underground crossings
- No parallel utilities
- No facilities within the R/W; poles, pedestals, vaults, manholes

#### Blanket Permitting; Annual permit issued to cover:

- Utility - repair/emergency
- Environmental
- Landscape
- Cities/counties maintain items not covered by IGA's

#### Permits not issued by District but still retains review privileges;

- Outdoor Advertising Billboards or ODA
- Class C oversize loads
- Film/Movie/Commercial

#### Title Definitions:

DE= District Engineer

ADE = Assistant District Engineer

DME= District Maintenance Engineer,

DDE= District Development Engineer

RTE= Regional Traffic Engineer,

DEC= District Environmental Coordinator,

PS= Permits Supervisor,

PT= Permits Technician,

U&RR= Utilities & Railroad

# ADOPT-A-HIGHWAY PROGRAM FOR VOLUNTEERS

## Purpose

To present the ADOT Adopt-a-Highway Program for Volunteers including policy, safety requirements, and sign content guidelines. The purpose of the Program is to provide volunteer community support to clean up litter along Arizona's highways.

## Scope

This policy applies to the Adopt-a-Highway Program for Volunteers that involves eligible participants such as individuals, families, corporations, businesses and organizations. This policy does not apply to the Adopt-a-Highway Program for Maintenance Providers, a similar program that offers a way for civic-minded individuals/groups to adopt a segment(s) of highway as a sponsor and have the work performed by others through contract or agreement.

## References

- \* ADOT Traffic Engineering Policies, Guidelines and Procedures - Section 300- Signs, Subsection 340 Adopt-a-Highway Signs
- \*Arizona Administrative Code R17-1-102 Licensing Time-frames
- \* ADOT Manual of Approved Signs
- \* Adopt-a-Highway Application for Permit and License to Use State Highway Right-of-Way (form)
- \*Adopt-A-Highway Special Event Waiver Form (52-0103)
- \*Arizona Revised Statute 28-7045 Director; rules; state highway and route use

## Definitions:

AAH is the Adopt-a-Highway Program.

AAH Statewide Coordinator is the person in Central Maintenance whose primary function is to champion the ADOT Adopt-a-Highway Program throughout the State.

ADOT Designated Office is the office designated by the District Engineer to issue the AAH permit and ensure conditions of the permit are met (i.e., safety training, measuring, waiver forms, scheduling, distributing and picking up litter bags, etc)

Volunteer is an individual or organization of individuals who choose to clean litter from the highway right-of-way shoulder or median with no promise of compensation other than having their name or group name posted on an ADOT Adopt-a-Highway sign. They are also referred to as "participants" in the Adopt-a-Highway Program.

Volunteer Coordinator is the permittee or other person representing a volunteer group participating in AAH clean up activities. This person works with the authorized contact person in ADOT and oversees the work of the volunteers during AAH clean up activities.

Permittee is the person or organization named on the ADOT-issued permit and license. The permittee may represent an organization or a group of volunteers

# 1. Adopt-a-Highway Program Policy

A. Eligible candidates for the ADOT AAH Program for Volunteers must complete an "Adopt-a-Highway Application for Permit and License to use State Highway Right-of-Way" and receive the ADOT-issued permit and license before beginning the Program ([Adopt a Highway Volunteer Application \(link is external\)](#)). By signing the application, the volunteer organization and the permittee representing them agree to abide by General Obligations and Responsibilities of the Program. [General Obligations and Responsibilities \(link is external\)](#) A candidate is considered "ineligible" to apply if they have had an AAH permit and license cancelled by ADOT in the previous 12 months for failure to fulfill Program requirements.

B. ADOT requires that each volunteer read, agree to, and sign the ADOT "Adopt-A-Highway Special Event Waiver Form" prior to participating in an AAH clean up activity. The waiver and signatures remain in effect for the duration of the ADOT-issued permit and license. A new waiver form may need to be used for each AAH activity since there can be different participants in different activities. If the same volunteers will be participating in a new activity, signatures on an existing waiver form can be verified by the volunteer coordinator and resubmitted to ADOT for each separate AAH activity. [Volunteer Registration Form \(link is external\)](#)

C. The Permittee shall be required to view or designate one or more participants to view the on-line safety video [Safety Briefing video](#) or attend a safety briefing conducted by ADOT prior to entering the highway right-of-way, and shall agree to abide by the written Adopt-a-Highway Safety Requirements. ADOT may authorize that designated participant to administer the safety briefing. Permittee agrees to require all volunteers to read the Adopt-a-Highway Safety Requirements [safety briefing](#).

D. ADOT requires volunteers to report their clean up activities within three days using the AAH Activity Report card. ADOT employees enter the number of bags picked up into the maintenance management system for tracking and measurement.

E. The preferred length of the adoptable highway segment is a total of two miles (two miles in one direction or one mile in each direction, cleaning both sides of the highway). Shorter lengths (but not less than one mile) may be permitted as determined by the District Engineer or designee. Only highway sections considered suitable by the District Engineer or designee may be included in the Program. A prime determining factor is the safety of the volunteers. Volunteers may adopt as many segments as they can maintain and more than one organization may join together to adopt a segment

F. The volunteer organization commits to pick up roadside litter at the frequency stated on the ADOT-issued permit and license. If the volunteer organization fails to meet its commitment, the permit may be canceled by written notification sent to the address of record on the permit. ADOT will issue a written notice/reminder to the volunteer organization 30 days prior to cancelling the permit and removing a sign due to the volunteer's failure to clean the highway. If litter clean up activity does not occur within 30 days following the letter, the sign can be removed and the permit cancelled.

G. Volunteers will schedule their clean up activities with the ADOT Designated Office. The clean up activity will be planned for daylight hours and will be scheduled as noted in the permit application. No clean up activities will be scheduled on holiday weekends or within twenty-four hours of a



holiday weekend unless specifically authorized in writing as an amendment to the permit and license. The ADOT Designated Office coordinates litter clean up activities with the volunteer group to prevent conflicts over the use of the highway right-of-way.

H. The ADOT Designated Office schedules litter bag pickups upon notification from the volunteer Coordinator that the clean up activity is complete.

I. The level of service required for AAH volunteers is limited to litter pick up and does not include sign maintenance, road maintenance, landscape trimming, weed control or rest areas.

J. The ADOT Designated Office shall notify the AAH Coordinator with current "authorized contact person" information.

## 2. Volunteers

A. Children younger than 12 years of age may not participate or be permitted in the right-of-way for any reason. The volunteer organization shall provide adequate supervision which is determined to be at least one adult, 21 years of age or older, for every ten members between 12 and 18 years of age.

B. Volunteer organizations shall appoint a Volunteer Coordinator from its membership to oversee its work in the right-of-way.

C. The permittee designates one or more participants to attend a safety briefing given by ADOT before entering the highway right-of-way. The designated participant may be authorized by ADOT to administer the safety briefing to AAH participants. All participants must attend a safety briefing given by a designated participant or ADOT, and must read the Adopt-a-Highway Safety Requirements. [Safety Briefing](#)

D. ADOT personnel or the Volunteer Coordinator will instruct volunteers in safety precautions prior to each litter clean up activity. Volunteers are required to follow the safety precautions.

E. Volunteers may not subcontract or assign their responsibilities under this program to any other enterprise, organization or individual unless they also hold a current ADOT-issued permit and license.

## 3. Permit and License

A. ADOT will issue a permit and license only when site conditions are suitable as determined by the District Engineer or designee.

B. Highway segments are awarded on a first-come, first-served basis. A waiting list may be established.

C. The permit and license is issued for a period of two years. It may be renewed if the organization has maintained its section in an acceptable manner as determined by the District Engineer or

designee. The permit and license may be cancelled by the District Engineer or designee if the area has not been properly maintained by the volunteer organization. The permit and license may be renewed by ADOT upon written request of the permittee. The authorized contact person must obtain a signature by the permittee stating they agree to continue under the terms and conditions of the permit and license.

D. The ADOT-issued permit and license may be expanded to include litter clean up activities in the highway median or ramp areas of a controlled access highway, but only when the District Engineer or designee determines the conditions are suitable. Special conditions and requirements apply to litter clean up activities in the highway medians.

#### 4. Signs

A. Adopt-a-Highway recognition signs are the property of ADOT. The recognition sign is not intended to be an advertising medium but is intended to identify and recognize the volunteer organization that is responsible for the litter clean up in the area.

B. Sign Content Guidelines - The Department reserves the right to edit the wording of the sign and has final approval of the sign. The guidelines and criteria for approving the content of an AAH recognition sign are shown in Exhibit 6.

C. Replacement of Signs - ADOT shall manufacture, install and maintain the sign. If vandalism to the sign occurs, ADOT will erect one replacement sign. No further sign will be provided or erected by ADOT under the current permit and license.

D. Size and color specs - AAH recognition signs will be manufactured and installed according to the specifications in the ADOT Traffic Engineering Policies, Guidelines and Procedures- Section 300-Signs. Subsection 340 Adopt-a-Highway Signs, and according to the ADOT Manual of Approved Signs (white letters on blue background). Sign location and spacing on the highway will appear as determined by the District Engineer or designee and as designed by the Traffic Engineering Group.

E. Number of Signs - ADOT reserves the right to control the number and placement of the AAH recognition signs. Two (2) signs will be erected for each volunteer organization, one at each end of the adopted highway segment, at a location determined by the department. For highway segments less than two (2) miles or a two (2) mile segment in one direction, one sign will be erected at a location determined by the department.

F. Removal of signs - ADOT will remove the AAH recognition sign upon termination or expiration of the permit.

G. Although the recognition signs are the property of ADOT, a sign may be awarded upon the completion of the permit to the volunteer organization for meritorious service to the Adopt-a-Highway Program. Such awards shall be authorized in writing by the ADOT Designated Office.

## 5. Litter Bags and Safety Vests

A. The ADOT Designated Office shall supply litter bags to the AAH volunteer(s) or volunteer organization. If AAH clean up activities are cancelled or there are unused litter bags left after a clean up activity, they remain the property of ADOT and shall be returned to the ADOT Designated Office.

B. The ADOT Designated Office shall provide safety vests for volunteer organizations. The vests must be worn by all workers when working as an Adopt-a-Highway volunteer. If AAH clean up activities are cancelled, or upon completion of a clean up activity, the vests remain the property of ADOT and shall be returned to the ADOT Designated Office.

## 6. Reporting and Measurement

The Adopt-a-Highway Activity Report card shall be used to report clean up activities to the ADOT Designated Office within 3 days following the clean up activity. The activity reporting card will also be used to verify the volunteer's participation in the AAH Program. Another source of measurement is the ADOT maintenance teams. They can report to the ADOT Designated Office how many filled litter bags were picked up along the highway for each AAH volunteer organization.

[Activity Report](#)

## Adopt a Highway Checklist

Y	N	N/A	
			Potential volunteers or groups looking to sponsor a segment of highway to perform routine cleaning maintenance should review the "Adopt a Highway" map to verify if the segment of roadway within ADOT Right of Way is available.
			Potential volunteer(s) should have the Highway name (route number) and milepost number to provide to their local ADOT Permit District Office. The Permit Office will assign a Technician who will verify if the requested section is available. ADOT District map: <a href="#">map (link is external)</a> State Highway system map is available at the following link:: <a href="https://adot.maps.arcgis.com/apps/webappviewer/index.html?id=e619406e8886446dba0aa635aa9f9131">https://adot.maps.arcgis.com/apps/webappviewer/index.html?id=e619406e8886446dba0aa635aa9f9131</a>
			Potential volunteer(s) shall read the Adopt a highway application and General Obligations and Responsibilities. Permit applications may be completed online or submitted to the local permit office by mail. <a href="#">Adopt a Highway Volunteer Application (link is external)</a> <a href="#">General Obligations and Responsibilities (link is external)</a>
			Volunteer organizers shall contact the Permits office a minimum of one (1) week prior to scheduling a planned litter cleanup activity. .
			Volunteer organizers shall conduct a group Safety Briefing prior to each event. Safety Video Link : <a href="#">Safety Briefing video</a> Safety Briefing link : <a href="#">Safety Briefing</a>
			Volunteer organizer(s) shall return the Adopt a Highway Volunteer Registration Form to the permit office after each clean-up, that has been signed by each member of the group. <a href="#">Volunteer Registration Form (link is external)</a>
			Volunteer organizer(s) shall complete an "Activity Report" Reporting how many bags were picked up and provide any additional information after each clean-up. at the following link: <a href="#">ADOT Activity Report</a>
			Volunteer(s) or group signs will be installed after the first reported pick-up.
			The permits office technician will monitor reported pickups as required in the permit document. If Permittee completes the number of required pickups they have the option to extend the permit or cancel the permit at any time.
			Please contact your local permit office for additional information or guidance as needed. <a href="#">Contact Us</a>

# Access Permits

General Access: Commercial and residential turn-outs and driveways, including cattle guard, fence and gates. Turnout = an access constructed in a non-curb and gutter section.

Major Access: Significant changes in highway features such as adding turn lanes, new connecting roads or streets, and traffic interchanges.

Minor Access: Minimal or low use access, like range access, utility easement, pedestrian access such as pathways and trails, and associated gates.

Driveway = an access constructed in a curb and gutter section, typically a depressed curb, including single curb and gutter; occasionally and with Regional Traffic approval maybe a radius curb return.

Change of Ownership Access Permit: A permittee shall apply when ownership to access the designated parcel has changed. Access permits are non transferable.

Temporary Construction Access: Developers and contractors may apply for a construction access permit to allow construction equipment and vehicles to begin on site construction.

Reference Encroachment Permits [Bulletin 07-03](#). This Bulletin provides information for minimum requirements for design engineers, plans, and contractors, definition of major access, requirements, procedures and guidelines, including but not limited to insurance, and bonding.

