

PERM 42 (09/09)

**State of New York  
Department of Transportation**

**Highway Work Permit**



Permit No.: 20180871094

Date Issued: 07/02/2018

Project ID No.:

Expiration Date: 06/19/2019

**\*Permittee 1:**

NYCDEP

ATTN: CHARLES LAING

71 SMITH AVENUE

KINGSTON, NY 12401

Emergency Contact: CHARLES LAING

Emergency Number: 845-340-7218

Under the provisions of the Highway Law or Vehicle & Traffic Law, permission is hereby granted to the permittee to:

CONSTRUCTION OF TRAILHEAD PARKING LOT FOR THE ASHOKAN RAIL TRAIL. WORK IN THE HB INCLUDES CONSTRUCTION OF 2 DRIVEWAYS, UNDERDRAIN INSTALLATION & SIGNAGE.

THE PERMITTEE IS RESPONSIBLE FOR TEMPORARY TRAFFIC CONTROL IN ACCORDANCE WITH THE NATIONAL MANUAL OF TRAFFIC CONTROL DEVICES AND THE NYS SUPPLEMENT. ANYONE WORKING WITHIN THE HIGHWAY RIGHT-OF-WAY SH HIGH-VISIBILITY APPAREL MEETING THE ANSI 107-2004 CLASS II STANDARDS AND A HARD HAT.

County	Municipality	State Hwy	State Route	Beg Ref	End Re
ULSTER	OLIVE	47-5	28	28 86012126	28 86012

as set forth and represented in the attached application at the particular location or areas, or over the routes as stated therein, if pursuant to the conditions and regulations general or special, and methods of performing work, if any; all of which are set forth in the and form of this permit. See additional conditions on PAGE 2.

THIS PERMIT IS ISSUED BASED ON ALL LOCAL, STATE, AND FEDERAL REQUIREMENTS BEING SATISFIED.

Dated at: Poughkeepsie Date Signed: 07/02/2018 Commissioner of Transportation By: Ada

**IMPORTANT:**

THIS PERMIT, WITH APPLICATION AND DRAWING (OR COPIES THEREOF) ATTACHED, SHALL BE PLACED IN THE OF THE CONTRACTOR BEFORE ANY WORK BEGINS. THE HIGHWAY WORK PERMIT SHALL BE AVAILABLE AT TH DURING CONSTRUCTION.

**BEFORE WORK IS STARTED AND UPON ITS COMPLETION, THE PERMITTEE ABSOLUTELY MUST NOTIFY:**

Dave Corrigan, Permit Engineer 845-340-1723

**"UPON COMPLETION OF WORK", SECOND TO LAST PAGE, MUST BE COMPLETED, SIGNED BY THE PERMIT DELIVERED TO THE RESIDENT ENGINEER.**

The issuing authority reserves the right to suspend or revoke this permit at its discretion without a hearing or the necessity of showing either before or during the operations authorized.

The Permittee will cause an approved copy of the application to be and remain attached hereto until all work under the permit is completed, in accordance with the terms of the attached application. All damaged or disturbed areas resulting from work performed under this permit will be repaired to the satisfaction of the Department of Transportation.

**\* Upon completion of the work within the state highway right-of-way authorized by the work permit, the person, firm, company, municipality, or state department or agency, and his/her or its successors in interest, shall be responsible for the maintenance of such work or portion of such work as set forth within the terms and conditions of the work permit.**

Permit Fee : \$0.00

Insurance Fee: \$0.00

Total Fees: \$0.00

UOF: App 1: UOF App 2: No

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**Attachments and additional requirements to this Highway Work Permit include:**

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PERM 33 - Highway Work Permit Application for Non-Utility Work

PERM 41-1d - Method of Performing Work within the State Right of Way

**Contact List**

Other - Attach 1 LOCATION MAP / PLAN SHEET

Other - Attach 2 STANDARD CONDITIONS

Other - Attach 3 LANE CLOSURES

Other - Attach 4 SMART GROWTH CAT 1

Other - Attach 5 MPT SHEETS

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**END OF ATTACHMENTS**

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**Return this page to:**

<b>Dave Corrigan, Permit Engineer</b>  <b>11 Quarry Street</b> <b>Kingston, NY 12401</b>	<b>Permittee 1: NYCDEP</b> <b>ATTN: CHARLES LAING</b> <b>71 SMITH AVENUE</b> <b>KINGSTON, NY 12401 -</b>
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**UPON COMPLETION OF WORK AUTHORIZED, THIS PAGE OF THE PERMIT MUST BE COMPLETED, SIGNED BY PERMITTEE, AND DELIVERED TO THE RESIDENT ENGINEER.**

**Work authorized by this permit has been completed. Refund of deposit or return/release of bond is requested.**

DATE	PERMITTEE	AUTHORIZED
AGENT (if any)		

<b>TO BE COMPLETED BY NYSDOT:</b>
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Work authorized by this permit has been satisfactorily completed and is accepted. **Inspection Report must be completed.**

- ☐ Refund of Deposit is authorized
- ☐ Return of Bond is authorized
- ☐ Unable to meet schedule as specified in bid proposal
- ☐ Amount charged against Bond may be released.
- ☐ Retain bond for future permits
- ☐ Forfeit of Guarantee Deposit is authorized
- ☐ Other

DATE	RESIDENT ENGINEER

- ☐ Mailing address of refund has been verified.  
If different, list new address:

The Regional Office will forward this form to the Main Office with the appropriate box checked.

- ☐ Permit closed
- ☐ Bond returned/released
- ☐ Refund of Guarantee Deposit on this permit is authorized
- ☐ Forfeit Guarantee Deposit to NYSDOT

☐ Other

DATE

REGIONAL TRAFFIC ENGINEER



STATE OF CALIFORNIA  
DEPARTMENT OF TRANSPORTATION  
DIVISION OF HIGHWAYS  
REGIONAL TRAFFIC ENGINEER

REGIONAL TRAFFIC ENGINEER  
OFFICE OF THE REGIONAL TRAFFIC ENGINEER  
1515 STREET, SUITE 100  
SAN JOSE, CALIFORNIA 95128

FOR THE REGIONAL TRAFFIC ENGINEER, THE FOLLOWING INFORMATION IS SUBMITTED FOR YOUR REVIEW AND APPROVAL:

1. PROJECT LOCATION: \_\_\_\_\_

2. PROJECT DESCRIPTION: \_\_\_\_\_

3. PROJECT COSTS: \_\_\_\_\_

4. PROJECT SCHEDULE: \_\_\_\_\_

5. PROJECT RISK: \_\_\_\_\_

6. PROJECT IMPACT: \_\_\_\_\_

7. PROJECT BENEFITS: \_\_\_\_\_

8. PROJECT CONCLUSION: \_\_\_\_\_

STATE OF NEW YORK DEPARTMENT OF TRANSPORTATION  
HIGHWAY WORK PERMIT APPLICATION FOR NON-UTILITY WORK

Application is hereby made for a highway work permit:

Name NYC Dept. of Environmental Protection

Address 71 Smith Avenue

City Kingston State NY Zip 12401

Applicant Phone (845) 340-7218

Applicant Email Address claing@dep.nyc.gov

Emergency Contact Charles Laing

Emergency Phone (845) 340-7218

For Joint application, name and address of Applicant 2 below:

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Applicant 2 Phone (\_\_\_\_) \_\_\_\_\_

Applicant 2 Email Address \_\_\_\_\_

RETURN PERMIT TO: (If different from Permittee)

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

RETURN DEPOSIT/BOND TO: (If different from Permittee)

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

DESCRIPTION OF PROPOSED WORK: \_\_\_\_\_

Construction of trailhead parking lot for the Ashokan Rail Trail. Work in the HB includes construction of 2 driveways, underdrain installation and signage.

Estimated cost of work being performed in highway right-of-way: \$ 50,000

Anticipated duration of work: From March 2019 to August 2019 (applies to the operations indicated on the reverse side)

WILL OVERHEAD OR UNDERGROUND (5+) OPERATIONS BE INVOLVED IN THE PROPOSED WORK? YES ☐ NO ☒

ATTACHED: Plans ☒ Specifications ☐

LOCATION: State Route: 28 Located Between Reference Markers 28 8601 2126 and 28 8601 2126

City/Town/Village of Olive County of Ulster

SEQR REVIEW (select one)

☐ Type II ☒ Type I ☐ Unlisted LEAD AGENCY: Ulster County DATE OF DETERMINATION: 11/20/2017

Insurance (check one): ☐ General Liability Insurance ☒ Undertaking ☐ Insurance Fee (residential operations only)

NOTE: PERMIT IS ISSUED CONTINGENT UPON ALL LOCAL REQUIREMENTS BEING SATISFIED

ACKNOWLEDGMENT: ON BEHALF OF THE APPLICANT, I HEREBY REQUEST A HIGHWAY WORK PERMIT, AND DO ACKNOWLEDGE AND AGREE TO THE RESPONSIBILITIES OF PERMITTEE AND THE OTHER OBLIGATIONS SET FORTH IN THIS PERMIT AND WARRANT COMPLIANCE THEREWITH.

