



Access Management

BULLETIN

SUBJECT Filing, Distribution, and Transfer of Approach Road Permit Records	FINAL NUMBER AM10-01(B)	EFFECTIVE DATE 07/01/2010	VALIDATION DATE 00/00/000	SUPERSEDES or RESCINDS NEW
	WEB LINK(S) http://egov.oregon.gov/ODOT/HWY/TECHSERV/techguidance.shtml			
TOPIC/PROGRAM Approach Road Permitting/Access Management	APPROVED SIGNATURE Original signed by Harold Lasley, P.E. Access Management Program Manager			

PURPOSE

The purpose of this Bulletin is to provide direction for filing, distribution and transfer of the following approach road permit records:

- Construction Specifications for a State Highway Approach
- Permit to Construct a State Highway Approach
- Permit to Operate, Maintain and Use a State Highway Approach
- Notice of Recognition of Grandfathered Approach
- Certificate of Insurance
- Proof of Bond
- Personal or cashier's check received as deposit in lieu of bond

The District Office shall transfer the record copy of the above listed documents to the Office of Maintenance and Operations.

For filing and retention of documents generated during the approach permitting process not covered under this bulletin, see [ODOT Records Manual](#) and [Department of Transportation, Highway Division Records Retention Schedule Number 2006-0001](#), Program: Encroachment (Utility, Approach, and Miscellaneous) Permits.

GUIDANCE

Attachment A provides direction for filing, distribution, and transfer of documents listed above under *Purpose*.

DEFINITIONS

Applicant: A person, firm or corporation, or other legal entity as defined in OAR 734-051-0040(8)

Copy: Paper or electronic image of the Record Copy.

Record Copy: The document to be maintained for purposes of compliance with the ODOT Records Program. For signed documents, this refers to the original document with “wet” signatures to the extent possible.

CHAMPS: Central Highway Approach/Maintenance Permit System

BACKGROUND/REFERENCE

The road approach permitting process is conducted through District offices. The [ODOT Records Manual](#) describes the ODOT Records Program including statutes, policies and rules applicable to documentation and records created during the permitting process. Highway Division Records Retention Schedule 2006-0001 includes the following requirements for approach road permits:

Office: Regions

Unit: Districts

Program: Encroachment Permits

Upon issuance of an encroachment permit, the record copy of the permits is transferred to the Office of Maintenance and Operations. The record copy of insurance and proof of bond are also held by the Office of Maintenance and Operations. Related files including notes, correspondence, photographs, and other documentation produced during the permitting process are retained at ODOT District Offices throughout the state.

236 Permit Records: (a) Retain Approach Road Permit drafts, work notes, correspondence and other supporting documentation 10 years after superseded, revoked or end of administrative need, destroy.

Branch: Technical Services

Unit: Access Management

Program: Approach Road Permits

The Access Management Unit is responsible for administration of the central computer database (CHAMPS) that generates and maintains program records and documentation of the permitting process conducted in District offices throughout the state. Permitting records and documents generated by CHAMPS are stored in the database. Copies of signed records generated outside of CHAMPS are scanned or imported into the database by District offices to the fullest extent practicable. Additional electronic and paper records such as notes, correspondence, photographs and other documentation produced during the permitting process are retained in District office files.

024 Approach Road Permit Records: Retain drafts, work notes, correspondence and other supporting documents 10 years after superseded, revoked or end of administrative need, destroy

Office: Maintenance and Operations

Program: Permits

The permitting process is conducted through District offices. Upon permit issuance, the record copy of permits is transferred to the Office of Maintenance and Operations. The record copy of the permit insurance and bonds are held by the Office of Maintenance and Operations.

045 Approach Road Permit Records: Retain 10 years after superseded, revoked or end of administrative need, destroy

245 Permit Insurance and Bond Records: (a) Retain insurance records for 10 years after work completed or coverage expires, destroy; (b) Retain bond records 3 years after bond is released, destroy

This Bulletin provides direction for transfer of the record copy of approach road permit documents from District offices to the Office of Maintenance & Operations as required by Highway Division Records Retention Schedule Number 2006-0001. It also provides direction for online storage of electronic copies of documents in CHAMPS and storage of paper documents in the District Office during the 10 year retention period as required by Records Retention Schedule 2006-0001.

SPECIAL INSTRUCTIONS

This Bulletin requires scanning and importing of documents into the CHAMPS to provide an easily accessible copy of the document for future reference. For assistance with importing scanned documents into CHAMPS, contact Marcus Berlin, CHAMPS Administrator, at 503-986-3914.

RESPONSIBILITIES

Management responsibility for implementation of this Guidance is primarily the responsibility of ODOT District Managers, the ODOT Maintenance Engineer, and the ODOT Access Management Program Manager. District Managers are responsible to ensure that the procedures in this Bulletin are implemented by District staff involved in approach road permitting in their respective District. The ODOT Maintenance Engineer is responsible for the disposition of records transferred to the Office of Maintenance & Operations in accordance with the ODOT Records Manual. The ODOT Access Management Program Manager is responsible to periodically review the guidance of this Bulletin and seek input from Districts and the Office of Maintenance & Operations on improvements and changes needed.

ACTION REQUIRED

This Bulletin is effective immediately for all covered documents dated after effective date of this Bulletin.