## Change of Ownership (Access) Checklist

Y	N	N/A	
			Permit applicants will be required to show they own the property in fee title.
			Permit Technicians should confirm ownership through research on The County Recorder's website utilizing parcel numbers on line or applicant must provide documentation proving ownership.
			Access permits are non transferable and new property must apply for a permit.
			Permit approval is based on design needs for the proposed access use. Existing Access permits requesting additional property development will be required to conduct the appropriate traffic studies and/or subsequent improvements as requested by the District.
			Change of use of any access permit will also require a traffic study to be submitted and will be subject to meet current ADOT standards.
			Permittees will be responsible for the maintenance of driveway.:
			All driveway improvements or changes will require the permittee to submit engineering plans for review and approval.
			Permit technicians may utilize as-built drawings or drawings of record provided the access use has not changed and the driveway meets current ADOT standards.

## Minor Access Checklist

Y	N	N/A	
			Minor Access: Minimal or low use access, like range access, utility easement, pedestrian access such as pathways and trails and associated gates.
			The Permits Department shall confirm that the applicant has grazing rights or a lease by documents provided by the applicant. The applicant shall provide a copy of their deed or lease agreements, letter from the property owner allowing them to access their property
			The Permits Department shall confirm if there is an underlying fee owner by reviewing the R/W plans or contacting the ADOT Right of Way group or the county assessor's office with the legal description of the land.
			The typical width for range access would be 14 to 25 foot wide. Bladed and compacted or 4 inches of compacted Class II AB (aggregate base). ADOT construction standard C-6.10 Sheets 1 & 2. Use this guide, keeping in mind that trucks pulling trailers loaded with cattle or horses may be using this access
			Regional Traffic and/or the Development Engineer shall verify requested access location, verifying access point is safe with road conditions. (example: sight visibility, etc.).
			All driveway/access improvements or changes will require the permittee to submit engineering plans for review and approval.
			Plan submittal requirements: scalable site plan with ADOT Right of Way, ADOT engineering stationing, north arrow, distance to milepost, fence, existing drainage structures, proposed access/gate, elevation or difference in elevation of highway and the proposed gate. Reviewing Engineers may request a driveway profile.
			Permittees will be responsible for the maintenance of driveway and installation of gate and cattle guard associated with the permit.
			The permittee shall be responsible for gate closure, failure to keep the gate closed will result in removal of the gate and turnout at the expense of the permittee and the permit will be canceled.
			The permittee shall chain and lock the gate to prevent the public from using the gate and leaving it open, the permittee is ultimately responsible for closure of the gate.
			Permittees may be required to submit a drainage report or statement prepared by a Registered Professional Engineer in the State of Arizona.
			Traffic Control Plan, prepared by a commercial signing and barricade company.
			This permit is approved based on the design needs for the requested access use. Should this access be used for purposes other than those identified in this permit; either by additional property development, or land use change, it will be the permittee's responsibility to complete the appropriate traffic studies or evaluations and subsequent improvements as requested by ADOT. If the change of use is significant, the property owner may be required to resubmit an application for access, subject to current ADOT standards.

## Major Access Checklist

Yes	No	N/A	Project Scoping
			Schedule a pre-submittal meeting to discuss scope of project with appropriate ADOT District Office, Regional Traffic, and local agencies.
			Complete and submit a Traffic Guidelines Processes (TGP) 240 Exhibit A.
			Schedule a meeting with the ADOT District Office and Regional Traffic to discuss Exhibit 240A if necessary based on comments.
			Complete and submit a TIA or TIS pending on the size of the development per TGP 240 and scoping meeting. (See TIA requirements below).
Yes	No	IN	Traffic Study Pre Application
			Applicant reviews TGP 240
			Applicant prepares TGP Exhibit 240 A and meets with District/Regional Traffic and Development Engineers
			Submit TGP 240 Exhibit A with initial permit application
			Traffic Study Pre Application Once TIA Scope is approved
			requests any traffic related data from ADOT Permits
			Review detailed Trip Generation and Trip Distribution with Regional/District Traffic Engineer
			Prepare TIA per TGP 240.
			The analysis document shall provide a table summarizing the LOS and delay in seconds for each intersection and segment of highway identified in the scoping as part of the analysis area. Break each intersection up into individual movements for the LOS and delay summary. Do not give just the overall intersection LOS and delay.
			Any turning movement or segment falling below allowed LOS Per TGP 240 make a recommendation for mitigations and analysis traffic with said mitigations. If ADOT has a master plan for corridors being impacted incorporate the master plan improvements in the proposed traffic mitigations. A meeting to discuss possible mitigations may be desired, work with assigned permit tech to set up a meeting with the ADOT District and Regional Traffic Engineer.
			Submit TIA for review with 30% design plans and preliminary drainage report.
			Set up comment resolution meetings with assigned permit tech.
			Traffic study sealed and signed by a Professional Engineer
Yes	No	IN	Drainage Report
			Drainage Report/ Drainage Memo or report sealed and signed by Professional Engineer
			A complete set of plans with drainage details.
			Location/Vicinity map showing project site.
			Floodplain Delineation map showing FEMA flood hazard zones.
			Drainage area maps showing drainage patterns in both the pre- and post-construction conditions.
			Adequate description of existing drainage conditions.
			Adequate description of proposed drainage conditions including impacts to ADOT drainage facilities.



			Hydrologic methodology and computations included in an appendix and shown in a Table format in the body of the report.
			Hydraulic computations included in an appendix and shown in a Table format in the body of the report.
			Does the report demonstrate that drainage conditions within ADOT right-of-way are not being worsened as a result of the project?
			Are retention requirements described and met by the proposed design?
			Is the first flush volume retained on the project site or treated prior to discharging to ADOT drainage facilities?
			Is there any FEMA floodplain impact? Is this discussed in the report?
			Verifying the existing storm drain system can take additional runoff from the project.
			Do new storm drains meet minimum velocity requirements? Sections 607.1 of ADOT Roadway Design Guidelines
			Do new storm drains meet minimum size requirements? Sections 607.1 of ADOT Roadway Design Guidelines
			Is there a need for a drainage easement?
			Has ADOT been contacted about the new easement?
			Drainage grates bicycle friendly.

P = Preliminary Design  
F = Final Design  
S = Ready to be sealed  
IN = Designers initials denoting the item has been addressed

30%	60%	95%	100%	IN	Roadway Design
P	F	S	S		The plans follow the TIA recommendations/requirements?
F	F	S	S		Are there any ADOT design variances needed? If so, have you discussed them with the appropriate ADOT District?
F	S	S	S		Show posted and design speed of plans, ADT, average elevation
F	S	S	S		Project stationing is tied to ADOT construction centerline stationing
F	F	S	S		All standard details and standard specifications in ADOT right of way shall be per ADOT <b>not</b> MAG. If an ADOT Standard is not applicable to the proposed design a MAG or local jurisdictional detail can be used with an acceptable explanation as to why the detail is needed.
F	F	S	S		Provide typical section(s) for proposed improvements, See ADOT RDG's Section 300.
P	F	S	S		Provide a typical AC section. Section should be recommended by Geotech report or match existing, whichever is greater. PG 64-28 binder shall be used over 5,000 elevation.
P	F	S	S		Use ADOT stationing and control- See ADOT record drawings and right of way plans for control
P	P	F	S		The proposed driveway grades meet minimum grades. Sections 301.2 & 404.3 of ADOT Roadway Design Guidelines. Provide a profile or spot elevations.
P	P	F	S		Does the driveway need to be restricted? If so, has ADOT agreed to the proposed restricting strategy? Include a signing plan for driveway restrictions.
P	F	S	S		Driveway meets all sight distance requirements.
P	F	F	S		Do the pedestrian facilities meet ADA requirements? Provide a signed and sealed letter stating all pedestrian facilities have been designed to meet ADA requirements.

P	F	F	S		Detail out curb ramps. Show elevations at all changes in slope locations.
P	F	F	S		ADA ramp landings meet the slope requirement of no more than 2% slope in any direction.
F	F	S	S		Does the development require a turn lane? TGP 245
P	F	F	S		The turn lane is designed per TGP 430 and 431.
F	F	S	S		Does the development require additional highway capacity in for form of an additional lane?
P	F	F	S		The curb grade meets minimum grade requirements. Section 204.3 of ADOT Roadway Design Guidelines. Provide either spot elevations or profile of CL and new edge of AC.
P	F	F	S		If the profile of the ADOT roadway is being realigned does it tie back at less than the maximum algebraic difference in adjacent tangents grades per Section 204.4 Vertical Curves?
P	F	F	S		The turn lane meets minimum lane width. Section 301.3 of ADOT Roadway Design Guidelines. In urban areas include a 5' bike buffer unless waived by the local jurisdiction.
P	F	F	S		The turn lane shoulder width shall meet minimum standards. Section 302.4 of ADOT Roadway Design Guidelines
P	F	F	S		Is the recovery zone sufficient/ Roadside structure clearance sufficient? Section 303.2 of ADOT Roadway Design Guidelines & AASHTO RSDG Ch. 3 & 10.
P	F	F	S		Slopes from shoulder shall not warrant guardrail if guardrail is not currently present.
P	F	F	S		Utility trenches are backfilled with Slurry.
P	F	F	S		Utility trenches are using T-Top patches.
P	F	F	S		The width of the lane impacted by the trench is receiving a 2" mill and fill for a length of 50' on either side of the trench.
P	F	F	S		For water valve boxes or manholes within a lane above 5,000' elevation. The lid shall be placed 1/4" below the finished grade of the adjacent AC and then the collar placed.
P	F	F	S		Is there a need for any easement or dedication to ADOT for additional right of way for sidewalk or additional lane? If so, has ADOT been notified?
P	F	F	S		Identify all proposed and existing right of way monuments and property corners.
P	F	F	S		All new right of way corners are being installed per ADOT standard details?
P	F	F	S		The intersection is striped per M-2.
P	F	F	S		The turn lane is striped per M-11.
P	F	S	S		All striping is obliterated with the use of sand or water blasting, no grinding will be permitted. All paint to be removed must be tested for lead. If paint comes back as positive a lead abatement plan must be included in the project.
P	F	F	S		Signing plan per MUTCD and ADOT signing and marking standard details.
P	F	F	S		Include ADOT signing and striping notes. Ask the permit technician for the most recent notes.
P	F	F	S		Signal design per TGP 600.
P	F	F	S		Do all disturbed areas receive soil stabilization?
P	F	F	S		SWPPP plans included.
					Landscape furniture outside recovery zones.
P	F	F	S		Are there any threatened or endangered animal or plant species impacted by the project?

P	F	F	S		Are there any historical culturally significant properties, structures, or sites being impacted by the project? Please refer to the Environmental Section of this document.
P	F	F	S		Tree's, shrubs, and vegetation outside sight triangles.
P	F	F	S		Tree's, shrubs, and vegetation outside recovery zones.
P	P	F	S		Do you need any other permits? ADEQ, sewer, water, or storm water NOI's
					Short plant/grass mix or some type of approved ground cover for urban areas.

### Temporary Construction Access Checklist

Y	N	N/A	
			Submitted Plan sheet(s) will require North arrow, show ADOT Right of Way and Stationing, track out pad and proposed improvements.
			Entrance should follow the ADOT Detail ES11 as closely as possible.
			Plans will need to address temporary drainage. A StormWater Pollution Prevention Plan may be required and/or a drainage report or statement.
			Submitted traffic control plans will be reviewed and approved before a permit is issued.
			Submit an environmental clearance certification for the work in ADOT right-of-way that meets ADOT requirements. (if applicable)
			Only construction related traffic is allowed to use the temporary access. No access is allowed to the general public through the temporary access point for any reason. Any vehicle entering or exiting site must use temp. access.
			A letter from the property owner is required that they agree to the following requirements:
			No commercial or residential development will be opened until ADOT issues an encroachment permit for the full-required improvements
			All improvements associated with the development that are required by ADOT will be designed and constructed in a timely manner after the temporary access permit is issued.
			If the general public uses the access, it will be closed.
			Any material tracked on the roadway shall be swept daily.
			Quality Assurance and Quality Control may be required.
			Developer/contractor shall be responsible for maintaining any required pedestrian access in accordance with ADA requirements.
			Maintenance of the track out pad / stabilized entrance shall be done on a weekly basis.
			Temporary access points are desired to be located at same location of permanent access point(s)

## Basic Plan Sheet Design Requirements

Y	N	N/A	Basic plan requirements to assist permittees in preparing access & utility plan sets.
			Follow the ADOT 2021 ADOT Standards and Specifications and the AASHTO 2011 Roadway Design guide for your project.
			<b>General notes:</b> Plan sheets shall include ADOT General Notes: Follow up with appropriate District as notes may vary.
			<b>References:</b> show all as-built plan project numbers referenced by your design. Drawings of record may be obtained on-line using the following link: <a href="https://road.azdot.gov/Home/Terms">https://road.azdot.gov/Home/Terms</a> Note: an instructional video is available at <a href="https://vimeo.com/240893115">https://vimeo.com/240893115</a>
			<b>Design Data:</b> Provide the following design information: a) design speed b) posted speed limit c) ADT (average daily traffic) d) if TIA is required for your project show the future ADT e) Average elevation of Project.
			<b>Location map:</b> show a general vicinity of your project showing State Route and intersecting roads.
			<b>Site map:</b> Show project site with major cross streets. Show the beginning and ending station of our project along with the beginning and ending mileposts.
			<b>Drafting Standards:</b> ADOT Standard Drafting Standards Can be found at the following link: <a href="#">2015 Drafting Guides (link is external)</a>
			<b>Legends and Abbreviations:</b> Provide and use ADOT legends and abbreviations.
			<b>Benchmark(s):</b> show all pertinent data relating to datum used on your project.
			<b>Index:</b> Provide a plans index for your project.
			<b>Quantities:</b> show plan quantities for your project.
			<b>Centerline Control:</b> Use ADOT construction centerline as the control for your project.
			<b>Typical Sections:</b> Show typical section(s) for the entire light of the project. <a href="#">Standard Drawings (link is external)</a>
			<b>Pavement Structural Sections:</b> Show pavement structural sections for each different pavement section of your design.
			<b>Geometrics:</b> Show roadway geometric data on your plans.
			<b>Dimensions:</b> Show dimensions on the roadway plan view for each sheet. Widths for beginning and ending of tapers, at the beginning and end of each sheet, to the edge of existing pavement, the edge of new pavement of right of way widths.
			<b>Drainage information:</b> Drainage channels and/or pipes require a profile. Show all flow Q's on your plans.