Applicant Signature Charles Laing

Date 6/19/18

Applicant 2 Signature \_\_\_\_\_

Date \_\_\_\_\_

Approval recommended by Resident Engineer D. CORRIGAN

Res No 8-7 Date 6/25/18

Approved by Regional Traffic Engineer A. LEVINE

Reg No 8 Date 6/25/18

18-08-71094

Operational Type and Description		Permit Fee	Insurance Fee	Total Fees	\$ 0.00
<b>DRIVEWAYS</b>					
5a1	Residential Driveway (includes field entrances)	15	25		
5a6	Temporary access road or street	200			
For Commercial Driveways and subdivisions streets, use form PERM 33-COM					
<b>IMPROVEMENTS</b>					
5b1	Residential	15	25		
5b2a	Commercial- Sidewalk, curb paving, drainage, etc.	200			
5b2b	Commercial - Grade, seed, improve land contour, clear brush	100			
5b2c	Commercial - Resurface existing road or driveway	50			
5b2d1	Annual resurfacing of roadways and driveways - PER COUNTY	150			
	Number of counties:				
5b2d2	Annual resurfacing of roadways and driveways - PER REGION	400			
<b>TREE WORK</b>					
5c1	Residential	15	25		
5c2a	Commercial removal or planting	25			
5c2b	Commercial pruning, applying chemicals to stumps	25			
5c3	Vegetation control for advertising signs - PER SIGN	150			
	Number of Signs:				
<b>MISCELLANEOUS CONSTRUCTION AND WORK OPERATIONS</b>					
5d1	Beautify ROW (civic groups only)	N/C			
5d2a	Temporary signs, banners, décor (not-for-profit organizations)	N/C			
5d2b	Temporary signs, banners, décor (other organizations)	25			
5d3	Traffic control signals	500			
5d4	Warning and entrance signs	25			
5d5	Miscellaneous - Requiring substantial review (describe below)	400			
5d6	Miscellaneous (describe below)	25			
<b>OTHER TYPES OF HIGHWAY WORK PERMITS</b>					
6	Encroachment caused by DOT acquisition of property	25			
7a1	Compulsory permit required for demolition requested by DOT	N/C			
7a2	Compulsory permit required for moving requested by DOT	N/C			
7b	Improvement to meet Department standards	N/C			
8	Miscellaneous (describe below)	25			
9	Adopt-a-Highway (exempt from insurance requirement)	N/C			
Description of Miscellaneous Operation:					

PERFORMANCE SECURITY (Select one): Guarantee Deposit - Cash ☐ Performance Bond ☐ Letter of Credit ☐

Guarantee Deposit Amount: \_\_\_\_\_

Guarantee Deposit Check Number or Bond Number \_\_\_\_\_

(To be completed by NYSDOT Issuing office)

Project Identification Number \_\_\_\_\_

Highway Work Permit No. \_\_\_\_\_

State Highway (SH) Number \_\_\_\_\_

Record ID Number \_\_\_\_\_



**Department of  
Transportation**

## **Form PERM 33 (July 2015) Highway Work Permit Application for Non-Utility Work**

### **Instructions and Form (For Commercial Driveways, use Form PERM 33-COM)**

#### **INSTRUCTIONS FOR COMPLETING THE APPLICATION**

##### **FRONT OF APPLICATION**

Three (3) copies of the entire application, work plans and all other supporting documents must be submitted. At the time of application, certain information relative to fees and deposits may be contingent upon determinations to be made by the Department. In such cases, the information may be left blank and remittance withheld until a determination is made.

Please complete the following:

- Permittee name, address, phone and email address. Provide joint applicant contact information, if appropriate. If there are additional applicants, attach contact information on a separate sheet.
- Name and phone number(s) of emergency contact person.
- If permit is to be returned to someone other than the applicant, complete this section.
- If the guarantee deposit or bond is to be returned to someone other than applicant, complete this section.
- Estimate the cost of work being performed in the state highway right-of-way and provide this figure.
- Indicate anticipated duration of work to be performed with starting date and ending date.
- Indicate the form of insurance coverage to be provided.
- Give a brief description of the work that is proposed to be done under this permit.
- Indicate whether any overhead and/or underground work (5 foot or greater depth) is included in the proposed work.
- Plans and specifications should accompany this application for any work that involves construction within the state highway right-of-way. Place a check mark on the lines for plans and specifications if they are attached to this application.
- Location of the project should be identified by State Route, highway reference marker(s), and the municipality and county in which work area is located.
- In regard to State Environmental Quality Review (SEQR), indicate the type of action, the name of the Lead Agency, and what date the final determination was made, if available.
- Signature of applicant and date.
- Signature of second applicant, if any, and date.

##### **BACK OF APPLICATION**

- Check type of work that will be performed.
- In the appropriate column, indicate total amount of permit fees (Include insurance fee for residential work)
- Indicate type of performance security provided (bond, deposit, letter of credit), if required.
- Indicate check number of deposit or bond number.

## RESPONSIBILITIES OF PERMITTEE PURSUANT TO NON-UTILITY HIGHWAY WORK PERMITS

**NOTE: FAILURE TO OBTAIN A PERMIT OR FAILURE TO COMPLY WITH THE TERMS OF A PERMIT MAY RESULT IN THE DEPARTMENT HALTING THE ACTIVITY FOR WHICH A PERMIT IS REQUIRED UNTIL ADEQUATE CORRECTIONS HAVE BEEN MADE.**

**1. LIMITATIONS ON USE:** The specific site identified in this Highway Work Permit, and only that site identified, will be available for use by Permittee only for the purpose stated in this Permit and only on the date(s) and for the duration designated in this permit. This Permit does not authorize any infringement of federal, state or local laws or regulations, is limited to the extent of the authority of NYSDOT and is transferable and assignable only with the written consent of the Commissioner of Transportation. The Commissioner reserves the right to modify fees and to revoke or annul the Permit at any time, at his/her discretion without a hearing or the necessity of showing cause.

**2. CONDITIONS OF USE:** NYSDOT makes no affirmation that the state-owned site used for the work has been designed, constructed, or maintained for the purpose of the conduct of the work. The Permittee assumes full responsibility for planning and conducting a safe and orderly project that does not expose workers or the public to any unreasonable hazards and that involves a minimal disruption of the normal uses of the state and local highway systems. It shall be the sole obligation of the Permittee to determine whether the site is suitable for the purpose of safely conducting the work. The Permittee assumes all responsibility for assuring that the use of the highway/property conforms to applicable requirements of law, including, but not limited to those set forth herein.

Permittee agrees to assure compliance with New York Labor Law, industrial regulations, and OSHA regulations, and to assure the safety of all workers who will be engaged to do the permitted work.

**3. INSURANCE COVERAGE:** Permittee must have the insurance that is required for the type and extent of the work being performed.

Permittee agrees to maintain liability insurance in full force and effect throughout the term of the highway work permit. Expiration of, or lack of, liability insurance automatically terminates the permit.

To comply with this requirement, an applicant must furnish the Department with one of the following:

- A completed Certificate of Insurance evidencing the required types and limits of insurance coverage, with New York State Department of Transportation named as an additional insured on the commercial general liability policy. An industry standard ACORD 25 form with an ACORD 855 Addendum is acceptable evidence of the required coverage. Certificate Holder should be indicated as New York State Department of Transportation, with the address of the issuing office.
- A fully executed Undertaking Agreement may be provided by Municipalities, Public Utilities, Transportation Corporations, Public Service Corporations or Railroads, as an alternative to providing proof of commercial general liability the insurance.
- Homeowners applying for a residential work permit (driveways, improvements or tree work) and performing their own work have the option to pay a \$25 Insurance Fee, and waive the requirement to provide insurance coverage. Any contractor doing work on the homeowner's behalf must be listed on the permit and provide satisfactory proof of insurance as set forth below.

See "PERM 33 Submission Package Requirements" on page 4 for more detailed guidance on insurance coverage.

**4. COMPENSATION AND DISABILITY INSURANCE COVERAGE:** Permittee is required to have compensation insurance and disability coverage as noted in the provisions of the Worker's Compensation Law and Acts amendatory thereof for the entire period of the permit, or the permit will be invalid. Applicant must provide proof of coverage (Form C-105.2, U-28.3 or SI-12 for Worker's Compensation, and DB-120.1 or DB-155 for Disability Benefits), or provide proof of exemption from this requirement (Form CE-200).

**5. INDEMNIFICATION:** Permittee agrees that, in addition to any protection afforded to NYSDOT under any available insurance, NYSDOT shall not be liable for any damage or injury to the Permittee, its agents, employees, or to any other person, or to any property, occurring on the site or in any way associated with Permittee's activities or operations; whether undertaken by Permittee's own forces or by contractor or other agents working on Permittee's behalf. To the fullest extent permitted by law, the Permittee agrees to defend, indemnify and hold harmless the State of New York, NYSDOT and their agents from and against all claims, damages, losses and expenses, including but not limited to attorneys' fees, arising out of any claim, including but not limited to claims for personal injuries, property damage or wrongful death and/or environmental claims, in any way associated with the Permittee's activities or operations, no matter how caused.

**6. NOTIFICATION:** The following should be notified at the appropriate time as shown below:

- Commissioner of Transportation, through the NYSDOT regional office, one week prior to commencing work.
- Area gas distributors, 72 hours prior to any blasting.
- Utility companies with facilities in work areas, before starting work (in accordance with Industrial Code 53).
- Permission from utility company must be obtained before commencing work affecting the utilities' facilities.
- NYSDOT regional signal maintenance shop, 3 days prior to starting work (traffic signal work).
- NYSDOT regional office, at conclusion of work, and return original copy of permit to Resident Engineer.

**NOTIFICATION FOR ANNUAL PERMITS:** Notify by phone, the Regional or Resident Engineer's Office, one week in advance, each time regular maintenance work is to be performed. In emergencies, notification by phone, fax or email should be made as soon as is practical, no later than the next business day.



**7. SITE CARE AND RESTORATION:** A bond, deposit (bank cashier's check), or a Letter of Credit, in an amount designated by the Department of Transportation, may be required before a permit is issued, in order to guarantee restoration of the site to its original condition. A fully executed Undertaking Agreement may be accepted as an alternative security, where applicable. If the Department is obliged to restore the site to its original condition, the costs to the Department will be deducted from the amount of the permittee's deposit at the conclusion of the work. Costs in excess of the bond/deposit on file will be billed directly to the permittee. If permittee posts a Letter of Credit, the Department may elect to have a contractor restore the site, and issue a draft drawn against the Letter of Credit as payment.