CONTACT INFORMATION

Title: Access Management Program Manager
Branch/Section: Technical Services/Access Management Unit
Phone: 503-986-4216
E-mail: Harold.Lasley@odot.state.or.us

ATTACHMENT A
 Technical Services Bulletin AM10-01(B)
 Filing, Distribution, and Transfer of Approach Road Permit Records

Type of Record	Filing, Distribution, Transfer of Records			
	Applicant or Designated Agent	District Paper Files (See Note 7)	CHAMPS Files (See Note 2)	Office of Maintenance & Operations Paper Files
Construction Specifications for a State Highway Approach (See Note 1)	District provides <u>copy</u> of signed <i>Specifications</i>	<u>Copy</u> of signed <i>Specifications</i> for temporary short term use <u>only if needed</u> .	District imports record copy of <i>Specifications</i> into CHAMPS.	District transfers <u>record copy</u> of <i>Specifications</i> (See Note 4)
Permit to Construct A State Highway Approach (See Note 1)	District provides <u>copy</u> of signed <i>Permit to Construct</i>	<u>Copy</u> of signed <i>Permit</i> for temporary short term use <u>only if needed</u> .	District imports record copy of <i>Permit</i> into CHAMPS.	District transfers <u>record copy</u> of <i>Permit to Construct</i> (See Notes 4 & 5)
Permit to Operate, Maintain and Use a State Highway Approach (See Note 1)	District provides <u>copy</u> of signed <i>Permit</i>	<u>Copy</u> of signed <i>Permit</i> for temporary short term uses <u>only if needed</u> .	District imports record copy of <i>Permit</i> into CHAMPS.	District transfers <u>record copy</u> of <i>Permit to Operate</i> . Include <u>record copy</u> of <i>Construction Specifications</i> if changes were made to <i>Specifications</i> previously submitted with <i>Permit to Construct</i> . (See Note 5)
Notice of Recognition of Grandfathered Approach	<u>Copy or original</u> . (If original, then second <i>Notice</i> with original signature is needed for record copy.)	<u>Copy</u> of signed <i>Notice</i> for temporary short term uses <u>only if needed</u> .	District imports record <u>copy</u> into CHAMPS.	District transfers <u>record copy</u> of <i>Notice</i> .
Certificate of Insurance	<u>Copy</u> , if needed	<u>Copy</u> of <i>Certificate</i> for temporary short term uses <u>only if needed</u> .	Enter data in CHAMPS.	District transfers <u>record copy</u> of <i>Certificate</i> . (See Note 3)
Proof of bond	<u>Copy</u> , if needed	<u>Copy</u> for temporary short term uses <u>only if needed</u> .	Enter data in CHAMPS.	District transfers <u>record copy</u> . (See Note 6)

ATTACHMENT A
 Technical Services Bulletin AM10-01(B)
 Filing, Distribution, and Transfer of Approach Road Permit Records

Type of Record	Filing, Distribution, Transfer of Records			
	Applicant or Designated Agent	District Paper Files (See Note 7)	CHAMPS Files (See Note 2)	Office of Maintenance & Operations Paper Files
Personal or cashiers check received as deposit in lieu of bond (Refer to Access Management Technical Bulletin AM 07-01(B) for additional information on procedures.)	<u>Copy</u> if needed	<u>Copy</u> of check until Office of Maintenance & Operations confirms deposit has been released to Applicant. <u>BLACK OUT ACCOUNT # ON PERSONAL CHECKS KEPT IN DISTRICT FILES.</u>	Enter data in CHAMPS.	District sends <u>original</u> signed check.

NOTES

- 1 Includes Temporary and Restricted Use Permits.
- 2 Contact CHAMPS Administrator for assistance with scanning and importing documents.
- 3 In many cases, the District may not request a certificate of insurance from the applicant since coverage may be confirmed by checking the Office of Maintenance & Operations database of insurance. However, if the District receives an insurance certificate, cancellation or reinstatement notice, then it needs to be sent to the Office of Maintenance & Operations (a paper copy is preferred but if time is critical, insurance document(s) may be faxed or emailed as pdf).
- 4 Send record copy of *Construction Specifications (CS)* with record copy of *Permit to Construct*, bond and insurance (copy of bond and insurance documents required only if not on file with Office of Maintenance & Operations). Applicant signature is required on all pages of CS.
- 5 "Authorized ODOT Signature" (usually the District Manager) is required on record copy of *Permit to Construct* and *Permit to Operate, Maintain, and Use*. Applicant signature is discretionary on both permits. When printing permits from CHAMPS, select field for applicant signature *only if* applicant signature will be obtained. **Do not** send record copy of either permit to Office of Maintenance & Operations with unsigned signature fields.
- 6 In many cases, the District may not request proof of bond from the applicant since coverage may be confirmed by checking the Office of Maintenance & Operations database if a blanket bond is on file. However, if the District receives proof of bond (either individual or blanket bond), then it needs to be sent to the Office of Maintenance & Operations (a paper copy is preferred but if time is critical, proof of bond may be faxed or emailed as pdf).

7 Most District paper files should be temporary, short-term working files. District paper files should be destroyed when they are no longer needed to avoid unnecessary filing and storage. Electronic storage in CHAMPS should be used for longer term storage needs.