			<b>Roadway profile(s):</b> Show profile for existing roadway and new edge of pavement. If only a driveway is being constructed, provide a driveway centerline profile from roadway centerline to 50' past ADOT's right of way line.
			<b>Slopes:</b> All slopes to be designed in accordance with Chapter 300 of the Roadway Design Guide
			<b>Standard Details:</b> Use <a href="#">ADOT standards</a> if they are available . Use of any non-standard details , such as MAG, City or County, will need to be shown on plan and have prior approval.
			<b>Cross Sections:</b> Depending on scope of your project, The ADOT Reviewer may request cross sections data.
			<b>Contours:</b> Show existing and proposed contours on plans if applicable.
			<b>Existing utilities:</b> Show all existing utilities on roadway plan sheets.
			<b>Additional plan submittal requirements and addressable items. Refer to the ADOT Department as needed in the appropriate PGP section.</b>
			<b>Quality Control/Quality Assurance and Bonding:</b> Will be at the discretion of the District where the project resides.
			<b>SWPPP:</b> <a href="#">SWPPP Template</a>
			<b>Environmental:</b> <a href="https://azdot.gov/business/environmental-planning">https://azdot.gov/business/environmental-planning</a>
			<b>Drainage Reports :</b> <a href="#">Drainage Design</a>
			<b>Traffic Engineering:</b> <a href="#">Guidelines and Processes</a>
			<b>Roadway Engineering :</b> <a href="#">Roadway Design</a>
			<b>Landscape:</b> <a href="#">Roadside Development</a>
			<a href="#">2021 Standards Specifications for Bridge and Construction - For PC (link is external)</a>

This is just a basic guide, please consult with your District Reviewing office for further guidance.

# Blanket Permits

## Basic Types of Blanket Permits:

### Utility:

Routine Maintenance & Emergency Repair

### Survey:

Permit Related

### Environmental Investigation:

Activities include archeological surface, geotechnical and subsurface surveys, all environmental studies, well monitoring, hazardous materials investigation. One year permits are only issued to ADOT on-call contractors

### Hazmat:

Emergency First Response & clean up.

### ADOT On-Call Related:

Survey, Archaeological, Environmental, Geotechnical, Bridge inspection, etc.

### Municipal:

Issued to local agencies for approved IGA responsibilities or items not covered within the Intergovernmental Agreement.

An annual permit issued to utility owner/operator to perform routine maintenance or emergency repair of existing utilities and facilities. Permit may be issued for one year and should be extended within the one year timeframe as insurance is renewed. Does not allow the addition of permanent structures to ADOT ROW.; like for like or approved equal standard, maintenance only. Any change to feature(s) will require a new permit.

## Blanket Permit Checklist

yes	no	n/a	
			Utility - Routine Maintenance & Emergency Repair
			Verify that the permit be for routine and emergency repairs only
			Permit issued for 1 year or until expiration of C.O.I. for the permittee or their contractor.
			Attach site plan or plans sheets or vicinity map or reference whole District or specific route(s) where the utilities reside..
			Attach Traffic Control Plan(s) by a barricade and light company or Traffic Engineering firm. Generic TCP's are subject to approval by the ADOT Regional Traffic Engineer. TCP's need to account for every condition and type of route.
			Verify if a matrix is available for use by the utility and attach to permit.
			ADOT ON-CALL Related: Environmental, geotechnical. Bridge Inspections, surveys, etc.
			Verify if ADOT project; notifications to include project number, scope
			Verify if the construction unit will be doing inspections if it is an ADOT project..
			Survey Permit related: Survey, traffic counts/studies, archaeological, environmental
			Verify all environmental, archaeological, etc. are non-ground disturbing activities
			Municipal: Issued to Local agencies for approved IGA responsibilities
			include approved matrix in permit specs
			HAZMAT - First Response
			Verify work notifications and distribute them to all appropriate parties.

\*NOTE: All work / jobs subject to prior ADOT approval - Permittees are required to submit a work notification to the appropriate ADOT Permit District. Some projects may require a separate permit and not be allowed to be performed under a "blanket Permit" especially when working interrupts the flow of traffic.



# Drainage Permits

The Regrading of ADOT Right of Way, Construction, restoration or alteration of drainage facilities or drainage features, including erosion repair.

## ADOT Roadway Drainage Section Permit Application Checklist

Permit Name: \_\_\_\_\_ Tracking No.: \_\_\_\_\_  
 Route: \_\_\_\_\_ MP/Crossroad \_\_\_\_\_  
 City/County: \_\_\_\_\_

The following documents should be included and checked by ADOT Permit Tech/Permit Applicant.

YES	NO	N/A	Document Description
			A Drainage Report/ Drainage Memo sealed and signed by a Professional Engineer.
			A complete set of construction plans with drainage details
			Location/Vicinity map showing project site..
			Floodplain Delineation map showing FEMA flood hazard zones.
<b>The Drainage Report/Memo should include following items and be checked by the Permit Applicant.</b>			
YES	NO	N/A	Drainage Report/Memo Includes the following Item Descriptions
			Drainage area maps showing drainage patterns in both the pre- and post-construction conditions.
			Adequate description of existing drainage conditions.
			Adequate description of proposed drainage conditions including impacts to ADOT drainage facilities..
			Hydrologic methodology and computations..
			Does the report demonstrate that drainage conditions within ADOT right-of-way are not being worsened as a result of the project?
			Are retention requirements described and met by the proposed design?
			Is the first flush volume retained on the project site or treated prior to discharging to ADOT drainage facilities?
			Is there any FEMA floodplain impact? Is this discussed in the report?

The permits office will be able to provide this document in a fillable PDF form.

## Encroachment Permit checklist for Drainage

Y	N	N/A	<b>DRAINAGE CHECKLIST FOR PERMIT STAFF</b>
			A drainage report that includes a description of the existing drainage conditions, the proposed revision, and the effects of the proposed changes on existing conditions within ADOT Right of Way.
			Engineering drawings and construction plans showing proposed drainage modifications, including site plans, drainage areas, contours, grading, pipe and channel profiles, etc.
			Hydrologic and hydraulic calculations for design, discharge, water surface profiles, flow depths and flow velocities as applicable. Description of the hydrologic methodology and retention requirement utilized in design. .
			ADOT will not allow water to percolate within ADOT Right of Way. It is required to percolate on the developer's property.
			The engineer shall show how any excess water may enter ADOT's facilities.
			Water will not be allowed to enter and accumulate in ADOT Right of Way by means of breaks in walls, decorative blocks, weep holes, etc.
			Trash grates shall be placed at all drainage pipe locations on the developments side to prevent vegetation and trash entering into the ADOT's system.
			If requesting to discharge any excess water into ADOT's system into an existing pipe or through a new pipe, the developer will be required to clean and inspect the pipe for cracks/breaks to ensure water does not undermine the back side of any ADOT channel and/or maintained road.
			The developer/development shall be responsible for the maintenance and repairs of the pipe indefinitely including damages that may occur due to the pipe not being maintained or repaired.
			There shall not be any spoils (concrete, mortar, debris, etc.) left in ADOT ROW. The length of the project shall be restored to the same or better condition when the project is completed.
			Disturbed areas will need to be re-graded or reseeded per the approved permit or as determined by the permit inspector.
			A drainage statement may be substituted in lieu of a drainage report if approved by the District Engineer or Development Engineer.

Note: ADOT is regulated by ADEQ; so ADOT must ensure contaminants do not enter our system.

# Fencing/wall Permits

Installation, modification or removal of existing fence along ADOT highway ROW.

Annual Maintenance: Permit shall be issued with language to define maintenance responsibility and type of fence barb wire, block wall, chain link, decorative fence, gates shall be identified, i.e. Type I, Type II, flood, and pedestrian.

## Fencing / Wall Checklist

Y	N	N/A	
			Verify location of fence/wall does not encroach into ADOT Right of Way.
			Verify footing does not encroach into ADOT Right of Way
			ADOT fencing shall not be attached to any privately maintained wall/fencing.
			There shall not be more than 4" gap between developer's wall/fence and ADOT's wall /fence at either end
			ADOT fence shall be braced per Detail Drawings C-12.10
			ADOT's fence post shall be removed including the ball (post shall not be cut off)
			If the ADOT Maintenance Unit determines the fabric/material as reusable, the owner/contractor shall deliver the fence fabric to the ADOT yard.
			If the ADOT Org determines the fabric/material is not salvageable, the owner/contractor shall dispose of the fabric/material.
			Fence posts shall be disposed of by the owner/contractor.
			There shall not be any spoils (concrete, mortar, debris, etc.) left in ADOT ROW. The length of the project shall be restored to the same or better condition when the project is completed.
			Will the disturbed areas need to be re-graded?
			Will the disturbed areas need to be reseeded?
			There shall not be any access (walk through, paths, gates, etc.) installed in the adjoining developers wall into ADOT ROW. ADOT ROW shall not be utilized as a multi-use pathway for developments.
			Developer shall be responsible for all repairs and maintenance of the wall/fence constructed under permit. if/when the HOA or POA takes over and then they will assume wall/fencing maintenance responsibility.
			Developers are strongly advised to perform a Noise Analysis. ADOT shall not provide a sound wall at time of construction or future date.

## Landscape Permits (includes Right of Way Grading)

Installation and maintenance of landscape, irrigation lines, decomposed granite, and plants. Additionally used for maintenance and control of vegetation such as mowing, spraying, trimming and thinning for fire breaks.

Annual Maintenance: Issued to owner/operator to perform routine maintenance or emergency repair of existing facilities. Permit may be issued for one year and should be extended within the one year timeframe as insurance is renewed. Generally does not add permanent structures to ADOT ROW; No upgrading any facility to be allowed under blanket work. Any change to feature and/or plantings would require a new permit.

### Landscape Checklist

Y	N	N/A	<b>Safety:</b>
			Maintain clear zones free from any object greater than 4" in diameter within specified distance from nearest travel lane – distance based on roadway design speed – concrete barrier, curbed or un-curbed.
			Site visibility triangles: Materials within SVT's shall be placed so as not to interfere with a visibility plane described by to horizontal planes 24" and 72" above finish grade of the travel lane, All shrub heights in the SVT's shall be maintained at 24" and below and tree canopies shall be maintained at a minimum 72" height.
			Rock mulch, granite mulch gradation etc. shall not exceed 4" diameter.
			Boulders not allowed in clear zone areas of the ROW.
			Visibility of highway delineators, signs guardrails etc. shall be maintained at all times
			<b>Erosion Control</b>
			Meet erosion and sediment control requirements for all ground disturbance within ROW areas.
			Seed used for any seeding application shall be Class II. Seed mix species shall be selected as appropriate for the local area. Seed mix shall be approved by ADOT. Seed shall be free of any listed noxious or invasive weed species. Seed shall be applied through hydroseeding per ADOT's standard class II seeding specification.
			Maintain/repair/ reconstruct existing erosion control measures currently in-place.
			Rock Mulch/ Decomposed granite – not to exceed 4" Diameter.

			Erosion control measures shall be installed during the construction phase.
			Damaged seeding areas shall be repaired, re-graded and reseeded with in-kind seed mix.
			<b>Landscape</b>
			State or Federally protected native vegetation shall be inventoried and protected in place if possible and or salvaged when practical and relocated to a new location. Protected Native vegetation destroyed shall be replaced in kind.
			Landscape plans being proposed for ADOT ROW areas shall be prepared by a State of Arizona Registered Landscape Architect. Final plans shall be stamped and sealed by professional Landscape architect
			Plant Materials specified shall be indigenous to the area where the work is being proposed.
			Planting plans shall be submitted indicating plant materials by botanical name, common name, variety and container size.
			Include seed mix if applicable. Seed mix shall consist of species indigenous to the area.
			Include inert materials (Decomposed granite, Rock Mulch etc.) Color, depth, gradation.
			Include plant installation details.
			<b>Irrigation</b>
			Locate irrigation equipment irrigation Controller, Backflow preventer, remote control valves, pressure regulator, filter pressurized mainline outside of ROW area when possible. Only emitter lateral piping and individual emitters for plants will be allowed within ROW.
			Adjust irrigation scheduling a minimum 4 times a year based on seasons.
			Owner shall pay for all irrigation water within the encroachment permit area.
			Detailed irrigation plans shall be submitted along with necessary irrigation construction details.
			<b>Required Maintenance</b>
			Weed control
			Litter control
			Pruning
			Plant Replacement Dead, Drying, Damaged plants
			Maintain all drainage swales, catch basins, headwalls, culverts and storm drains

			Remove debris and any silt build up.
			Irrigation maintenance
			Erosion and Stabilization
			<b>Plans</b>
			Label and delineate ADOT ROW.
			Provide a location plan at the top right corner of the plan
			Plans shall indicate all existing improvements, structures, signs, utilities etc.
			Provide north arrow and both graphic bar scale and written scale. Provide Date and revision block.
			Provide owner information, project name, project address name of preparer - landscape architect name, address, phone # and email address.
			Include standard notes for planting, irrigation and maintenance requirements

## Permanent Structure Permits

Bus shelters, structures, furniture, mailboxes, signs, monuments, sidewalks, overhanging awnings and overhanging on premise signs, (including ornamental features in the center of roundabout). Some permanent structures may require IGA or JPA before permitting, please verify with your local permits office.