- Anyone working within state highway right-of-way must wear high visibility apparel and hard hat meeting ANSI Class 2 requirements.
- No unnecessary obstruction is to be left on the pavement or the state highway right-of-way, or in such a position as to block warning signs during non-working hours.
- No work shall be done to obstruct drainage or divert creeks, water courses or sluices onto the state highway right-of-way.
- All false work must be removed and all excavations must be filled in and restored to the satisfaction of the Regional Maintenance Engineer.

**8. COSTS INCURRED BY ISSUANCE OF THIS PERMIT:** All costs beyond the limits of any liability insurance, surety deposits, etc. are the responsibility of the permittee. The State shall be held free of any costs incurred by the issuance of this permit, direct or indirect.

**9. SUBMITTING WORK PLANS:** The applicant will submit three (3) copies of work plans and/or maps as required by the Department. This shall include (but not limited to) such details as: measurements of driveways with relation to nearest property corner; location of existing and proposed poles, guide rail, signal equipment, trees or drainage structures; positions of guys supporting poles; a schedule of the number of poles and feet of excavation necessary for completion of work on the State right-of-way. A description of the proposed method of construction will be included.

- Plan work with future adjustments in mind, as any relocation, replacement or removal of the installation authorized by this permit and made necessary by future highway maintenance, reconstruction or new construction, will be the responsibility of the permittee.
- Driveway plans should be prepared in accordance with NYSDOT POLICY AND STANDARDS FOR ENTRANCES TO STATE HIGHWAYS.
- The permittee must coordinate the work with any State construction being conducted.

**10. TRAFFIC MAINTENANCE:** A plan detailing how the permittee intends to maintain and protect traffic shall be submitted with work plans. Traffic shall be maintained on the highway in a safe manner during working and non-working hours until construction is completed. The permittee is responsible for traffic protection and maintenance, including adequate use of signs, barriers, and flag persons during working and non-working hours until construction is completed. All sketches will be stamped with "MAINTENANCE OF TRAFFIC SHALL BE IN CONFORMANCE WITH THE NATIONAL MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES."

**11. COST OF INSPECTION AND SUPERVISION:** Prior to issuance of the Highway Work Permit, the permittee may be required to sign an INSPECTION PAYMENT AGREEMENT FOR HIGHWAY WORK PERMITS (FORM PERM 50) agreeing to the payment of construction inspection charges, based on the number of work days involved. In certain cases, the permittee may also be required to sign a PAYMENT AGREEMENT FOR HIGHWAY WORK PERMITS DESIGN REVIEW (FORM PERM 51) agreeing to design review charges, based on the number of work hours in which Department employees were engaged in design review activity.

## **12. SCOPE:**

- **Areas Covered:** Permits issued are for highways, bridges and culverts over which the New York State Department of Transportation has jurisdiction. (Local governments issue permits for highways under their jurisdiction.) Work locations must be approved by the Department.
- **Maintenance:** Unless noted otherwise, applicant shall be fully responsible for the maintenance of all items installed and/or altered as shown on the approved permit plans and documents. Property owners having access to a state highway shall be fully responsible for the maintenance of their driveway in accordance with POLICY AND STANDARDS FOR ENTRANCES TO STATE HIGHWAYS.
- **Work Commencement:** The Permittee shall have a copy of the permit available at the site during the construction period. Work should start within 30 days from validation date of permit or said permit may be revoked.

**13. REPORTING ACCIDENTS:** Permittee is required to report any accidents that occur during the course of the permit work to their insurance company, and to provide the Department with a copy of any such report.

**14. COMPLETION OF PROJECT:** Upon completion of the work within the State highway right-of-way authorized by the work permit, the person and his or its successors in interest shall be responsible for the maintenance and repair of such work or portion of such work as set forth within the Terms and Conditions of the Highway Work Permit.

## PERM 33 Submission Package Requirements

Submit three (3) copies of the final submission package: Submission package must include the entire PERM 33 with all work plans and supporting documents, including the following (check all that apply):

<input checked="" type="checkbox"/>	Stamped Final Plans – Submit in PDF file format on CD, with three (3) paper copies (1" = 50'), or as requested
<input type="checkbox"/>	ACORD 25 - Certificate of Insurance, with NYSDOT named as Additional Insured (See line 3 below).
<input type="checkbox"/>	ACORD 855 - New York Construction Certificate of Liability Insurance Addendum (See line 3 below).
<input type="checkbox"/>	PERM 1, 2, 6 or 16 - Undertaking Agreement, if applicable (See line 4 below).
<input type="checkbox"/>	PERM 36 - Attachment to Highway Work Permit – Consultant Inspection, if applicable
<input type="checkbox"/>	PERM 44 - Surety Bond – Performance bond in Applicant's name, or deposit (Bank cashier's check required)
<input type="checkbox"/>	PERM 50 – Inspection/Supervision Payment Agreement, if applicable
<input type="checkbox"/>	Proof of Worker's Compensation Insurance (Form C-105.2, U-26.3 or SI-12), or proof of exemption (Form CE-200)
<input type="checkbox"/>	Proof of Disability Benefits Coverage (Form DB-120.1 or DB-155), or proof of exemption (Form CE-200)
<input type="checkbox"/>	Permit Fee (Include \$25 Insurance Fee for residential operations) <i>N/A</i>
<input type="checkbox"/>	Other (specify):

### Insurance Requirements

- 1) In most cases, Permittee must provide proof of **Commercial General Liability** insurance coverage with limits of liability not less than \$1,000,000 per claim/occurrence, unless any of the following circumstances exist, in which case the limits of liability shall not be less than \$5,000,000 per claim/occurrence:
  - (a) The estimated value of permitted work in state right-of-way is \$250,000 or more (see line 6 below);
  - (b) The permitted work requires or includes the construction, alteration or maintenance of underground features at any depth five feet or more below grade;
  - (c) The permitted work requires or includes the construction, alteration or maintenance of overhead features that include, but are not limited to, traffic signals, overhead sign structures, retaining walls or other grade separation structures.
- 2) Exceptions to the above liability limits include: (a) Annual maintenance permits require limits of liability not less than \$5,000,000 per claim/occurrence; (b) Permits for vegetation control activities require limits of liability not less than \$1,000,000 per claim/occurrence; (c) Residential driveway permits require limits of liability not less than \$500,000 per claim/occurrence; and (d) Adopt-a-Highway permits are exempt.
- 3) **ACORD 25** with **ACORD 855** (New York Construction Addendum) shall be submitted as an acceptable proof of liability coverage. New York State Department of Transportation should be named as Additional Insured and as the Certificate Holder at the address of the issuing office.
- 4) Municipalities, public utilities, public authorities and railroads may elect to provide a fully executed Undertaking Agreement as a substitute for providing proof of insurance coverage, or any other financial security otherwise required.
- 5) Homeowners may pay a \$25 Insurance Fee in lieu of providing proof of insurance, however any contractor performing on behalf of a homeowner and who is named on the permit must provide proof of insurance as outlined above.
- 6) When the estimated cost of work being performed in the right-of-way equals or exceeds \$250,000, Permittee must additionally provide proof of a **Protective Liability (OCP)** insurance policy with a minimum liability limit of \$1,000,000 per occurrence, with New York State Department of Transportation as Named Insured.

Permittee agrees to maintain liability insurance in full force and effect throughout the term of the highway work permit. Expiration of, or lack of, liability insurance coverage automatically terminates the permit.

For more information on insurance requirements, go to: [www.dot.ny.gov/permits-insurance](http://www.dot.ny.gov/permits-insurance)

## HIGHWAY WORK PERMIT ATTACHMENT NYSDOT Residency Contact Information

<b>Residency 8-1, Columbia County</b>	<b>307 Route 66</b>	<b>Hudson, NY 12534</b>
Thomas Story, Acting Resident Engineer	Telephone: (518) 828-9401/9402	Fax: (518) 828-2029
Richard Frick, Assistant Resident Engineer		
Joseph A. Visconti, Permit Field Engineer	Telephone: (518) 828-5137	Fax: (518) 828-2029
<b>Residency 8-2, Dutchess County North &amp; Central</b>	<b>334 Violet Avenue (Route 9G)</b>	<b>Poughkeepsie, NY 12601</b>
William LaRose, Acting Resident Engineer	Telephone: (845) 454-3390/3742	Fax: (85) 454-6763
Chuck Walter, Permit Field Engineer	Telephone: (845) 473-3076	Fax: (845) 454-6763
<b>Residency 8-3, Dutchess South &amp; Putnam Counties</b>	<b>106 Ludingtonville Road</b>	<b>Holmes, NY 12531</b>
Michael Sassi, P.E. Resident Engineer	Telephone: (845) 878-6361	Fax: (845) 878-3618
Dave Chomycz, Assistant Resident Engineer		
Rock DeNigro, Permit Field Engineer	Telephone: (845) 878-6363	Fax: (845) 878-3618
<b>Residency 8-4, Orange County East</b>	<b>112 Dickson Street</b>	<b>Newburgh, NY 12550</b>
Shahid Quadri P.E. Resident Engineer	Telephone: (845) 562-4020/4021	Fax: (845) 562-4190
Bill Pullar, Assistant Resident Engineer		
Siby Zachariah-Carbone, Permit Field Engineer	Telephone: (845) 562-8368	Fax: (845) 562-4190
<b>Residency 8-5, Orange County West</b>	<b>3233 Route 6</b>	<b>Middletown, NY 10940</b>
Rich Gaupman P.E. Resident Engineer	Telephone: (845) 343-4638/4681	Fax: (845) 343-7217
Peter Schick, Assistant Resident Engineer		
Kim Henken, Permit Field Engineer	Telephone: (845) 344-5819	Fax: (845) 343-7217
<b>Residency 8-6, Rockland County</b>	<b>275 Ridge Road</b>	<b>New City, NY 10956</b>
Jennifer Clark P.E. Resident Engineer	Telephone: (845) 634-4661/4662	Fax: (845) 634-2141
James J. Murawski, Assistant Resident Engineer		
Joseph Taylor, Permit Field Engineer	Telephone: (845) 634-1892	Fax: (845) 634-2141
<b>Residency 8-7, Ulster County</b>	<b>11 Quarry Street</b>	<b>Kingston, NY 12401</b>
David Corrigan, Acting Resident Engineer	Telephone: (845) 331-5533	Fax: (845) 331-9236
John Reilly, Permit Field Engineer	Telephone: (845) 331-5533	Fax: (845) 331-9236
<b>Residency 8-8, Westchester County North</b>	<b>85 Route 100</b>	<b>Katonah, NY 10536</b>
Ed Goff P.E. Resident Engineer	Telephone: (914) 232-3060/3776	Fax: (914) 232-0719
Mike LeRose, Assistant Resident Engineer		
Daniel DeGrosa P.E. Residency Program Engineer		
Anne Darelius, Permit Field Engineer	Telephone: (914) 232-5065	Fax: (914) 232-0719
<b>Residency 8-9, Westchester County South</b>	<b>Saw Mill River Rd (Rte 9A &amp; Dana Rd)</b>	<b>Valhalla, NY 10595</b>
Jorge Argote, Resident Engineer	Telephone: (914) 592-6557	Fax: (914) 592-4956
Dyan Rajasingham, P.E. Residency Program Engineer		
Chris Lee P.E. Permit Field Engineer	Telephone: (914) 592-6557	Fax: (914) 592-4956
Kamal Ahmed, Assistant Permit Field Engineer	Telephone: (914) 592-1589	