Note: Please utilize the standard checklist for Major access permits. With such a wide range of permanent structure permits that can be issued; it is best to follow up with your local permits office to meet and discuss plan requirements.

## Security Permits

Department of Homeland Security (DHS) Checkpoints, License Plate Readers (LPR), Weigh in Motion. (New Permit type; permanent, temporary (90 days or less). If no changes the District may grant a permit extension. If changes are proposed at security checkpoints, The District office may require a new permit or issue an amendment to the existing permit.

## Security Checklist

Y	N	N/A	Checkpoints
			No checkpoint shall be established in a non-permitted location.
			Checkpoint site plans and Traffic Control plans should be separate documents.
			Checkpoint site inventory shall be field verified by ADOT inspector.
			All structures, sheds, port-a-john(s) and equipment must be shown on the plan. Any additional requests for additional features must be shown on a site plan and be pre-approved before installation.
			Grills, exercise equipment, weight benches are not permitted in the ADOT Right of way.
			No fuel storage tank(s) shall be permitted within the ADOT Right of Way.
			Fueling of vehicles shall not be permitted within the ADOT Right of Way
			Checkpoint lighting should not be facing cars..
			Temporary rumble strips shall not be permanently affixed to the pavement.
			Any generators or equipment running on fuel shall have proper BMP containment measures..
			Traffic control plans shall be reviewed and approved prior to erection of any checkpoint and all signage installed per MUTCD guidelines.
			All items within the checkpoint shall be owned and maintained by the Permittee. Including any permittee owned signs.
			License Plate Readers
			Equipment shall be located outside of the clear zone and/or behind guardrail.
			Equipment shall not be permanently affixed to any structure..
			Electricity will not be supplied by ADOT or allowed to utilize ADOT resources.
			ADOT will not be responsible for any damage or missing equipment.

Please contact your local District Permits office for additional requirements as area and road conditions vary throughout the state.

# Special Events

Any organized or supervised activity that could affect the normal operation of a state highway such as marathons, parades, processions, rides, races, cattle drives, and rest area coffee breaks.

## Special Event Checklist

Y	N	N/A	
			The Special Event application and questionnaire form must both be filled out and submitted to the appropriate ADOT District Permits Office. ADOT requires wet or digitally traceable signatures. <a href="#">Special Event Permit Application (link is external)</a> <a href="#">Special Event Checklist Questionnaire (link is external)</a> <a href="#">Special Event Application Instructions (link is external)</a> <a href="#">Banner and Holiday Lights Attachment (link is external)</a>
			Description of Event. Include:
			Type (i.e. parade, bike event, marathon, etc.)
			Estimated number of participants
			Part of roadway / right of way to be occupied or affected
			Indicate if event will require road closure, lane closure or both; as applicable
			Date and time the roadway will be occupied or affected
			Drawing or plan of the Special Event route. Include
			Event Route or Routes the event will take place in.
			Detour for traffic as applicable
			Indicate major intersections, streets and railroad crossings for clarification
			Identify nearest highway mileposts
			Reference points for beginning and ending locations.
			Approval letter from the affected city, town or county authorizing the use of the streets for this event.
			Traffic Control Plan. Include:
			Name, title and signature of person responsible for the design of the traffic control plan and traffic control company they represent.
			Name, title and signature of person responsible for the compliance of the traffic control plan(s).
			Identify the company that will place and remove traffic control devices



			A detailed plan showing sign, cone, barricades, message boards, other traffic control devices and staging areas (if applicable).
			Location of traffic control officials and their affiliation (DPS, Sheriff, etc)
			List of location of stations and where and what equipment will be staged.
			List of what activity will occur at these stations: rest stops, break/aid stations.
			Names and phone numbers of event officials coordinating traffic control (i.e. Permittee, Sheriff, City Police Department, DPS, etc.).
			Written concurrence for proposed events from affected law enforcement agencies.
			Proof of liability insurance. Policy number and/or name:
			Media notification for highway users as accrued by event (radio, TV, newspaper, dynamic message system).
			Access disruption; identify all accesses that will be disrupted.
			Include a copy of the Road Closure notification or blocked access notification and a list of all individuals and businesses affected by this notification.
			Emergency response plan. Include:
			How emergency services will be provided for this event and the affected communities
			How postal delivery shall be provided if postal routes are affected by this event.
			ADOT Notifications include The Traffic Operations Center and Public Relations Officer.
			Identify communications resources available during the event (amateur radio, cellular phones, etc.)

## Temporary Activity Permits

Any activity when completed a permanent feature will not remain in the ROW such as topographic and boundary surveys, traffic count data collection, temporary water or sewer bypass lines, and temporary fencing. Note: Banners and holiday decorations are considered special events.

Note: Please utilize the standard checklist for Major access permits. With the “wide range” of temporary activity permits that can be issued; it is best to follow up with your local permits office to meet and discuss plan requirements.

## Traffic Control Permits

### Temporary:

Permit issued only for placement of temporary traffic control signs in ADOT ROW providing information to the traveling public. This permit type is generally issued for connecting road and street maintenance and improvements, work or maintenance of facilities just beyond ADOT ROW that may impact the traveling public. This type includes traffic control related to a Special Event that wholly takes place outside of ADOT ROW but may disrupt the normal flow of traffic.

### Permanent:

Traffic Control Devices installed to remain in the Right of Way, Example; signage installed for new features added into our roadway network right turn lanes, driveways, etc

# Temporary Traffic Control Plans (TCP) Checklist

## Traffic Control Plan Minimum Requirements

Traffic Control Plans (TCP) are required for any activity that could impact the operation of a roadway. See Arizona Administrative Code Sections R17-3-504 through 505 and Encroachment Permits Bulletin 21-01.

The TCP's submitted shall include, at a minimum, the following items on the TCP document :

- Location - Route, MP (approximate), Cross Street Name, and Name of Town / City / Area / County where the work is being conducted
- Lane Configuration - Provide appropriate roadway cross section and adjacent cross streets within the work zone.
- Posted Speed Limit
- North Arrow (Preferred to be towards top of page, to the right is okay)
- Work Area Defined - Where and What is being done? This information could be included in the permit application or construction plans, and needs to match what is being shown on the TCP.
- Contact Information - Name and Phone Number of Contractor's Contact Person
- Proposed Traffic Control Devices (type, spacing, sign stands, taper lengths)
- Proposed Signs (sign code, size, lighting)
- Defined work duration: short term (one shift), mid term (up to 3 days), long term (more than 3 days), night work, mobile work, etc.
- Proposed Work Hours - TBD is not acceptable, provide actual proposed hours.
- Will the Traffic Control devices be installed only during work hours?
- Pedestrian ADA pathways shall be accommodated.
- Bicycle traffic shall be accommodated, when bicycles are expected.
- References to adhere to all requirements of the Manual on Uniform Traffic Control Devices (MUTCD), Arizona Supplement to MUTCD, and ADOT Traffic Control Design Guidelines (All current editions)
- Typical Applications (TA's) or Supplemental Applications (SA's) are acceptable, if applicable to the site conditions and adapted to actual field conditions where work is being performed.
- Traffic Control Plans by professional companies are encouraged and preferred. Hand drawn plans are acceptable, if legible and provide the correct, required information.
- Additional information may be required depending on the complexity of proposed work, the work location, and traffic operations in the area.
- Please contact your local District Permit Office for Regional Traffic Engineering Contacts.
- The permittee shall employ licensed, insured commercial traffic control companies to design Traffic Control Plans (TCP) and to implement the TCPs for any permitted activity requiring traffic control.

## Traffic Signal Permits

Installation of new or modification to existing signals of any type, Emergency Vehicle Signal (EVS), Emergency Vehicle Preemption Device (EVP), Pedestrian Signals – HAWKS.

## Utility Permits

UTILITIES - water, sewer, electric, gas, communications, vaults, cabinets, meters, and etcetera (PERMANENT)

Aerial: Utilities installed above ground may be crossing and/or running parallel within highway ROW.

Underground: Utilities and facilities that are installed underground and related to an underground utility. Includes abandonment.

Please review the Utilities and Railroad Engineering Section for further information and guidance when applying for a utility encroachment permit. Many of the Statewide Permit Requirements are based on the Accommodating Utilities Manual.

## UTILITIES

### General Information:

Highway users have made a very substantial investment in the construction and maintenance of this nation's highways for the public good of all. The high level of service and degree of safety provided by our highway system must be preserved. It is the responsibility of the Arizona Department of Transportation to maintain the optimum degree of safety and traffic carrying capacity of all State and Federal highways under its control.

Utilities Accommodation: Utilities are afforded the opportunity to apply for permission to occupy highway right-of-way through the permit or lease process, as appropriate. Each request for permit or lease will be reviewed in detail based on the criteria contained herein. Generally, if the request for permit or lease is in accordance with this policy, it will be given favorable consideration. For permits, if at anytime hereafter the right of way or any portion thereof, occupied by the Licensee may be needed or required by the Licensor, any permit or license granted in pursuance of this application may be revoked by the Licensor and all rights there under terminated, and upon sufficient notice, the Licensee shall and will remove property belonging to said Licensee.

### Utilities to which PG&P applies:

The principles set forth in this PG&P apply to all public and private utilities including but not limited to communications, electricity, water, gas, petroleum products, steam, wastewater, cable TV, irrigation and similar facilities. Such utilities may involve underground, surface or overhead facilities, either singularly or in combination.

## Utility Plan Checklist

Y	N	N/A	
			All plans must be legible and drawing scale should accurately depict relationships among the physical features at 11x17" size prints
			Plan sheet with North arrow, ADOT R/W, section lines, highway stationing.
			Clearly delineate between ADOT'S Right of Way and others right of way.
			Elevations (datum) shall be ADOT NAD 83 State Plane AZ. Central Feet and indicated on the plans
			Provide a plan legend to identify any existing and/or proposed roadway/utility feature or facility if not clearly identified on the plan.
			Utility plans shall show roadway centerline, route designation, edge of pavement, right-of-way line, and any other features of concern (ie drainage structures, ditches)
			Show all existing utilities; to include fiber optics, ramp metering, traffic signals, loops, lighting, landscape mainline, landscape sleeves, water lines, storm drains and any related supporting equipment
			Preferred utility installation is in the back of curb and / or behind sidewalk when crossing under an elevated freeway.
			Provide trench detail(s) (showing width, depth, bedding limits, backfill limits, type of conduit, etc.)
			All new installations of proposed equipment such as valves, manholes, hand holds, pull boxes, pedestals, etc., shall be set outside the right of way. When this is not possible the new installations shall be within 3'- 5' of the ADOT right of way line
			Proposed installations will not be allowed to cross under any supporting bridge structure.
			Proposed utility crossings should be at or as near as is practicable to a 90-degree angle to the road monument line
			All proposed utility features shall have a station and offset
			A bore profile and plan is required for any facility installed using horizontal directional drilling.
			Show all bore & receiving pit locations and indicate the sizes of each pit.
			Any other information that may be necessary to evaluate the impacts of the proposed utility on ADOT right-of-way
			All utilities plan shall provide dimension plans showing distance from edge of pavement, Monument or centerline line dimension and distance from Right of way line at a minimum.
			Temporary Traffic Control Plans

			Show all turnouts and driveway that the proposed utility will cross. The width of crossing and surface type shall be indicated on the plans. Turnouts and driveways to be bored unless the permittee has provided a clearance letter.
			Identify on the plans the utility installation method: show on plans areas that will be trenched, plowed or bored.
			Depict where the proposed installation will cross a drainage course. A profile of the crossing may be required.
			Provide directional flow arrows where the utility crosses a drainage course.
			Provide inlet/outlet elevations for any drainage structures
			Turnouts or driveways constructed for utility maintenance access shall be permitted separately from the utility installation.
			Storm Water Pollution Prevention Plan when the impact exceeds regulation limits.
			Provide detailed drawings for all utility features and incidental items to be installed within the Right-of-way.
			Reference to the appropriate ADOT Construction Specifications and any ADOT Standard Details

## Utility and Railroad Engineering

The Arizona Department of Transportation (ADOT) is charged with the responsibility of constructing and maintaining Arizona's highways. The purpose of this guide is to consolidate the guidelines and procedures adopted by ADOT, Intermodal Division, for the accommodation of utilities on highway rights-of-way. All utility installations above or below ground are regulated by ADOT through the establishment and enforcement of these guidelines contained herein. Your cooperation in compliance with these standards is requested.

### General Information:

This section is taken directly from the Guideline for accommodating Utilities Manual

#### 2.1 Definition of Terms

2.1.1. "AASHTO" - American Association of State Highway and Transportation Officials.

2.1.2. "AC" - Asphaltic Concrete, asphalt pavement.

2.1.3. "ADOT" - Arizona Department of Transportation.

2.1.4. "Bridge Engineer" - ADOT's Engineer in charge of ADOT's Structure Section.

- 2.1.5. "Clear Zone" - A specific distance from the edge of a travel lane free of above ground obstacles as determined by ADOT and the AASHTO "Roadside Design Guide.
- 2.1.6. "Controlled Access Highway" - Means a highway with access controlled by the public authority having jurisdiction over the highway, street or roadway.- Example: Interstate highway, urban freeway, expressway, parkway
- 2.1.7. "Controlled Access Line" - The line on ADOT plans which denotes the access boundary on a controlled access highway. The line is usually coincident with the right-of-way line.
- 2.1.8. "Control of Access" - Locations where owners or occupants of abutting lands and other persons have no legal right of access.
- 2.1.9. "Depth of Cover" - The minimum depth at which utility facilities may be installed at time of installation. In paved areas, depth is measured between subgrade and the top of utility facilities. In unpaved areas, depth is measured between finish grade and the top of utility facilities.
- 2.1.10. "Engineer" - The State Engineer, acting by and under the authority of the laws of the State of Arizona, or the State Engineer's representative in matters relating to construction activities.
- 2.1.11. "Established Utility Corridor" - A longitudinal strip of right-of-way designated by ADOT for utility facility placement.
- 2.1.12. "Freeway" - A controlled access highway with access limited to ramps, and all traffic crossings are by grade separations.
- 2.1.13. "Frontage Road" - A local street or road auxiliary to and located on the side of a highway for service to abutting property and adjacent areas and for control of access to the main roadway.
- 2.1.14. "Hazardous Material" - Materials or substances defined as "hazardous substances", "hazardous material", or "toxic substances", as defined in any applicable state or federal law.
- 2.1.15. "Highway" - A general term denoting a public way for the principal purposes of vehicular traffic.
- 2.1.16. "Highway Right-of-Way" - As used herein, general term denoting land, property, or interest therein, usually in a strip, acquired for highway purposes.
- 2.1.17. "Interchange" - The intersection of at least two roads which are separated by grade and have ramps to move from one road to the other.
- 2.1.18. "Installation Drawings" - A drawing showing the horizontal location and vertical elevation of installed facilities as of the day constructed referenced to ADOT control points.
- 2.1.19. "Lane Width" - Paved section of the roadway from pavement centerline or lane line stripe to pavement lane line, edge line stripe or without edge line stripe to curb or edge of pavement.
- 2.1.20. "MUTCD" - Manual on Uniform Traffic Control Devices.
- 2.1.21. "Uncontrolled Access Highway" - Means a highway to which owners or occupants of abutting lands and other persons have legal right of access.- Example: Non-freeway State primary and secondary highways.

2.1.22. "Open Cut" - Any excavation in the right-of-way larger than 300 mm x 300 mm.

2.1.23. "PCCP" - Portland Cement Concrete Pavement, white pavement.

2.1.24. "Permit" - An ADOT issued document specifying the conditions under which an entity's facilities may utilize a portion of ADOT right-of-way. Any references to "permit" shall include encroachment permit and/or utility permit.

2.1.25. "Pothole" - A hole cut in the surface within the right-of-way with a maximum size of 300mm x 300mm to access underground utility facilities.

2.1.26. "Ramp" - A roadway providing access to or from a controlled access highway. When a ramp and frontage road merge the resulting roadway is also defined as a ramp.

2.1.27. "Roadway Prism" - That portion of the right-of-way required for the highway, limited by the outside edges of slopes, including ditches, and all appurtenant structures.

2.1.28. "State" - State of Arizona.

2.1.29. "Utility" - An entity which transmits or distributes communications, cable television, electricity, light, heat, gas, oil, crude products, water, sewer, waste or any other similar commodity which directly or indirectly serves the public.

## 2.2. AUTHORITY

### 2.2.1. DIRECTOR'S AUTHORITY

A.R.S. 28-363 and A.R.S 28-7045 gives the Director of the Department of Transportation complete and exclusive operational control and jurisdiction over the use of State highways and routes, and to prescribe such rules and regulations regarding such use as he deems necessary.

### 2.2.2.

ENCROACHMENT A.R.S. 28-7053 and A.R.S 28-7054 covers right-of-way encroachments and penalties. A.R.S. 28-7055 covers right-of-way fence controls.

### 2.2.3.

PERMIT AUTHORITY Administrative Rule R17-3-502 (Title 17, Chapter 3) covers permits for encroachments in highway rights-of-way.

## 2.3. Conditions for Utility Permits Within the Highway Right-of-Way

### 2.3.1. PERMIT REQUIRED

All utility encroachments within the highway right-of-way require a valid permit from ADOT. All permits shall be revocable as specified on the permit form.



### 2.3.2. NON-TRANSFERABILITY OF PERMIT

No party other than the named permittee (utility) or contractor of the permittee (utility) are authorized to work under this permit.

### 2.3.3. ACCEPTANCE OF PROVISIONS

Any work performed pursuant to an ADOT permit shall constitute an acceptance of the terms and conditions specified on the permit.

### 2.3.4. PRECEDENT

Permits are issued with the understanding that any particular action taken is not to be considered as establishing a precedent for future requests.

### 2.3.5. NOTICE PRIOR TO STARTING WORK

Before starting work on which either full or partial inspection is required by the terms of the permit, the permittee shall notify the ADOT District Engineer or other designated employee three (3) days excluding Saturdays, Sundays and legal holidays in advance of the date work is to begin.

### 2.3.6. POSTING PERMIT

The permit or a copy thereof, shall be kept at the site of the work, and must be shown to any representative of the ADOT or any enforcement officer on demand.

### 2.3.7. PROTECTION OF TRAFFIC

Adequate provisions shall be made for the protection of the traveling public before any work can start. All warning signs, lights, barricades and other safety devices and other measures required for the public safety, shall conform to and follow the requirements of the current "Manual on Uniform Traffic Control Devices" and the current "Arizona Department of Transportation Traffic Control Supplement."

### 2.3.8. STORAGE OF MATERIAL AND EQUIPMENT

Except as specified herein, no construction material shall be stored, nor equipment parked during non-work periods, within the highway controlled access during the performance of the permittee's work on completed sections of freeways. On incomplete sections of freeways and uncontrolled access highways, material and equipment may be stored and parked under controlled conditions.

### 2.3.9. RIGHT OF WAY

A utility (permittee) shall, upon completion of the work, remove all excess construction material and debris, repair any damage to ADOT property such as fences, structures or pipes, and restore landscaping to its original condition.

### 2.3.10. ACCESS

Temporary or permanent access gates may be installed in right-of-way fences on uncontrolled access roads if provided for in the permit. New access gates will not be permitted on an existing freeway. Existing gates are permitted but must be locked at all times. Any rights of access are not transferable or assignable by the utility.

### 2.3.11. CONSTRUCTION

All work performed within highway rights of way shall conform to recognized standards of utility construction and "Arizona Department of Transportation Standard Specifications for Road and Bridge Construction", and all conditions on the permit.

### 2.3.12. ROUTINE MAINTENANCE

A permit is required before a utility company performs routine maintenance within highway right-of-way. Blanket permits may be granted for minor maintenance work

on uncontrolled access highways only, and for street light maintenance on controlled access highways.

#### 2.3.13. EMERGENCY CONDITIONS

The utility shall make prior arrangements with the ADOT District Office for emergency maintenance procedures. The utility shall notify the Department of Public Safety (DPS) and the ADOT District Engineer or his representative immediately or as soon as possible. The utility shall perform all necessary repairs to restore facilities and take all necessary action to protect the traveling public during the performance of their work under emergency conditions. All acts committed by the utility or its representatives under these conditions shall be the sole responsibility of the utility and subject to conditions of its prior arrangements or follow-up permit.

#### 2.3.14. LIABILITY

State shall not be liable for any claims, demands, costs or expenses, including all legal expenses, for loss, damages or injury to any person or property, including third parties persons or property, due to the Utility's use of the ADOT Right-ofWay, unless caused by the willful or negligent acts or omissions of ADOT, its officers, or agents.

#### 2.3.15. ADOT PLANS REVIEW

ADOT will review the proposed location and design of all utility installations and adjustments located within highway right-of-way for their compatibility with planned and present use of the highway.

#### 2.3.16. REQUEST FOR PERMITS

Request for permits shall include the following items before a request will be processed:

- A. Highway right-of-way lines;
- B. Highway controlled access lines;
- C. Highway center line;
- D. Ties from new facilities to Highway center line, stationing and mileposts;
- E. Minimum clearance above finished roadway surface or structures for proposed aerial lines;
- F. Type, size, number and voltage of conductors;
- G. The size, class, grade and wall thickness of conduit, amount of cover as described in Section 2.1.9 type of backfill material, voltage and operating pressure if applicable, of underground lines;
- H. The size of cables and number of pairs for communication lines;
- I. Plan and profile drawings for all conduit systems crossing controlled access
- J. Any change to the design, location or construction of an approved permit's plans will require ADOT approval prior to the change taking place.

#### 2.3.17. INSTALLATION DRAWING

The utility shall provide drawings reflecting the horizontal location and vertical elevation, as of the time of installation of its facilities, within ninety (90) days of the completion of the work. Such drawings are not intended as a substitute for marking the location of the facilities as required under A.R.S. § 40-360.21,

### 2.3.18. INSTALLATION DRAWING BOND

ADOT reserves the right to require a bond for new permits after written notice to a Permittee of non-compliance with Section 2.3.17. The amount of the bond shall be based on the estimated cost of verifying the location of a utility's facilities. The utility may be required to provide a bond upon a demonstrated history of non-compliance with Section 2.3.17 and a failure to correct such noncompliance within a reasonable time after written notice from ADOT. The bond will be refunded upon compliance with Section 2.3.17. Failure to comply may result in forfeiture of the bond required for the permit.

### 2.3.19. NON-COMPLIANCE

Failure to comply with the terms and conditions, as specified herein or on the permit may be cause for revocation of permit.

## Utility and Railroad Engineering Links

ADOT Permit staff will utilize the following two guidelines; to assure all plans are in compliance with the Utility and Railroad Engineering section.

[Accommodating Utilities on Highway Rights of Way \(link is external\)](#)

[Utility Coordination Guide for Design Consultants \(link is external\)](#)

## ADOT Construction Permit information:

The District Development Engineer, District Environmental Coordinator & Permit Supervisor need to be on the distribution list for future construction projects in their Districts. If time allows they need to be on the design team to the extent of permit related items, such as utilities and driveways/turnouts. The Permit Supervisor should supply or advise the designer how to acquire the report listing permitted items within the project's limits. Utilities and Railroad will advise the designer and the Permit Supervisor of any prior rights utilities within the project limits.

The Permit Supervisor in conjunction with the Utilities and RR coordinator should work closely with the designer's utility relocation engineer to assure that utilities are located by their respective companies. Utilities and RR may contract with a utility-locating contractor to verify location, elevation and potential conflicts with ADOT's construction project. The utility locating contractor shall apply for an Encroachment Permit; the application shall indicate project# and Tracs #, construction plans and engineering stations of utilities being located. The PS/PT should make every effort to issue utility location permits for ADOT projects as soon as possible in order to keep the project on schedule. If any utilities are in conflict the

utility company shall apply for a utility relocation permit as soon as they can schedule the work the application should include ADOT's plans sheets, project#, Tracs #and normal permit documents. With the utility relocation permits; they should be issued as soon as possible once again to keep the project on schedule. The utility companies should notify the project designer when a utility has been relocated with "As-Built" information.

Utility companies should be encouraged to coordinate with the design engineer and other utilities to relocate utilities that are under the paved surface to a location outside the roadway prism if there is adequate R/W. If the project includes AC removal utility companies should be encouraged to make any crossings or future crossings during the construction project. Utility companies may employ ADOT's project contractor to install facilities, the utility company is still the permittee and shall apply for the permit.

One of the responsibilities of the PS/PT after the ADOT construction project has started is to coordinate between utility companies and the ADOT contractor in order to avoid conflicts that could cause delays in the construction project. Most relocations should be completed prior to the start of construction, however the utility company may need to employ ADOT's contractor to remove and relocate the utility that is in conflict at the time that construction is scheduled at that location. The utility company is still the permittee and shall apply for the permit. The permit application shall include the ADOT project plans sheet indicating the new location of the utility and the schedule of ADOT's contractor along with the normal utility documentation including a certificate of insurance.

Some ADOT construction projects include installation of future use conduits, the conduits are shown on the plans and have a pay item in the bid sheets. The PS/PT should be aware of the location of the "future use" conduits and highlight them on the "As-Built" plans. Future use conduits are on a first come first serve basis they can not be reserved, applied for in advance or applied for as an empty conduit or for just a pull wire. The utility company shall apply for use of the conduits in the normal manner. Utility companies may apply for permits to install future use conduits within ADOT construction project limits, the utility company would then employ the ADOT project contractor to install the conduits.

The ADOT project inspector in cooperation with the PS/PT would ensure the conduits were included on the "As-Built Plans" with an adequate description of ownership/permit number, future use conduits installed in this manner should extend from Right of Way to Right of Way.

### Prior Right Utilities:

The permitting process is different for Prior Rights utilities, Utilities and Railroad takes the lead in relocating Prior Rights utilities that are in conflict with ADOT construction projects. The U&RR coordinator will make first contact with utilities that notify the designer and the U&RR coordinator that there are Prior Rights utilities located within the project limits. The coordinator will contact the PS/PT to research and verify that the existing utility is not in ADOT R/W under the normal permitting process. The PS/PT may need to review the district copies of all permits within the project limits issued to the utility company claiming Prior Rights. Once Prior Rights has been established the U&RR coordinator will initiate a

contract with the utility company to reimburse the company for costs incurred for relocation of the utility. The utility company will maintain its Prior Rights for that portion of the utility that was originally covered by Prior Rights. The U&RR coordinator will send a copy of the contract to the PS/PT for inclusion with the permit issued to the utility company for relocation of the Prior Rights utility, the PS/PT shall include the contract number, project number, Tracs number and the completion date as indicated by the contract in the permit. The utility company is the permittee and shall apply for the relocation permit, the utility company shall indicate in the purpose section of the application form that this is a Prior Rights utility. If U&RR has not completed the contract the PS/PT may still issue the permit after confirming that U&RR is in negotiations with the utility, the PS/PT shall include in the permit the ADOT project number and plans sheet, the U&RR contract should be attached to the permit as soon as it is received by the PS/PT.