**STANDARD CONDITION AND OBLIGATION  
FOR HIGHWAY WORK PERMITS  
LANE CLOSURES & DISRUPTIONS TO TRAFFIC**

October 28, 2004

The NYSDOT Residency, Regional Traffic & Safety Group or HVTMC (Hudson Valley Transportation Management Center) reserve the right to rescind permission for Lane Closures. They also reserve the right to Stop Work that is determined excessively disruptive to traffic at any given time.

Lane Closures and/ or Highway Work that will be highly disruptive to traffic require a one week advance advertising through VMS (Variable Message Signs) to forewarn local and regular highway users of the expected delays.

The HVTMC (Hudson Valley Transportation Management Center) must be notified at

Telephone No. (914) 742-6100  
or Fax No. (914) 742-6113

- 1) at least two days before scheduled lane closures and if the schedule is canceled or changes (by telephone or fax),
- 2) each occurrence when a lane closure is setup (by telephone only from the field site) and
- 3) each occurrence when a lane closure is removed and normal Highway Operation resumes (by telephone only from the field site).

The NYSDOT Permit Field Engineer, working out of the local NYSDOT Residency, should also be notified at the same points in time. The respective telephone numbers for the NYSDOT Permit Inspector are:

Columbia County	(518) 828-5137	or Fax No.	(518) 828-2029
Dutchess County North & Central	(845) 473-3076	or Fax No.	(845) 454-6763
Dutchess County South	(845) 878-6363	or Fax No.	(845) 878-3618
Putnam County	(845) 878-6363	or Fax No.	(845) 878-3618
Orange County East	(845) 562-8368	or Fax No.	(845) 562-4190
Orange County West	(845) 344-5819	or Fax No.	(845) 343-7217
Rockland County	(845) 634-1892	or Fax No.	(845) 634-2141
Ulster County	(845) 340-1723	or Fax No.	(845) 331-9236
Westchester County North	(914) 232-5065	or Fax No.	(914) 232-0719
Westchester County South	(914) 592-1589	or Fax No.	(914) 592-4956

The NYSDOT Residency telephone numbers are (If Permit Field Engineer is unavailable):

NYSDOT Residency 8-1	Columbia County	(518) 828-9401
NYSDOT Residency 8-2	Dutchess County North & Central	(845) 454-3390
NYSDOT Residency 8-3	Dutchess Co. South & Putnam Co.	(845) 878-6361
NYSDOT Residency 8-4	Orange County East	(845) 562-4020
NYSDOT Residency 8-5	Orange County West	(845) 343-4638
NYSDOT Residency 8-6	Rockland County	(845) 634-4661
NYSDOT Residency 8-7	Ulster County	(845) 331-5533
NYSDOT Residency 8-8	Westchester County North	(914) 232-3060
NYSDOT Residency 8-9	Westchester County South	(914) 592-6557

Permittee's should know who their respective contact is at the time of Application.



**SPECIAL NOTE**  
**TEMPORARY LANE/SHOULDER CLOSURE RESTRICTIONS FOR MAJOR HOLIDAYS**

There shall be no temporary lane/shoulder closures on roadway facilities owned and/or maintained by NYSDOT on the major holidays listed below.

Construction activities that will result in temporary lane/shoulder closures shall be suspended to minimize travel delays associated with road work for major holidays as follows:

Holiday	Falls on	Temporary lane closures are NOT allowed from
New Year's Day Independence Day Christmas Day	Sunday or Monday	6:00 AM Friday before to 6:00 AM Tuesday after
	Tuesday	6:00 AM Saturday before to 6:00 AM Wednesday after (starting at 6:00 AM Friday before to 6:00 AM Wednesday after for Christmas Day)
	Wednesday	6:00 AM Tuesday before to 6:00 AM Thursday after (starting at 6:00 AM Saturday before to 6:00 AM Thursday after for Christmas Day)
	Thursday	6:00 AM Thursday to 6:00 AM Monday after (starting at 6:00 AM Wednesday before to 6:00 AM Monday after for Christmas Day)
	Friday or Saturday	6:00 AM Thursday before to 6:00 AM Monday after

Holiday	Falls on	Temporary lane closures are NOT allowed from
Memorial Day Labor Day	Monday	6:00 AM Friday before to 6:00 AM Tuesday after
Thanksgiving Day	Thursday	6:00 AM Wednesday before to 6:00 AM Monday after

Exceptions can only be made under the following conditions:

- Emergency work.
- Work within long-term stationary lane/shoulder closures.
- Safety work that does not adversely impact traffic mobility and has been authorized by the Regional Traffic Engineer.

Note: The Department reserves the right to cancel any work operations, including lane closures and/or total road closures, that would create traffic delays by unforeseen events. The Contractor would be notified at least seven (7) calendar days prior to the proposed work.





## **TRAFFIC CONTROL PLAN:**

### **Temporary Lane Closures:**

It will be necessary to temporarily close travel lanes in order to perform the contract work. The following restrictions shall apply to lane closures:

A. No lane closures shall be permitted without the prior approval of the Engineer-in-Charge (EIC).

B. The state reserves the right to allow work within the contract limits by others along key corridors. In order to minimize inconvenience to the traveling public, any lane closures required within contract limits must be approved by the Surface Transportation Controller (STC). Key corridors are defined as I-684, Taconic State Parkway (TSP), Palisades Interstate Parkway (PIP), Sprain Brook Parkway (SBP), Saw Mill River Parkway (SMRP), Hutchinson River Parkway (HRP), Cross County Parkway (CCP), NYS Rte. 17 (Future I-86), I-84 (Including The Newburgh-Beacon Bridge), I-87 (including The Tappan Zee Bridge), I-287, I-95 and I-90.

The contractors' attention is directed to the fact they are responsible to forward requests through the EIC to the STC for lane closure approvals. These requests must be submitted to the STC at the email address:

STC-R08@dot.state.ny.us, a minimum of seven (7) days in advance of scheduled closures. The STC shall respond within four business days of receipt of request. Attention is also directed to the fact that, due to possible traffic control conflicts, approval may or may not be granted for the date(s) requested. Any additional costs, delays or remobilizations associated with the approval process shall be included in the bid price for basic work zone traffic control.

C. No lane closures will be permitted during non-working hours, unless specifically provided elsewhere in the contract.

D. On key corridors as described in (b) the required number of lanes by time of day chart in the proposal shall be followed. On all other routes the same number of travel lanes (including turning lanes), as exist prior to this contract, shall be maintained in each direction during the hours of 7:00 a.m. to 9:00 a.m. and 4:00 p.m. to 6:00 p.m. - Monday to Friday, inclusive.

E. In areas of major shopping malls, the same number of travel lanes (including turning lanes), as exist prior to this contract, shall be maintained in each direction during the hours of 10:00 a.m. To 4:00 p.m. on Saturdays.

F. The time restrictions listed above can be shifted as traffic conditions warrant, and the contractor shall be aware that the Engineer-in-Charge (EIC) has the ability to order additional time restrictions of up to one hour per work day to the time restrictions listed above if traffic conditions warrant, at no cost to the state. The contractor shall not have any delay claims against the state if the EIC orders up to one hour of additional time restrictions per day.

G. The Engineer-in-Charge is authorized to reduce the above time restrictions on the non- key corridors as traffic conditions warrant.

H. The contractor's attention is directed to the fact that the following holiday work restrictions are applicable to this project. During these holiday periods, the contractor will not be allowed to perform any work that will be disruptive to traffic, including but not limited to lane closures. Lane closures will not be permitted during the following state recognized holidays:

- |                     |                  |
|---------------------|------------------|
| 1) New Year's Day   | 2) Memorial Day  |
| 3) Independence Day | 4) Labor Day     |
| 5) Thanksgiving Day | 6) Christmas Day |

If the holiday is on a Monday, no lane closures will be permitted from 12 noon Friday to 10 a.m. Tuesday. If the holiday is on a Tuesday, no lane closures will be permitted from 12 noon Friday to 10 a.m. Wednesday. If the holiday is on a Wednesday, no lane closures will be permitted from 12 noon Tuesday to 10 a.m. Thursday. If the holiday is on a Thursday or Friday, no lane closures will be permitted from 12 noon the day before the holiday to 10 a.m. Monday. If the holiday is on a weekend day, no lane closures will be permitted from 12 noon Friday to 10 a.m. Monday.