# Engineering and Construction

## Traffic Guidelines and Processes

A Traffic Impact analysis will be required for all permittees requesting access to a new development, redevelopment of an existing site, or an expansion of an existing development requesting access or modification of access to the State highway system. Please follow the Traffic Guidelines and Processes as provided in the links below.

Permittees are requested to contact their local permit office to set up a pre-application meeting to determine all the required documentation and requirements prior to submission of a permit application.

## Traffic Engineering Section

### General Information

ADOT Traffic Guidelines and Processes (TGPs) are provided as a guide for department personnel and consultants for traffic studies, operations, and design. The TGPs are not intended to be all-encompassing documents on traffic engineering, and are not intended to be a substitute for engineering knowledge, experience, or judgment.

Please utilize the following links for developing plans prior to submitting to the permits department.

### [Guidelines and Processes](#)

100 General Information

200 Traffic Studies

[240 \(link is external\)](#) Traffic Impact Analysis

300 Signs

400 Pavement Marking

500 Delineation

600 Traffic Signals

[614 \(link is external\)](#) Review process for Permits

700 Illumination

800 Traffic Control Plans

900 Pedestrians

1000 Miscellaneous

[1060 \(link is external\)](#) Median Openings

### [Manual of Approved Signs](#)

[Signing and Marking Standard \(SMS\) Drawings](#)

[Signals and Lighting Standard \(SLS\) Drawings](#)

[Traffic Engineering References](#)

[CADD Standards](#)

## Roadway Engineering

The current Roadway Design Standards and Guidelines listed below should be used in conjunction with the Roadway Design Memorandums; Construction Standard Drawings (C-Stds); Guardrail, Barrier and Transition Design Information; and other Roadway Design standards.

[Roadway Engineering](#)

[Current Roadway Design Construction Standard Drawings](#)

[Roadway Design Guidelines](#)

[Roadway CADD Resources](#)

[ADOT Record Drawings and Plans](#)

The Arizona Department of Transportation (ADOT), through its Product Evaluation Program, maintains the Approved Products List (APL). The list documents products that have been evaluated under ADOT specifications and approved for potential ADOT use.

[Approved Products List \(link is external\)](#)

## Drainage Design

The Drainage Design Section provides technical expertise in the field of hydrology, hydraulics and water resources engineering to all the units of the Infrastructure Delivery and Operations Division (IDO). Listed below are links to drainage guidelines.

[Drainage Design](#)

[Manuals - Drainage Design](#)

## Pavement Design

The Pavement Design Section provides technical expertise in pavement design. Listed below are links to pavement design guidelines.

[Pavement Design](#)

[Pavement Design Manual](#)

[Pavement Design Standard Items](#)

## Roadside Development

The Roadside Development Section provides landscape, architectural and environmental technical design direction and for ADOT permit offices statewide. This section will provide information on Landscape Architectural Service and Design, Stormwater and Erosion/sediment maps and Manuals, BMP's, seeding and more.

[Roadside Development](#)

## Materials Group

The Materials Group consists of central and regional laboratories. Each laboratory maintains AASHTO accreditation for the state and provides materials-related technical support.

[Materials Group](#)

## Bridge Group (Engineering and Construction)

The Bridge Design Service is responsible for the design and development of construction plans, specifications and standards for major transportation structures on the Arizona State Highway System

[Bridge \(Engineering and Construction page\)](#)

## Geotechnical Services

The function of the ADOT Geotechnical Services is to provide design services and also support to consultants and ADOT Districts in addition to operations services.

[Geotechnical Services](#)



# Environmental Planning

## Biology & Clean Water Act Section 404/401

The ADOT Environmental Planning Biological Resources Program is comprised of biologists working on four main topics: Sensitive/protected species, Clean Water Act 404 permits/401 certifications, roadside vegetation and wildlife connectivity

### [Biology & Clean Water Act Section](#)

## Cultural Resources

In accordance with the Arizona State Historic Preservation Act (Arizona Revised Statutes 41 - 841 thru 865), ADOT must consider the effects of its actions, including the issuance of permits, on historic properties. It is the Permittee's responsibility to obtain documents indicating that the proposed permit would not affect cultural or historic resources. To obtain information on whether there are any cultural resources in the project area, Permittee can either;

1) contact ASM to obtain information for a fee

(<https://statemuseum.arizona.edu/crm/document/cultural-resources-summary-letter-non-archaeologists>)

or 2) retain the services of a qualified archaeological consultant

(<https://statemuseum.arizona.edu/crm/document/aaa-qualified-consultants>)

If there are cultural or historic resources within the project area, Permittee shall either 1) modify the activity to avoid the cultural or historic resource(s) or 2) retain the services of a qualified archaeological consultant to prepare either a monitoring and discovery plan or a data recovery plan. Formal consultation with land owners, Tribes, and the SHPO is necessary when cultural resources are involved. Consultation minimally takes 35 days, plan accordingly.

Violation of Arizona Revised Statutes (ARS) 41-841 thru 845 is a Class 2 misdemeanor.

Violations of ARS 41-861 thru 865 can be classified as either a Class 1 misdemeanor or a Class 5 felony. In addition, all human remains and associated funerary objects are protected by law regardless of land jurisdiction. If human remains are encountered during construction - stop immediately and contact ADOT HPT at 602-712-2343 and the land owner (if state or federal agency).

In the event that unanticipated cultural resources are identified during construction, stop work in that area (work can commence in some other location) and contact HPT 602-712-2343 for further instructions. The permittee shall not resume work in that area until he/she is directed by ADOT.

### [Cultural Resources](#)

## Air Quality

The ADOT Air Quality Group works to enhance air quality through congestion mitigation, air quality programs and National Environmental Policy Act (NEPA) planning activities to

implement provisions required in the Clean Air Act to meet National Ambient Air Quality Standards throughout Arizona.

[Air Quality](#)

## Water Resources

In Arizona, water resources include surface waters, riparian areas, intermittent streams and ephemeral drainages.

[Water Resources](#)

[Construction SWPPP Forms](#)

## Native Plants

Protected Native plants; the link below will take you to the Arizona Department of Agriculture where you can review native plant laws and rules.

[Native Plants \(AZDA\)](#)

## ENCROACHMENT PERMITS

Permit technicians will determine the appropriate level of environmental review for an encroachment permit application based upon the information below. The Permits Department will coordinate reviews with the District Environmental Coordinator (DEC) for assistance with environmental review of permit applications. If there is no DEC in the District, contact EPG.

### ADOT Environmental Review of Encroachment Permits

The ADOT District permits staff will ensure that the applicant provides the appropriate environmental documents, which will then be reviewed by the District Environmental Coordinator (DEC) and the Environmental Planning (EP), depending on the nature of the activity to be permitted. This document will serve as a guideline for the types of project permits and the required environmental documentation needed for each.

The ADOT encroachment permit shall not be issued until the documentation has been reviewed for environmental compliance (for those that need environmental review), and any identified environmental stipulations have been added to the permit.

### Categorization of Encroachment Permits

The levels of Encroachment Permits that are issued by ADOT and the necessary documentation that is required to be included with each type of Encroachment Permit Application are outlined below. This is not an exhaustive list, only an example of common permit types.

#### Purpose

To ensure consistent categorization of level I & II permits by all District permit offices, upon receipt of an Encroachment Permit application a preliminary review will be conducted (by the permits technician) to establish which level the request falls, by using the following criteria and list of permits by type and level.

#### Guidelines for Construction Related Permits

- EP will clear utility relocations and other such pre-construction activities as part of the FHWA NEPA clearance.
- At the time of application, the District Permits Office will verify the scope of work and project footprint with the assigned NEPA Planner who will then issue a clearance memo with the appropriate mitigation measures related to the activity.
- The District Permits will incorporate those mitigation measures into the permit.

#### Environmental Investigation Permits

ENVIRONMENTAL INVESTIGATION: Activities include archeological surface, geotechnical and subsurface surveys, all environmental studies, well monitoring, hazardous materials investigation and/or clean-ups. One year permits are only issued to ADOT on-call contractors.

## Environmental Checklist

Y	N	N/A	
			For "LEVEL 1" classified permits, where minimal or no soil disturbance takes place in ADOT Right of Way. No review is necessary from Environmental Planning.
			For "Level II" classified permits Review with The District Environmental Coordinator to evaluate permits that may contain any of the following categories.
			Will work take place in an area of known concern regarding any Water Systems? (The Clean Water Act)
			Will work take place in an area of known concern regarding Biology concerns? (The Endangered Species Act and/or AZ Native Plant Law)
			Will work take place in an area of known concern regarding Cultural Resources? (Arizona Historic Preservation Act)
			Will work take place in an area of known concern regarding Air Quality? (Clean Air Act, example work in a PM 10 Nonattainment area)
			Will work take place outside of the roadway prism?
			Will the work require vegetation removal or spraying?
			Will the work be within a wash or waterway.
			What is the area of disturbance? Has a SWPPP been provided?
			Will the proposed work be a dust generating activity?
			Will any work require removal of hazardous materials? (asbestos or lead paint?)
			Will work take place on Federal or Tribal Land? (underlying fee owner)
			Has the Attachment "A" Cultural Resources been included in the permit.
			Has the work been evaluated regarding the Migratory Bird Treaty Act?
			Will any of the work be located on a Historic or Scenic Route?
			"Level III" Permits will be required to be sent to EPG for further guidance.
			All "GoldenRod" permits will be sent to the DEC or EP for review.

Refer to Encroachment Permits Bulletin 07-01 (Categorization of permits) for further guidance on environmental requirements.

## Right of Way / Properties

### Property Management

These pages contain information about commercial and residential properties that are now available for sale and rent.

[Property Management Page](#)

### Project Management

The project management section is responsible for the right-of-way project coordination, property valuation and appraisal review.

[Project Management Page](#)

### Existing Right of Way Plans Index

This page contains indexes for existing Right of Way plans and surveys for interstate highways, state routes and U.S. highways.

[Existing Plans Index](#)

This page contains the most recent Procedures Manual for the Arizona Department of Transportation. Right of Way Group.

[Plans Section \(link is external\)](#)

### G.I.S. Mapping Assistance

Identifying Highway Rights of Way (R/W) are a critical component of issuing permits. R/W could be owned by underlying landowners such as, but not limited to, BLM (Bureau of Land Management), USFS (United States Forest Service), and others. Permits may be required from the underlying landowner prior to obtaining an ADOT permit. The following links may assist you in determining land ownership.

[ADOT R/W GIS Map \(link is external\)](#) [ASLD Parcel Viewer \(link is external\)](#)

### Privately Funded Interchange Development Process

[Eng 07-02](#)

[Tech Memo \(link is external\)](#)

[Standards, part 1 \(link is external\)](#)

[Standards, part 2 \(link is external\)](#)

[Standards, part 3 \(link is external\)](#)

## Right of Way Plans Dedication/Donation Checklist

If the permit for the proposed development requires right of way be transferred to the Arizona Department of Transportation (ADOT), please answer the following question:

Is there a subdivision or commercial plat recorded as a part of the County/City permitting process that dedicates the area in question to the public, or directly to ADOT, for transportation purposes?

If the answer is “Yes”, please provide the following documents to **DEDICATE** the underlying fee:

1.	A legal description stamped by and originally signed by a Registered Land Surveyor
2.	An 8 1/2” x 11” exhibit depicting the area described in the legal description. If the exhibit exceeds one page, please start the numbering at Page 2

If the answer is “No”, please provide the following documents to **DONATE** the underlying fee:

1.	Current Title Report identifying the current owners and reflecting that there are no liens and encumbrances related to the property being donated. This includes payment of all taxes and judgments, if any
2.	If the property is other than individually owned, copies of the appropriate documents on file with the Corporation Commission or the Secretary of State’s Office, as applicable, identifying the individuals authorized to sign for the company
3.	A legal description stamped by, and originally signed by, a Registered Land Surveyor
4.	An 8 1/2” x 11” exhibit depicting the area described in the legal description. If the exhibit exceeds one page, please start the numbering at Page 2

If the property is transferred to ADOT by **DEDICATION**, upon approval by the District Office, the Right of Way Section will submit a Resolution of Establishment to the State Transportation Board requesting approval to establish it into the State Highway System.

If the property is transferred to ADOT by **DONATION**, upon approval by the District Office, the Right of Way Section will prepare the appropriate vesting document for signature and submit a Resolution of Establishment to the Arizona Transportation Board for acceptance into the State Highway System. Upon approval by the Board, the Resolution and Warranty Deed to ADOT will be recorded simultaneously in the applicable county recorder’s office.

NOTE: ALL SUBMISSIONS MUST BE OF SUFFICIENT QUALITY TO  
**BE ACCEPTED BY THE COUNTY RECORDER’S OFFICE**

For questions and review of documents, contact:  
**Paula Gibson, ADOT Right of Way Section**  
**602-712-8758**

# Encroachment Permit Bulletins

## General Information:

Permit bulletins have been established to provide guidance and assist permittees and ADOT staff in the processing of encroachment permits. The “07-” Bulletins posted are provided for historic reference. The general guidance will apply, but please confirm with your local permits district office regarding any questions or requirements.

### Encroachment Permits Bulletin 07-01 (Categorization of permits)

#### Purpose:

To ensure consistent categorization of level I, II, & III permits by all District Permit offices, upon receipt of an Encroachment Permit application a preliminary review will be conducted to establish which level I, II, or III the request falls, by using the following criteria and list of permits by type and level.

#### Permanent & Temporary Categorization

Permanent = P: Physical impact on ADOT Right of Way lasting more than one year.

Temporary = T: Temporary activity or temporary physical lasting less than one year.

Level I Permits: Minimum or no soil disturbance within ADOT Right of Way.	
Type	Temporary/ Permanent
AAH	T
Special Events	T
Blanket Maintenance with limited excavation	T
Blanket Survey	T
Blanket Traffic Counts	T
Blanket Environmental studies	T
Blanket Archeological surface studies	T
Mowing	T
Traffic Control; Security checkpoints	T
Any work on the paved surface	P
Over hanging signs	P

Signage (Wayfinding, Informational)	P
Change of ownership with no construction	P
Utility repair requiring open cut in roadway surface	P
Bore pits at the R/W line no open trench	T
Blasting outside the R/W, traffic control only	T
Small structures: rain gauges, weather stations	P
Traffic Signal modifications, no roadway work	P
Level II Permits: Typically less than one acre of soil disturbance within the Right of Way. Case by case basis depending on location, sensitivity of area, or if review by other ADOT Sections or by other Agencies is required.	
Underground utilities, minimum trench width or direct bury	P
Bore pits with open trench connections at ends	P
Single-family residential access	P
Minor commercial access with no widening of ADOT roadway	P
Haz-Mat clean up	T
Blanket archeological with excavation less than 1 acre in area	T
Cattle guard installation	P
Blasting or R/W grading	T
Change of ownership with reconstruction	P
Landscaping	P
Aerial utilities	P
Fence and/or Gate installation	p
Level III Permits: More than one acre of soil disturbance within ADOT Right of Way, major development, open trench wider than 4' and/or deeper than 60" without a trench box, any alteration to drainage features or drainage flows	
Widening of ADOT roadways	P
Major commercial access	P
Long Haul utilities, lengths greater than 1200', plowing methods.	P



Underground utility trench depth greater than 60"	T
Any permit that alters ADOT drainage features	P
Requirements other than normal permit standard statements/addendums that will be included on each Level of permits.	
Any permit that has soil disturbance that is located in an environmentally or Storm Water sensitive area as described in EPA's National Pollutant Discharge Elimination System (NPDES) and/or ADEQ's Arizona Pollutant Discharge Elimination System (AZPDES)	

## Level Requirements

### Level I:

Attachment "A", with ARS statutes, regulations, proper process, and office contact(s)

Items not required for Level I Permits:

Seeding

Environmental Clearance

SWPPP's

Drainage Report

Traffic Impact Analysis

### Level II:

Seeding as per ADOT Standard Specifications, Edition 2021, Section 805

SWPPP's minimum BMP's (Best Management Practices).

Surface Environmental clearance letter

Attachment "A", with ARS statutes, regulations, proper process, and office contact(s)

Drainage checklist, with regulations/proper process/contact office

ADEQ thresholds/AZPDES thresholds, with regulations/proper process/ contact office

### Level III:

Compliance with terms and conditions of the AZCGP, develop and implement a SWPPP and file an NOI & NOT, separate plans sheets with SWPPP's included with improvement plans. Environmental Clearance Report including: Clean Air, Arizona State Historic Preservation Act, Clean Water, Endangered Species & AZ Native Plants. Drainage Report, using the Hwy. Drainage Design Manual-Hydrology, Report No. 35-234. Compliance with mitigation requirements noted in Environmental Clearance Report for items such as but not limited to noxious weeds, hazardous materials, cultural & biological.

## Encroachment Permits Bulletin 07-02 (Use of standards)

Continued use of out of date standards or non-ADOT standards as examples for permit activities.

### Purpose

1. To ensure that the ADOT Encroachment Permits offices are allowed to attach out of date and non-ADOT standards to permits as examples.
2. To allow ADOT Encroachment Permits offices the opportunity to add other non-ADOT standards or deleted ADOT standards as examples attached to Encroachment permits.
3. Through appropriate review processes such as the Permits Group, District Maintenance Engineers, District Development Engineers, Regional Traffic Engineers Group, ITD Roadway Engineering Roadway Design Section etc. additional standards, deleted standards, permit specific Traffic Control Plans may be used as examples and attached to Encroachment Permits if a current ADOT Standard or MUTCD drawing is not applicable.

### Background

1. Encroachment Permit offices have used out of date or non-ADOT construction standards such as D-8.01 aerial crossing height, over-hanging awnings/signs, right-in-right out islands, Attachment "A" for archeological clearance.
2. Encroachment Permits offices are dependent on private engineering firms to design plans for requested improvements on ADOT Right of Way or by individuals desiring use of ADOT R/W, the plans submitted do not always contain Details for items not in ADOT's construction standards or have been deleted from the standards.
3. Traffic Control Plans (TCP's) from the Manual on Uniform Traffic Control Devices (MUTCD) often do not provide adequate protection for permit situations.

## Encroachment Permits Bulletin 07-03 Requirements for Engineers & Contractors

ADOT requirements for permit applicants: Design Engineers and contractors

### Purpose:

To provide ADOT District Permits Staff with requirements for Applicants' desiring access to highways under ADOT Jurisdictional Control.

The provisions of this Encroachment Permits Bulletin apply to all abutting property owners or other governmental agencies applying for access to highways under ADOT Jurisdictional Control, which will result in alteration of the existing roadway and/or other incidental features.

## Authority

ADOT has the statutory authority and responsibility to adequately control highway Rights of Way under these laws and rules: Arizona Revised Statute 28-363 Duties of the director; administration, 28-7045 Director; rules; state highway and route use, and Arizona Administrative Code, R17-3-501 through R17-3-509 Highway Encroachments and Permits.

## Definitions

Major developments: large commercial sites, such as motels/resorts, shopping centers, subdivisions with 50 or more single-family dwellings or any development that generates 1000 or more Average Daily Trips (ADT) or 120 vehicles per peak hour, whichever is more conservative.

Alteration of existing roadway: the construction of new pavement to accommodate right turn lanes, left turn lanes, acceleration lanes or travel lanes to accommodate additional traffic generated by the development.

Incidental features: pipe culverts, concrete box culverts, storm drains, curb, gutter & sidewalk, highway lighting, signs and/or traffic signals that are modified or added due to traffic generated by the new development.

## Procedure, guidelines for design

The abutting property owner/developer of a major development shall retain a Registered Professional Civil Engineer to design, seal & sign a complete set of improvement plans.

ADOT plans requirements shall include all items listed below and use ADOT's 1990 Drafting Guides for use in Office and Field as a reference.

- a) Full size, 22" X 34", 20 scale minimum and/or 11" X 17" half size to Scale.
- b) Cover sheet with vicinity map, General Construction Notes referencing ADOT Construction Standards only and details, Signing and Marking General Notes.
- c) ADOT stationing, ADOT datum, north arrow, Section lines, property lines, ADOT Right of Way lines, typical sections, plan & profile sheets, dimensions & offsets to all features, detail drawings for all incidentals, directional flow arrows, inlet/outlet elevations for all structures, etc.
- d) Separate plans sheets for signing & marking with Stations & offsets to all features, pictorial view of all signs, sign summary table, raised pavement markers.

- e) Separate plans sheets for traffic signals with stations and offsets for all items, pole & conduit summary table, sign summary table, applicable notes.
- f) Separate plans sheets for StormWater Pollution Prevention Plan (SWPPP's) consistent with ADOT best management practices (BMPs) contained in the ADOT Erosion and Pollution Control Manual.
- g) Additional submittals may include but are not limited to, Environmental Clearance report, Drainage Study, Traffic Impact Analysis.

Procedure, guidelines for contractors performing Encroachment permit work within ADOT's R/W

- a) Abutting property owners and or Permittees employing individuals or companies to construct improvements as required in the ADOT Encroachment Permit shall only accept bids from Arizona licensed, insured & bonded contractors to perform any construction within ADOT Right of Way.
- b) The owner/developer/contractor shall submit to the ADOT District permits office that issued the Encroachment Permit an itemized bid sheet, insurance certification with ADOT & the State of AZ shown as additionally insured, and proof of bond in the amount of the bid including all sub-contractors items

Encroachment Permits Bulletin 07-04, No back fencing requirement

Procedure for access where ADOT Right of Way fence exists

Purpose

To provide ADOT's procedure for issuance of access permits to highways under ADOT Jurisdictional Control that have existing Right of Way fencing that prevents livestock from entering onto the highway.

The provisions of this Encroachment Permits Bulletin apply to all abutting property owners or other governmental agencies applying for access to highways under ADOT Jurisdictional Control, that require removal of ADOT Right of Way fence.

Scope

The provisions of this Encroachment Permits Bulletin apply to all abutting property owners or other governmental agencies applying for access to highways under ADOT Jurisdictional Control, that require removal of ADOT Right of Way fence.

## Authority

ADOT has the statutory authority and responsibility to adequately control highway Rights of Way under these laws and rules: Arizona Revised Statute 28-363 Duties of the director; administration, 28-7045 Director; rules; state highway and route use, and Arizona Administrative Code, R17-3-501 through R17-3-509 Highway Encroachments and Permits.

## Definitions

**Residential access:** Access to a parcel zoned for residential use, one single-family residence.

**Multiple single-family residence access:** Access to a residentially zoned parcel with 2 to 5 residential units.

**Commercial, industrial or residential subdivision:** Access to a parcel or multiple parcels zoned commercial, industrial or subdivisions of six or more single-family residences.

## Procedure

ADOT through the Encroachment Permit process shall require the following minimum improvements to the ADOT Right of Way fence in order to access the highway:

- a) **Residential access:** Installation of one fourteen-foot Type I gate, strain posts, fence and all necessary hardware per ADOT construction standards.
- b) **Multiple family residential access:** Installation of a three unit cattle guard, Type I gate, fence, end and strain posts and all necessary hardware per ADOT construction standards.
- c) **Commercial/industrial/subdivision with multiple single family dwellings access:** Installation of a five to seven unit cattle guard, Type I gate, fence, end and strain posts and all necessary hardware per ADOT construction standards.
- d) **As of effective date of this Encroachment Permits Bulletin all ADOT District Permits offices shall not issue access permits that allow back fencing, fencing or cattle guards offset from the Right of Way or Right of Way fence removal without requiring the appropriate access requirements per this Encroachment Permits Bulletin**

## Purpose

To provide ADOT permit technicians with a “Joint Use Access Agreement” document for adjacent property owners desiring joint use access onto highways under ADOT Jurisdictional Control.

The provisions of this Encroachment Permits Bulletin apply to all adjacent property owners requesting joint use access.

## Authority

ADOT has the statutory authority and responsibility to adequately control highway Rights of Way under these laws and rules: Arizona Revised Statute 28-363 Duties of the director; administration, 28-7045 Director; rules; state highway and route use, and Arizona Administrative Code, R17-3-501 through R17-3-509 Highway Encroachments and Permits.

## Definitions

Joint use driveways/turnouts: A common access to adjacent properties constructed at the adjoining property line.

Turnout: Rural access with radii providing ingress/egress from non-access controlled state highways further defined by ADOT Construction Standard C-6.10, sheets 1 & 2.

Driveway: Urban access providing ingress/egress from non-access controlled state highways that have curb and gutter and are further defined by ADOT Construction Standard C-6.10, sheets 1 & 2.

## Procedure

- 1) ADOT shall provide the “Joint Use Access Agreement” to adjoining property owners desiring a joint use access that provides access to both properties.
- 2) ADOT shall advise the adjoining property owners to complete the document, both parties shall sign the document in the presence of a Notary Public, both parties shall have the document recorded with the County Recorder's office.
- 3) ADOT shall advise the adjoining property owners to attach a copy of the recorded document to the Encroachment Permit Application for joint use access.
- 4) ADOT shall issue the joint use access permit only if the recorded “Joint Use Access Agreement” and accompanying documents are in order.

Establish permit requirements for placement of traffic control devices on state highways.

#### Purpose

Establish consistent procedures for permittees and District permits staff for controlling traffic within permitted work zones on state highways.

Establish criteria for placing traffic control devices on state highways in order to accomplish permitted activities.

Establish a statewide consistent review process for traffic control plans and revised traffic control plans.

#### Definitions

TCP-Traffic Control Plan, a not to scale drawing indicating placement, spacing and type; signs, message boards, channelizing devices, flagger stations, posted speed limit of highway, lane configuration, milepost & route and type of work zone.

RTE-ADOT Regional Traffic Engineer.

Manual on Uniform Traffic Control Devices, MUTCD-2003 Edition is the accepted guideline published by the Federal Highway Administration.

#### Procedure

The permittee shall employ licensed, insured commercial traffic control companies to design Traffic Control Plans (TCP) and to implement the TCPs for any permitted activity requiring traffic control.

The Manual on Uniform Traffic Control Devices (MUTCD) shall be used as a guideline for all TCPs.

A TCP drawn by a licensed traffic control company will be submitted with Encroachment Permit applications when applicable. The District permits staff will conduct a preliminary review to determine if all pertinent data is included. If not, the TCP will be returned for revisions. The District permits staff will review and approve the revised TCP. When the TCP is complete it will be attached to the Encroachment Permit then submitted to the District Development Engineer for review and approval.

The RTE's may be involved in reviews of TCPs that include other governmental agencies, traffic signals, and temporary traffic signals.

The traffic control company shall place all devices as per the approved TCP. If field adjustments are necessary the traffic control company shall mark the

TCP in red accordingly and return the TCP to the District permits office that issued the permit for review and approval prior to implementing the revised TCP.

District permits staff may assist permittees by providing examples of TCPs or copies from the MUTCD.

It is IDO's policy to

Control highway Rights of Way to prevent their abuse or unauthorized use and for safety reasons. ITD may grant written permission for use of the Rights of Way by issuing an Encroachment Permit.

Issue an encroachment permit when an application is received and conditions are met that satisfies the guidelines outlined in this and other Encroachment Permits Bulletins.

[Encroachment Permits Bulletin 14-01. Performance Bonds](#)

The above bulletin is directly linked to the PDF available on the ADOT webpage.