I. The contractor is also advised that the state reserves the right to preclude lane closures during periods of inclement weather, wet or icy pavement, reduced visibility, traffic accidents or any other emergencies. The state may alter any lane closures should traffic conditions or other unforeseen circumstances arise which would adversely affect the traffic flow. The contractor is also alerted to the fact that incident management or traffic conditions might force his/her construction operation to stop, even during time where such operation would normally be permitted. Ten such occurrences per calendar year should be taken into consideration as a reasonable frequency of such event when bidding this project. The contractor shall have no claim against the state for any delays or extra costs incurred in complying with these restrictions.

The state may grant a waiver of these restrictions upon a timely receipt of a request for said waiver from the contractor. A minimum of five working days for the review of the contractor's request will be required.

## **SPECIAL NOTES**

1. Maintenance and Protection of Traffic is the responsibility of the permittee. Any subcontractors working for the permittee must have a copy of the Highway Work Permit on the site and must be familiar with the traffic control requirements. It is strongly advised that a "tailgate" safety meeting with each work crew be initiated before the start of work.
2. Traffic control schemes must be in place, and maintained, throughout the duration of work.
3. All Maintenance and Protection of Traffic to be in accordance with the National Manual of Uniform Traffic Control Devices and the NYS Supplement.
4. Anyone working within the highway right-of-way shall wear high-visibility apparel meeting the ANSI 107-2004 Class II standards and a hard hat.
5. At the start of work on the project, all work zone traffic control devices shall appear in "acceptable" condition. These devices shall not be allowed to fall below the "marginal" condition at any time during the life of the project. Faded and deteriorated panels and non-standard legends are not acceptable.
6. Flagger signs are to be used only when a flagger is actually present and visible to the motorist. They shall be covered or removed at all other times. Stop/slow paddles are required.
7. No low-mounted signs shall be permitted, except for flexible panels meeting the current specification requirements.



### Smart Growth Attestation for Category 1 Operations – Highway Work Permits

Pursuant to ECL Article 6, Section 6-0107, compliance with the Smart Growth criteria is deemed impracticable for Highway Work Permits involving Category 1 Operations, for reasons detailed in the following statement of justification.

- Highway Work Permits for Category 1 Operations do not lead to new, reconstructed or expanded infrastructure. Therefore, the issuance of these Permits will not contribute to the unnecessary costs of sprawl development, including environmental degradation, disinvestment in municipal centers, or loss of open space induced by sprawl.
- The NYSDOT's responsibility for Highway Work Permit applications involving Category 1 Operations is limited to issuing the permit and setting conditions to minimize impacts on public safety and infrastructure. NYSDOT does not have discretionary authority to deny permits for typical Category 1 Operations, involving the following work types:

1. PERM32m – Utility work

Underground excavation and line installation – 1a1 –replace or upgrade  
Original Construction Service Connections – 1a2, 1a3, 1b3, 1b4  
Overhead erecting poles and towers – 1b1 replace existing  
Overhead running new lines – 1b2 – replace or upgrade  
Maintenance – 2a, 2b, 2c, 2d  
After Original Construction – 3a, 3b, 3c, 3d, 3e, 3f  
Misc Utility – 4

2. PERM33 – Non-utility Work

Residential Driveways – 5a1  
Temporary Access Road or Street – 5a6  
Improvement – 5b1, 5b2a, 5b2b, 5b2c, 5b2d  
Tree Work – 5c1, 5c2, 5c3  
Miscellaneous Construction – 5d1, 5d2, 5d3, 5d4, 5d5, 5d6  
Encroachment caused by NYSDOT acquisition of property – 6  
Compulsory permit required for work performed at request of NYSDOT –  
7a, 7b  
Miscellaneous – 8  
Adopt a Highway – 9

  
\_\_\_\_\_  
Commissioner (or designee)

  
\_\_\_\_\_  
Date



# INVASIVE SPECIES

EMERALD ASH BORER NOTE (TO BE USED IN QUARANTINED AREAS ONLY)

“CLEARING AND GRUBBING OPERATIONS MAY RESULT IN THE REMOVAL OF ASH TREE (FRAXINUS SPP.). IT IS UNLAWFUL TO TRANSPORT ANY ASH MATERIAL FROM A PROJECT SITE THAT IS LOCATED IN AN AREA THAT HAS BEEN QUARANTINED FOR EMERALD ASH BORER BY THE NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION. THEREFORE, UNDER NO CIRCUMSTANCE IS THE CONTRACTOR TO REMOVE ANY ASH LOG OR ASH STUMP FROM THE PROJECT SITE. INSTEAD, ALL ASH BRANCHES, TRUNKS, ROOTS AND ALL VEGETATIVE PARTS ARE TO BE CHIPPED TO 1 X 1 INCH CHIPS. ASH STUMPS CAN BE GROUND 6 INCHES BELOW GRADE OR IF GRUBBED, ROOTS MUST BE CHIPPED TO 1 X 1 INCH CHIPS. THE CONTRACTOR SHALL SPREAD THESE WOOD CHIPS ON-SITE IN LOCATIONS DETERMINED BY THE ENGINEER IN CHARGE.”





## **STANDARD CONDITION AND OBLIGATION FOR HIGHWAY WORK PERMITS WINTER WORK**

### **WINTER TIME WORK OPERATIONS REQUIRE PRIOR PERMISSION FROM RESIDENCY PERMIT INSPECTOR OR RESIDENT ENGINEER**

Permittees / Utility Companies / Contractors are **Responsible** for Obtaining all necessary Reference Documents, Publications and Drawings. They are available On-Line at **[www.dot.state.ny.us](http://www.dot.state.ny.us)**

### **SNOW PLOWING REQUIREMENTS**

Due to possible snow fall and hence snow plowing operations, any steel plates used to cover an excavation shall be: (steel plates may be allowed for up to 14 days - time extensions require explanations)

A. Recessed into the pavement and pinned.

OR

B. Pinned with asphalt ramps placed along all edges. Ramps shall be sloped at 1 inch rise per 6 feet run maximum. "RAISE PLOW" signs supplemented with Type A flashing lights must be erected at an appropriate distance before the excavation; signs and lights must meet NYSDOT MUTCD Specifications.

### **WINTER TIME EARTHWORK REQUIREMENTS**

All Permit work under construction between the dates of November 1 through May 1 shall conform to the following requirements:

1. Granular or other frost susceptible material shall not be placed when the temperature is below 32 degrees Fahrenheit.
2. Frozen material shall not be incorporated into embankments or backfills.
3. Material shall not be placed on frozen ground.
4. The material shall be compacted in accordance with Highway Design Manual Chapter 13 Appendix 13C, "Requirements For The Design And Construction Of Underground Utility Installations Within The State Highway Right-Of-Way" (aka Blue Book), latest revision, or EI 04-015 (Engineering Instruction).
5. Any special conditions and restrictions as may be imposed by the Resident Engineer or the Regional Geotechnical (Soils) Engineer.

# STANDARD CONDITION AND OBLIGATION FOR HIGHWAY WORK PERMITS WINTER WORK

## PAVEMENT REPLACEMENT REQUIREMENTS

Since Asphalt Plants are closed in the Winter, Temporary Pavement Replacements shall be as per the NYSDOT Residency Permit Inspector or Resident Engineer. Permittee **must monitor and maintain** the Temporary Pavement Replacement.

Temporary Pavement Replacements are required to be Replaced In-Kind in the Spring when the weather allows NYSDOT Standard Specifications to be met.

There may be different material requirements, pavement / subbase courses and total pavement / subbase thickness for the different pavement areas. All areas are required to be Replaced In-Kind as per the NYSDOT Residency Permit Inspector or Resident Engineer. Types of pavement areas are as follows:

1. State Highway Travel and Turning Lanes Pavement
2. State Highway Shoulder Pavement
3. Commercial Driveway Entrances to a State Highway
  - a. If minor commercial driveway entrance has more pavement than shoulder, commercial driveway pavement is used for driveway apron / turning area across the shoulder.
  - b. Major Commercial Driveway Entrances typically have the same amount of pavement as State Highway Travel and Turning Lanes due to volume of traffic and truck traffic using the entrance.
4. Public Road and Subdivision Entrances to a State Highway  
See comments for commercial driveway entrances - small subdivisions may be similar to minor commercial.
5. Residential Driveway Entrances to a State Highway  
If shoulder has more pavement than residential driveway entrance, shoulder pavement is used for shoulder area and residential driveway pavement begins at back edge of shoulder.

All Pavement Cross Slopes and Driveway Profiles shall be maintained or can be corrected (depending on extent of the utility work) As Ordered By the NYSDOT Residency Permit Inspector or Resident Engineer (AOBE).