Encroachment Permits Bulletin 18-01, Denial and Appeal Process

FOR: STATEWIDE ENCROACHMENT PERMITS OFFICES EFFECTIVE: DECEMBER 2018

ENCROACHMENT PERMIT APPLICATION DENIAL; GRIEVANCE ESCALATION PROCESS

A permit applicant has a right to appeal the ADOT District Encroachment Permit Office denial decision of an encroachment permit application. The first appeal that may be requested is the Informal Review where the District Engineer presides as reviewing officer. If the applicant is not satisfied with the results of the Informal Review, they may request a Formal Review with the State Engineer. If they are not satisfied with the outcome of the Formal Review, the applicant may request a hearing with the Executive Hearing Office, where an Administrative Law Judge will hear their case.

The following document outlines the steps to be followed in the event of an encroachment permit application denial and subsequent review and hearing requests. A checklist for the steps is included in this document as Annex A.



## ENCROACHMENT PERMIT APPLICATION DENIAL

Under ADOT encroachment permit administrative rules (R17-3-507), ADOT shall deny an encroachment permit application if:

The proposed encroachment use is unlawful,  
The applicant provides incomplete or inaccurate information,  
The proposed encroachment use does not qualify under R17-3-502(B), or  
The applicant disagrees with the requirements of the proposed permit

A Notice of Denial (Annex B) shall be sent to the applicant upon denial of an encroachment permit application and shall provide a justification for the denial with references to the statutes or rules on which the denial is based.

An explanation of the applicant's right to appeal with instructions to initiate the process for an Informal Review shall be sent to the applicant with the initial Notice of Denial.

## INFORMAL REVIEW

To initiate the grievance process and request an Informal Review, an applicant must submit a Grievance and Request for Informal Review form (Annex C) to the District Encroachment Permit Office which issued the Notice of Denial. The request for Informal Review must be sent to the District Encroachment Permit Office no later than 15 days after the date on the Notice of Denial. If a request is received after 15 days from the date Notice of Denial was sent, contact the Manager of ADOT Statewide Permits Services.

An Informal Review is led by the District Engineer within the ADOT District where the application was denied and may include ADOT staff members invited by the District Engineer.

Once a Grievance and Request for Informal Review is received by the District Encroachment Permits Office, a Notice of Informal Review (Annex D) will be sent to the applicant to let them know when and where the Informal Review will take place. The date of the Informal Review will be set at least 20 days from the date of Notice of Informal Review and no more than 30 days from the date of Notice of Informal Review. If the date and time proposed by the District Engineer cannot be accommodated by the applicant, the date can be adjusted and set beyond 30 days from the date of Notice of Informal Review at the written request of the applicant. An updated Notice of Informal Review must be sent to the applicant to confirm the adjusted date.

If the applicant would like to have their attorney present at the Informal or Formal Reviews, they must submit their intent to appear with counsel in writing at least ten days prior to the hearing date. The Engineer hearing the case will decide with guidance from the Attorney General's Office if an Assistant AG should be present during the Informal or Formal Hearing. Absent extraordinary circumstances, an applicant's failure to notify the District Engineer's Office or State Engineer's Office at least ten days prior to hearing date constitutes a waiver of the right to counsel at the Informal Hearing.

Annex G outlines the hearing procedures set forth by statute for Informal and Formal Reviews.

The District Engineer will issue a written decision within five business days of the Informal Review. The decision shall be sent to the applicant upon completion. An explanation of the applicant's right to appeal with steps on how to submit for a Formal Review will be sent to the applicant with the written decision. The applicant may request a Formal Review with the State Engineer if not satisfied with the results of the Informal Review. The request for Formal Review must be sent to the State Engineer's Office within 15 days from the date of District Engineer's written decision regarding the Informal Review.

## FORMAL REVIEW

If the applicant is not satisfied with the results of the Informal Review, a Formal Review request may be sent by the applicant to the State Engineer's Office within 15 days from date of Informal Review decision. The hearing officer shall be the State Engineer or the State Engineer shall designate a Deputy State Engineer as the reviewing officer. The State Engineer's Office may consult with the Attorney General's Office for legal guidance and to determine if an Assistant AG should be present during the Formal Review. The process for the Formal Review is similar to the Informal Review:

Grievance and Request for Formal Review is received by the State Engineer's Office (Annex E) Notice of Formal Review (Annex F) will be sent to the applicant to let them know when and where the Formal Review will take place; date of Review is at least 20 days from Notice of Formal Review date and no more than 30 days from date of Notice of Formal Review; can be adjusted by applicant and must be documented in writing

If the applicant plans to have an attorney present, the applicant must inform State Engineer's Office at least ten days prior to the Formal Review

Review takes place (Annex G)

State Engineer issues decision within five business days of Review; sends written decision to applicant with information on applicant's right to appeal and steps on how to submit for an Administrative Hearing

Applicant may request an Administrative Hearing; request must be sent to the Executive Hearing Office within ten days from date of State Engineer's written decision regarding the Formal Review

## ADMINISTRATIVE HEARING

If the applicant wishes to appeal the decision of the Formal Review, they may request an Administrative Hearing with the Executive Hearing Office. The decision from the State Engineer's Office shall include instructions to the applicant of how to submit for an Administrative Hearing. The applicant may submit a request online, fax or by mail. The information to provide to the applicant can be found from the Executive Hearing Office.

Once the process reaches the Executive Hearing Office, it is out of the District's immediate responsibility. The Executive Hearing Office will provide all notices regarding the hearing location, date and time. At the hearing, the Administrative Law Judge (ALJ) will identify the scope of the hearing, swear in the witnesses, and question the witnesses. During the hearing, witnesses testify under oath (reliable hearsay is allowed), witnesses may be cross-examined, and the ALJ must

consider all appropriate statutes, regulations, and case law. The ALJ will consider the evidence and the testimony and may issue a decision at the hearing, or may take the matter under advisement and issue a decision after the hearing. The written decision and order by the ALJ is final and binding. If the applicant does not agree with the decision, they may ask for a rehearing, or file an appeal with the Superior Court and potentially to the Court of Appeals. The ALJ will issue a Decision and Order within ten days of the hearing that includes Findings of Fact, Conclusions of Law, and a Decision. The decision is final and will provide any rehearing or appellate rights on the last page of the order.

ANNEX A: Encroachment Permit Application Denial; Grievance and Request for Review Checklist

ANNEX B: Notice of Denial (Encroachment Application Denied)

ANNEX C: Request for Informal Review (How Applicant Requests Informal Review)

ANNEX D: Notice of Informal Review (District Engineer Notification to Applicant of Informal Review)

ANNEX E: Request for Formal Review (How Applicant Appeals Informal Review Decision)

ANNEX F: Notice of Formal Review (State Engineer Notification to Applicant of Formal Review)

ANNEX G: Informal and Formal Review Procedures

ANNEX H: How to Request an Administrative Hearing with the Executive Hearing Office

Please follow up with your local District Permits office supervisor for Annexes or process clarifications.

## Miscellaneous Permitting Items

Please review the following sections as it may have a significant impact on the requirements of your encroachment permit.

Permits spanning multiple Districts shall be submitted to the District where the encroachment permit begins and be coordinated with all the necessary reviewers.

### Simple “10” Permits

Formerly known as Simple “21” program. The program has been able to successfully process simple permits within a 10 business day time frame. Utility companies may request Simple 10 Utility processing for encroachment permit requests where the proposed utility work is considered low complexity for the utility company and low complexity on processing for the permits department personnel. Information available at the links posted below. If a Simple 10 request falls into a level 2 permit category the permit staff shall have the DEC review to check on any Environmental concerns.

[Simple 21 Permit Directions \(link is external\)](#)

[Simple 21 Utility Checklist \(link is external\)](#)

ADOT maintains a list of Pre-qualified contractors. This list will provide the name of contractors and the type of work they are approved to perform in ADOT Right of Way.

[Prequalified Contractors](#)

### Historic and Scenic Routes

In 1982, the state of Arizona enacted into law [ARS 41-512 through ARS 41-518 \(link is external\)](#) These laws provide for the establishment of parkways, historic roads and scenic roads. The Arizona Department of Transportation (ADOT) is the agency responsible to implement these laws. Please Review this section as it may have a significant impact on the requirements of your encroachment permit.

[Historic and Scenic Routes page](#)

### ADOT Five-Year Program

This page will show ADOT construction projects projected for the next five years. Permittees should review to possibly avoid having to relocate encroachments placed in the Right of Way.

[Five Year Program page](#)

### Transportation Studies (Design Concept Reports)

This section provides information about projects in the study/decision-making phase. These projects are evaluated yearly and could possibly move into the Five Year Program.

[Transportation Studies Page](#)

## Quality Assurance Quality Control Requirements (QA/QC)

The Permittee shall directly employ (not through a third party) full time independent Quality Control Technician(s) (QCT) under the direction of a licensed professional Civil Engineer, to perform quality control/quality assurance for all work performed under this permit. It will be their responsibility to require that the Permittee's work and site activities in the ADOT right-of-way conform to the Permit plans and specifications. As many QCT(s) as needed to fully inspect each aspect of the project shall be used. Please follow up with your local permit office for a complete list of specifications.

Inspection is the act of assuring that requirements in the following categories are met as outlined in the ADOT Construction Manual.

1. Layout
2. Material Properties
3. Dimensions
4. Workmanship
5. Performance
6. Documentation

Examples of each category include but are not limited to:

- Layout: location, elevation, grade, horizontal control and other survey related information;
- Material Properties: type, gradation, strength, compaction, density, grade, certification, stability, prestress, binder content, temperature, cure time, and color;
- Dimensions: spacing, length, width, thickness, height, clearance, slope, diameter, and other shape related information;
- Workmanship: finish, appearance, cure, edge and connection treatments, texture, and handling;
- Performance: smoothness, pressure test, bacteria count, pour rate, flow rate, waterproof, and mortar tight.
- Documentation: Daily Dairies, Certifications of compliance and/or analysis, test reports, material delivery sheets, cut sheets.

Before any permit work begins, a meeting shall take place between QCT(s), a representative of the Permittee, the contractor working for the Permittee, and the ADOT inspector. At this meeting, the permit plans and specifications shall be fully reviewed and understood before any work is performed in ADOT right-of-way. A copy of the QCT(s) resume and all certifications shall be given to the ADOT inspector at the meeting.

Thereafter, whenever any work is performed in ADOT right-of-way under this permit, the QCT(s) shall be present on the job site to coordinate and oversee quality control/quality assurance activities and to perform tests as listed in this permit.

Should any work performed under this permit not meet the specifications and requirements of this permit, the QCT shall have the authority to cause work to cease.

## Quality Control Technician Qualifications

The QCT(s) shall have the following certifications, whichever are applicable:

- NICET in the Construction Materials Testing field as an Engineering Technician Level III or higher, for the type of testing performed, along with the attached requirements.
- Or Arizona Technical Institute (ATI) for Field Technician and meet the requirements of an ADOT S7 position or higher, American Concrete Institute (ACI) for Concrete Field Testing Technician Grade I, along with the attached requirements.

In addition to the above listed certifications, the QCT(s) shall meet the below requirements:

- Have a minimum of six (6) years of quality control/quality assurance inspection on heavy highway construction projects with progressive responsibilities and shall be on the job site while any work is being performed.
- Possess and submit a Certification by American Traffic Safety Service Association (ATSSA) for Traffic Control Technician.

Note that when there is a change in QC/QA personnel on a project, a copy of the QCT(s) resume and all certifications shall be given to the ADOT inspector and approval given prior to the new personnel starting work on the project.

## Responsibilities of the Engineer and QCT(s)

The Engineer shall:

- The Engineer is responsible to assure the permit requirements are followed, work is performed in accordance with the approved plans and specifications, to supply as many QCT inspectors as needed on the project, and to guide the project quality control/quality assurance. If problems arise, the Engineer shall investigate the problems and recommend solutions that follow ADOT design requirements and specifications, coordinating said solutions with the Permits Office.
- Once the project is completed according to the requirements of the permit, the engineer shall provide a document to ADOT stating the work performed met all quality control/quality assurance requirements listing all items of work performed. All tests taken shall be given in the document and the document sealed by the engineer.
- Assure Laboratory used to perform testing is accredited by AASHTO and approved by ADOT for tests performed.
- Be responsible for day-to-day inspection staffing and scheduling.
- Be responsible for project-wide monitoring of the contractor's operation and construction schedule.

The QCT(S) shall:

- Resolve site issues with the contractor's field staff.
- Maintain the project as-built plans.
- Interface with the project surveyors, materials lab, and ADOT personnel.
- Oversee and monitor all construction activities performed in the permit to assure that work is done in accordance with Permit Requirements and the Construction Requirements sections of the ADOT Standard Specifications.
- Read and understand the permit requirements and construction plans before work begins.

The above list is just a summary and does not contain all the requirements and responsibilities that may be required by the ADOT Permits Office. Please follow up with your local permit office for a complete list of specifications.

## Contact Information:

Any questions, suggestions or comments regarding standard encroachment permits or to the Encroachment Permit Policies and Guidelines Manual may be directed to:

Richard La Pierre  
Encroachment Permits Program Manager  
ADOT Broadband Office  
602-679-6158 (cell & office)  
[rlapierre@azdot.gov](mailto:rlapierre@azdot.gov)

Any questions regarding Outdoor Advertising, Film or Class C permitting should be directed to:

Jennifer Cannon  
Manager, Statewide Permits Services  
1739 W Jackson Street, MD 004R  
Phoenix, AZ 85007  
Office 602-712-4142  
[jcannon@azdot.gov](mailto:jcannon@azdot.gov)

ADOT District contacts are available at the following link:

[ADOT district offices](#)

Survey Form

[Click her to fill out Survey Form:](#)