**Permanent Pavement Replacements for Underground Utilities shall be as per NYSDOT Highway Design Manual Chapter 13 Appendix 13C, "Requirements For The Design And Construction Of Underground Utility Installations Within The State Highway Right-Of-Way" (aka Blue Book), latest revision or EI 04-015 and EI 04-015 Drawings:**

- |         |   |
|---------|---|
| DWG. 7  | BACKFILL AND PAVEMENT STRUCTURE REPLACEMENT DETAILS<br>FOR FULL DEPTH REPAIR OF UTILITY CUTS<br>IN EXISTING PORTLAND CEMENT CONCRETE (PCC) PAVEMENT |
| DWG. 8  | BACKFILL AND PAVEMENT STRUCTURE REPLACEMENT DETAILS<br>FOR FULL DEPTH REPAIR OF UTILITY CUTS<br>IN EXISTING HOT MIX ASPHALT (HMA) PAVEMENT          |
| DWG. 9  | BACKFILL AND PAVEMENT STRUCTURE REPLACEMENT DETAILS<br>FOR UTILITY KEYHOLE AND BELLHOLE CUTOUTS   |
| DWG. 10 | PLACING "CONTROLLED LOW STRENGTH MATERIAL (CLSM)"<br>BACKFILL AT EXISTING UTILITIES   |

**Permittee must make arrangements with the NYSDOT Residency Permit Inspector or Resident Engineer for Field Visit to ensure Pavement Replacement is done to correct thickness.**

# RURAL HIGHWAY

TAST-C4R

## Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck, with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle set-up will add to the safety of the work area. The buffer space is from the end of the lane taper to the beginning of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if the anticipated work duration is less than 4 hours. If used, State Law sign to be placed 300-500 FT. In advance of initial warning sign.

Speed Limit (Mph)	Buffer Space	Roll Ahead Distance
30	200' (5 Skip Lines)	40' (1 Skip Line)
35	250' (~6 Skip Lines)	40' (1 Skip Line)
40	305' (~8 Skip Lines)	40' (1 Skip Line)
45	360' (9 Skip Lines)	80' (2 Skip Lines)
50	425' (~11 Skip Lines)	80' (2 Skip Lines)
55	495' (~13 Skip Lines)	80' (2 Skip Lines)



G20-2  
36x18 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.



W20-1  
36x36 in.



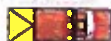
W21-5  
36x36 in.



Work Area



Arrow Panel  
(Caution Mode)



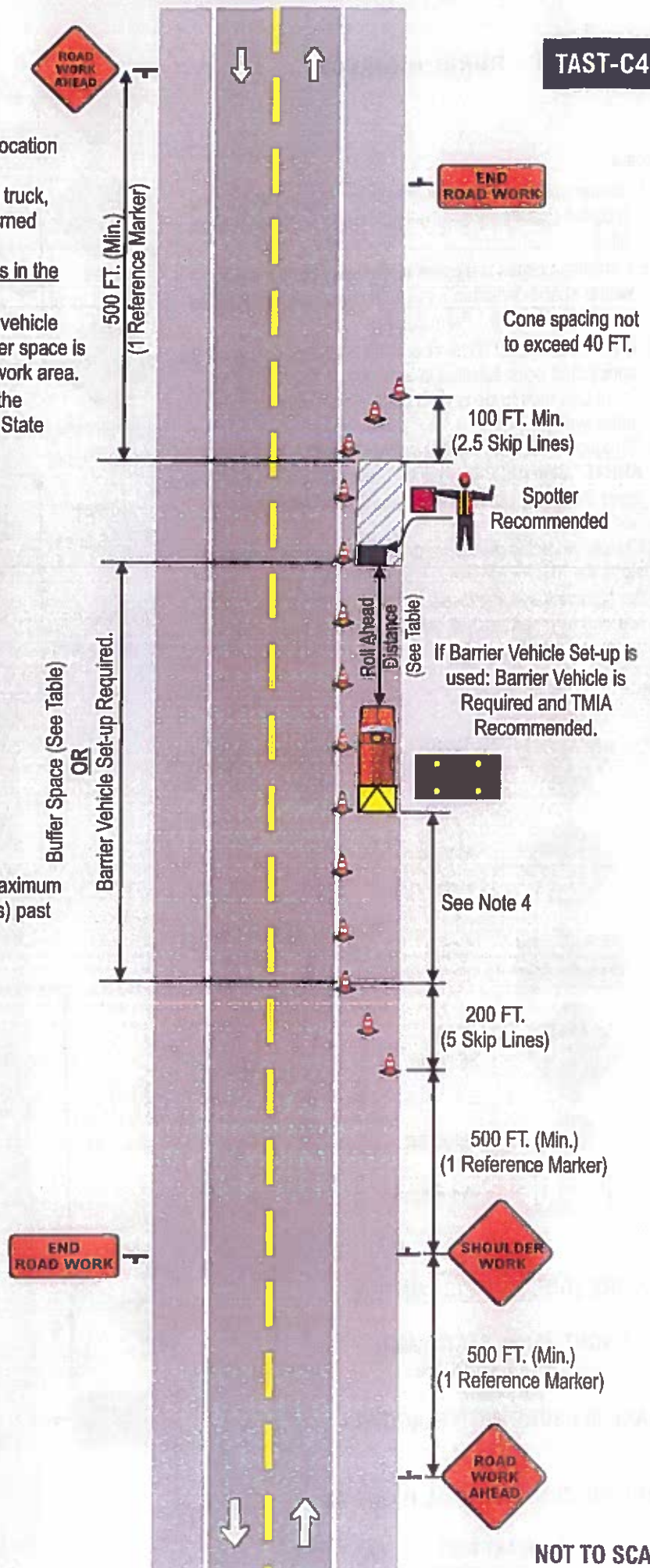
Barrier Vehicle with TMIA

## NYSDOT WORK ZONE TRAFFIC CONTROL

**SHORT-TERM STATIONARY  
OPERATION INVOLVING  
SHOULDER CLOSURE  
(PAVED SHOULDER 8 FT. OR WIDER)  
ON  
RURAL  
TWO-LANE CONVENTIONAL HIGHWAY**

FEBRUARY 2009

TAST-C4R



NOT TO SCALE



# RURAL HIGHWAY

TAST-C1R

## Notes:

1. Barrier vehicles are not required for flagging operations. A buffer space may be provided where traffic conditions allow.
2. Centerline cones are optional and may be eliminated where space constraints exist. If cones are used, place them 100 FT. (Min.) From flagger.
3. State Law signs (NYR9-11 or NYR9-12) are optional if the anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.
4. Flagger Symbol Sign (W20-7a) and "ONE LANE ROAD AHEAD" Sign (W20-4) shall be removed, covered or turned away from road users when flagging operations are not occurring.
5. Should the traffic queue up prior to the advance warning signs the "BE PREPARED TO STOP" sign can be added to the sign series at the location shown or the entire advance warning sign series shall be moved to a location prior to the queued traffic.



W20-7a  
36x36 in.



W3-4  
36x36 in.



W20-4  
36x36 in.



G20-2  
36x18 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.



W20-1  
36x36 in.



Flag tree



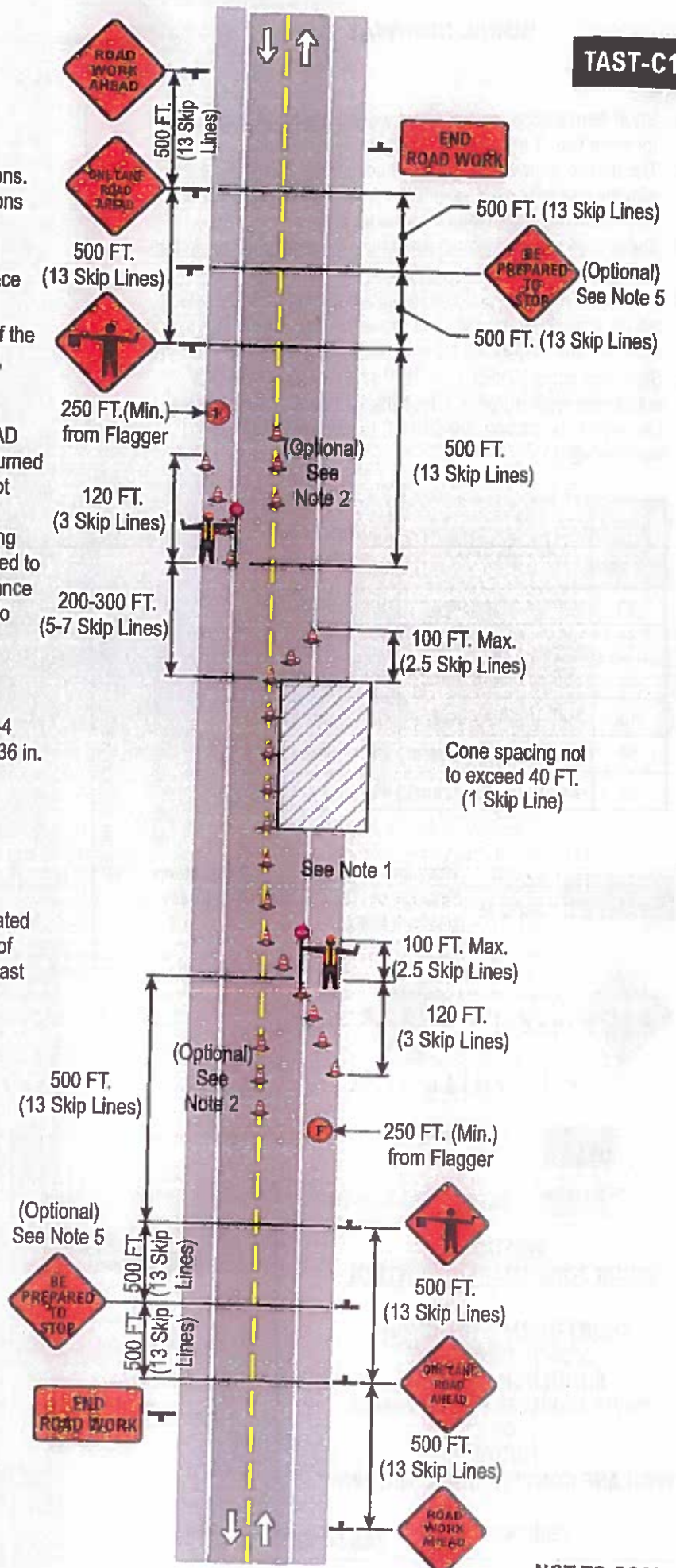
Work area

## NYSDOT WORK ZONE TRAFFIC CONTROL

SHORT-TERM STATIONARY  
OPERATION INVOLVING  
DAYTIME  
LANE CLOSURE WITH FLAGGERS  
ON  
RURAL  
TWO-LANE CONVENTIONAL HIGHWAY

FEBRUARY 2009

TAST-C1R



NOT TO SCALE

# **METHOD OF PERFORMING WORK WITHIN THE STATE HIGHWAY RIGHT OF WAY**

## **I. GENERAL CONDITIONS**

These conditions and regulations apply to Highway Work Permits authorizing work within the State highway right-of-way for water mains, gas mains, sewer lines and miscellaneous structures. General conditions apply to telephone and telegraph installations as well as specific conditions on the setting and resetting of poles. These conditions, and any special conditions which are added to this form, are enforceable by the Department of Transportation.

### **A. TIME**

1. Work under the permit shall be commenced within thirty (30) days from the date of permit issuance unless a later starting date is approved by the Regional Traffic Engineer.

### **B. REQUIREMENTS**

All the current requirements of the following shall apply: Occupational Safety and Health Administration, Federal Department of Labor, Safety and Health Standards (29 CFR 1926/1910); Part 131, Title 17, New York Code of Rules and Regulations, Accommodation of Utilities Within State Right-of-Way; New York State Department of Labor, Industrial Code Rule 23, Protection of Persons Employed in Construction and Demolition Work; Industrial Code Rule 53, Construction, Excavation and Demolition Operations At Or Near Underground Facilities.

Temporary soil erosion and water pollution controls shall be used as required. The final decision on the method of underground installation will be made by the Regional Director or his representative.

#### **1. Work Within Pavement and Shoulder Areas**

- a. Installations that cross the pavement and shoulder area. Wherever practical, all underground installations shall be placed beneath the pavement and shoulder areas without disturbance to these paved surfaces.

##### **1) Boring, Jacking, and Tunneling Methods**

###### **DESIGN**

- a) The location of all excavations (jacking pits, etc.) shall be shown in plan and profile.
- b) The soil profile and groundwater conditions shall be determined by adequate subsurface exploration.
- c) The location of all other existing utilities shall be shown.
- d) The construction equipment and procedures to be used shall be described in the permit application.
- e) The design of all excavations, including ground and surface water control where necessary, shall be made available for review by the Department.
- f) The underground installation shall be described in detail, i.e. size, length, depth, material, provisions for grouting, etc.
- g) Pipes shall generally be enclosed in sleeves or larger pipes. Small diameter services (2 inch I.D. or smaller) may be placed without sleeving at the discretion of N.Y.S.D.O.T.
- h) The limits of an open excavation shall not be closer than 10 feet to the edge of the pavement unless approved by the Department. Open excavations shall be protected with the required controls for safety and for the maintenance and protection of traffic in accordance with the New York State Department of Transportation, Manual of Uniform Traffic Control Devices.

###### **CONSTRUCTION**

- a) Grouting operations may be required if surface settlement, loss of soil or voids around the pipe develop. When grout is required, it shall consist of 1 part cement to 2 parts sand, by volume, and sufficient water to produce a consistency suitable for placing the grout.
- b) Backfill of open excavations shall be as required under 2.) f) Open Excavation Method.

##### **2) Open Excavation Method**

###### **DESIGN**

- a) The location of all pavement crossing by the open excavation method shall be shown in plan and profile.
- b) The soil profile and groundwater conditions shall be determined by adequate subsurface exploration.
- c) The location of all other existing utilities shall be shown.
- d) The design of all excavations, including ground and surface water control where necessary, shall be made available for review by the Department.
- e) When requested, the construction equipment and procedures to be used shall be described in the permit application.
- f) Pipe installations shall be done according to the requirements of the appropriate New York State Department of Transportation's Standard Sheets. The required granular material shall meet the material requirements for Select Granular Fill in the current New York State Department of Transportation's Standard Specifications including addenda. Exceptions will only be allowed if prior approval is granted by the Regional Soils Engineer.
- g) Pavement shall be saw cut at termination points of pavement replacement.

###### **CONSTRUCTION**

- a) Pavement and shoulder removal shall be done in a manner that provides for proper restoration of the replacement section. Straight, vertical cuts of the pavement will be required. Pavement surfaces that become undermined shall be cut back and removed. Alternative repair methods may be used if prior approval is granted.
- b) The backfill material shall be placed and compacted according to the requirements for backfilling structures, culverts, pipes, conduits and direct burial cable described

## **IV. ADDITIONAL SPECIAL CONDITIONS AND SKETCHES - See Attached Sheet.**

A. In addition to the aforementioned conditions, if it is found necessary by this Department to add to or otherwise modify the same, it is to be understood such changes shall form a part of the permit and be complied with immediately upon notice.

## **III. SPECIAL CONDITIONS**

1. If necessity arises in future, because of work on the highway, to relocate, replace or re-set poles, cables or conduits, said work shall be done at the expense of the applicant.

## **B. RESETTling POLES**

5. Where telegraph and telephone wires cross high tension power lines, electric light or trolley wires, special precaution shall be taken to maintain proper clearance under the worst condition of temperature and loading.

4. Poles shall be of sufficient length to provide a clearance of not less than eighteen feet between the wire and the crown of the highway, under the worst conditions of temperature and loading. They shall be set in line and properly plumbed. The guying to trees, unless by special permission of owner, special precautions shall be taken on curves and where lines cross from one side of highway to the other. Poles shall be straight, sound, and the fittings shall be of sufficient strength to carry wires under the worst condition of loading (ice, wind, etc).

3. In case it is found necessary to trim trees within the boundaries of the highway, the least possible amount shall be done, and in all cases the consent of the abutting property owner must be secured before the poles are set and trees trimmed.

2. There shall be no obstruction to private driveways, connecting highways or roads, paths or sidewalks.

REVERSE

b. Boring, Jacking, and Tunneling Methods

a) All the requirements of B.1. a. 1.) DESIGN a) through f) shall apply.

b) Open excavations shall be protected with the required controls for safety and for the maintenance and protection of traffic in accordance with the New York State Department of Transportation, Manual of Uniform Traffic Control Devices.

CONSTRUCTION

a) All the requirements of B. 1. a. 1.) CONSTRUCTION shall apply.

C. SUBBASE, PAVEMENT AND SHOULDER REQUIREMENTS (including manholes)

1. Subbase

a. The subbase course shall be a minimum of 12 inches thick unless otherwise approved. The material shall meet the requirements of current Department of Transportation subbase course item as specified by the Regional Soils Engineer.

b. Under the permit, construction which adversely affects the subsurface drainage of the pavement structure shall be corrected by the addition of surface or subsurface drains, as required.

2. Pavement and Shoulders

a. Permanent

The replaced pavement shall be similar to the existing pavement in composition and texture. The selection of the material type and composition shall be subject to the approval of the Regional Director or his representative. The limit of pavement replacement shall be such that the replaced pavement is supported by thoroughly compacted subbase material and the pavement is restored to the proper grade, cross-slope and smoothness.

When bituminous concrete mixtures are required for the pavement replacement, the layers shall consist of one or a combination of mixture types contained in Table 401-1, Composition of Bituminous Plant Mixtures in Section 401 of the New York State Department of Transportation's Specification, including addenda. The mixture shall be placed at the proper temperature, without segregation, and compacted thoroughly.

When portland cement concrete mixtures are required for pavement replacement, the mixtures shall consist of either Class C or Class F as contained in Table 501-3, Concrete Mixtures in Section 501 of the New York State Department of Transportation's Specifications, including addenda. Class F is a high early strength mixture and should be used when early opening to traffic is desired.

The concrete mixtures shall be placed without segregation, then consolidated, finished to the proper elevation, and textured. Curing the concrete pavement shall be in accordance with one of the methods permitted in Section 502 pertaining to curing.

Pavement shoulders, curbs, gutters and other incidental features shall be replaced in kind unless otherwise approved by the Regional Director or his representative.

b. Temporary

Pavement that is replaced temporarily may be paved with either a hot bituminous concrete mixture mentioned above or a cold bituminous patching mixture. When a cold patching mixture is used it shall consist of aggregate and bituminous material proportioned and mixed in a bituminous mixing plant or rotating paddle shaft pugmill. Regardless which patching mixture is used it shall be laid on a prepared foundation and thoroughly compacted. Since cold bituminous patching mixtures are subject to distortion by traffic, the temporary patch shall be maintained to provide a smooth surface until the pavement is permanently replaced.

3. Manholes

Manhole frames and covers shall have sufficient structural adequacy to support the roadway traffic. The type of manhole frame and cover shall be approved by the Regional Director or his representative. The manhole frame shall be set flush with the surface of the roadway unless otherwise permitted by the Regional Director or his representative.

D. MAINTENANCE AND PROTECTION OF TRAFFIC

1. Traffic is to be maintained at all times during the progress of this work and adequate signs, barricades and lights shall be provided in accordance with the provisions of Sub-chapter H of the N.Y.S. Department of Transportation's Manual of Uniform Traffic Control Devices. A maintenance and protection of traffic plan may be required. No lanes shall be closed without prior approval.

2. The applicant shall erect and maintain suitable barricades around all trenches while work is in progress for the protection of the public, and they shall be suitably lighted by yellow lights at night. The work shall be carried on in such manner that not more than 100 feet of trench in earth remains open at end of day's work.

3. No pavement cuts are to be left unfilled over night, except in emergencies, and in such cases, adequate precautions must be exercised to protect traffic. Prior approval must be obtained to use steel plating.

4. No construction materials or equipment shall be left on the shoulders or pavement after working hours, nor shall any construction equipment or material be placed in any manner or location that will obstruct highway or railroad warning signs.

5. All open trench in the highway right-of-way shall be barricaded. There shall be conspicuously displayed bright red flags no less than 24" x 24" attached to such barricades and illuminated at night with flashing yellow lights. If in the judgment of the representative of the Commissioner of Transportation, flagmen are necessary, they shall be employed by the permittee and on duty at all times during the progress of the work so as to direct traffic and maintain yellow flashing lights, etc.

6. Soft shoulder signs of adequate size, not less than 24" square, shall be erected and maintained on all backfill trenches within the shoulder area until the backfill is thoroughly settled. These signs shall be located at the beginning of each section of work at intersections and at a distance not greater than 1000 feet apart.

7. During winter conditions highway shoulders shall be maintained free of obstructions which would interfere with snow removal and ice control.

8. The permittee shall keep the traveled way free of foreign objects such as rocks, timber and other items that may fall from transporting vehicles. Spillage of material carried by or dropped from the under-carriage of any carrying vehicle resulting from the permittee's hauling operations along or across any public traveled way shall be removed immediately and such traveled way, both within and outside of the work limits, shall be kept free of such spillage by the permittee.

E. COMPLETION OF WORK

1. All work is to be performed in a manner approved by the Resident Engineer of the State Department of Transportation.

2. All disturbed areas shall be returned to their original condition in a manner satisfactory to the Commissioner of Transportation or his representative.

3. The permittee shall be required to restore shoulders and ditches and clean up the highway as his work progresses. All driveways shall be restored with material in kind and to their original conditions.

4. All surplus earth and rubbish shall be cleaned up and removed from the highway right-of-way upon completion of the work, and the highway left in a neat and orderly condition.

5. As built plans showing final grade of new installation and existing underground facilities encountered shall be provided to N.Y.S.D.O.T. if variation from approved design plans occurred during construction.

F. NECESSITATED FUTURE WORK

1. The applicant agrees, that any present or future injury to or disturbance of the highway, its slopes or gutters, caused by placing mains and service pipe shall be repaired by the applicant at his own expense and in accordance with the requirements of the State Department of Transportation.

2. If necessity arises in the future because of the work on the State Highway system and/or its structures, requiring the removal, relocation or replacement of the installation authorized by the permit, said work shall be done as directed by the Commissioner or his representative, and all cost and expense so incurred shall be the obligation of the said permittee or his successor in interest.

II. TELEPHONE - TELEGRAPH INSTALLATIONS

A. SETTING OF POLES



## Form PERM 33 (July 2015) Highway Work Permit Application for Non-Utility Work

### Instructions and Form

*(For Commercial Driveways, use Form PERM 33-COM)*

### INSTRUCTIONS FOR COMPLETING THE APPLICATION

#### FRONT OF APPLICATION

Three (3) copies of the entire application, work plans and all other supporting documents must be submitted. At the time of application, certain information relative to fees and deposits may be contingent upon determinations to be made by the Department. In such cases, the information may be left blank and remittance withheld until a determination is made.

Please complete the following:

- Permittee name, address, phone and email address. Provide joint applicant contact information, if appropriate. If there are additional applicants, attach contact information on a separate sheet.
- Name and phone number(s) of emergency contact person.
- If permit is to be returned to someone other than the applicant, complete this section.
- If the guarantee deposit or bond is to be returned to someone other than applicant, complete this section.
- Estimate the cost of work being performed in the state highway right-of-way and provide this figure.
- Indicate anticipated duration of work to be performed with starting date and ending date.
- Indicate the form of insurance coverage to be provided.
- Give a brief description of the work that is proposed to be done under this permit.
- Indicate whether any overhead and/or underground work (5 foot or greater depth) is included in the proposed work.
- Plans and specifications should accompany this application for any work that involves construction within the state highway right-of-way. Place a check mark on the lines for plans and specifications if they are attached to this application.
- Location of the project should be identified by State Route, highway reference marker(s), and the municipality and county in which work area is located.
- In regard to State Environmental Quality Review (SEQR), indicate the type of action, the name of the Lead Agency, and what date the final determination was made, if available.
- Signature of applicant and date.
- Signature of second applicant, if any, and date.

#### BACK OF APPLICATION

- Check type of work that will be performed.
- In the appropriate column, indicate total amount of permit fees (Include insurance fee for residential work)
- Indicate type of performance security provided (bond, deposit, letter of credit), if required.
- Indicate check number of deposit or bond number.

## RESPONSIBILITIES OF PERMITTEE PURSUANT TO NON-UTILITY HIGHWAY WORK PERMITS

**NOTE: FAILURE TO OBTAIN A PERMIT OR FAILURE TO COMPLY WITH THE TERMS OF A PERMIT MAY RESULT IN THE DEPARTMENT HALTING THE ACTIVITY FOR WHICH A PERMIT IS REQUIRED UNTIL ADEQUATE CORRECTIONS HAVE BEEN MADE.**

**1. LIMITATIONS ON USE:** The specific site identified in this Highway Work Permit, and only that site identified, will be available for use by Permittee only for the purpose stated in this Permit and only on the date(s) and for the duration designated in this permit. This Permit does not authorize any infringement of federal, state or local laws or regulations, is limited to the extent of the authority of NYSDOT and is transferable and assignable only with the written consent of the Commissioner of Transportation. The Commissioner reserves the right to modify fees and to revoke or annul the Permit at any time, at his/her discretion without a hearing or the necessity of showing cause.

**2. CONDITIONS OF USE:** NYSDOT makes no affirmation that the state-owned site used for the work has been designed, constructed, or maintained for the purpose of the conduct of the work. The Permittee assumes full responsibility for planning and conducting a safe and orderly project that does not expose workers or the public to any unreasonable hazards and that involves a minimal disruption of the normal uses of the state and local highway systems. It shall be the sole obligation of the Permittee to determine whether the site is suitable for the purpose of safely conducting the work. The Permittee assumes all responsibility for assuring that the use of the highway/property conforms to applicable requirements of law, including, but not limited to those set forth herein.

**Permittee agrees to assure compliance with New York Labor Law, industrial regulations, and OSHA regulations, and to assure the safety of all workers who will be engaged to do the permitted work.**

**3. INSURANCE COVERAGE:** Permittee must have the insurance that is required for the type and extent of the work being performed.

**Permittee agrees to maintain liability insurance in full force and effect throughout the term of the highway work permit. Expiration of, or lack of, liability insurance automatically terminates the permit.**

To comply with this requirement, an applicant must furnish the Department with one of the following:

- A completed **Certificate of Insurance** evidencing the required types and limits of insurance coverage, with New York State Department of Transportation named as an additional insured on the commercial general liability policy. An industry standard **ACORD 25** form with an **ACORD 855** Addendum is acceptable evidence of the required coverage. Certificate Holder should be indicated as New York State Department of Transportation, with the address of the issuing office.
- A fully executed **Undertaking Agreement** may be provided by Municipalities, Public Utilities, Transportation Corporations, Public Service Corporations or Railroads, as an alternative to providing proof of commercial general liability the insurance.
- **Homeowners** applying for a residential work permit (driveways, improvements or tree work) and performing their own work have the option to pay a **\$25 Insurance Fee**, and waive the requirement to provide insurance coverage. Any contractor doing work on the homeowner's behalf must be listed on the permit and provide satisfactory proof of insurance as set forth below.

See "PERM 33 Submission Package Requirements" on page 4 for more detailed guidance on insurance coverage.

**4. COMPENSATION AND DISABILITY INSURANCE COVERAGE:** Permittee is required to have compensation insurance and disability coverage as noted in the provisions of the Worker's Compensation Law and Acts amendatory thereof for the entire period of the permit, or the permit will be invalid. Applicant must provide proof of coverage (Form C-105.2, U-26.3 or SI-12 for Worker's Compensation, and DB-120.1 or DB-155 for Disability Benefits), or provide proof of exemption from this requirement (Form CE-200).

**5. INDEMNIFICATION:** Permittee agrees that, in addition to any protection afforded to NYSDOT under any available insurance, NYSDOT shall not be liable for any damage or injury to the Permittee, its agents, employees, or to any other person, or to any property, occurring on the site or in any way associated with Permittee's activities or operations; whether undertaken by Permittee's own forces or by contractor or other agents working on Permittee's behalf. To the fullest extent permitted by law, the Permittee agrees to defend, indemnify and hold harmless the State of New York, NYSDOT and their agents from and against all claims, damages, losses and expenses, including but not limited to attorneys' fees, arising out of any claim, including but not limited to claims for personal injuries, property damage or wrongful death and/or environmental claims, in any way associated with the Permittee's activities or operations, no matter how caused.

**6. NOTIFICATION:** The following should be notified at the appropriate time as shown below:

- Commissioner of Transportation, through the NYSDOT regional office, one week prior to commencing work.
- Area gas distributors, 72 hours prior to any blasting.
- Utility companies with facilities in work areas, before starting work (in accordance with Industrial Code 53).
- Permission from utility company must be obtained before commencing work affecting the utilities' facilities.
- NYSDOT regional signal maintenance shop, 3 days prior to starting work (traffic signal work).
- NYSDOT regional office, at conclusion of work, and return original copy of permit to Resident Engineer.

**NOTIFICATION FOR ANNUAL PERMITS:** Notify by phone, the Regional or Resident Engineer's Office, one week in advance, each time regular maintenance work is to be performed. In emergencies, notification by phone, fax or email should be made as soon as is practical, no later than the next business day.



**7. SITE CARE AND RESTORATION:** A bond, deposit (bank cashier's check), or a Letter of Credit, in an amount designated by the Department of Transportation, may be required before a permit is issued, in order to guarantee restoration of the site to its original condition. A fully executed Undertaking Agreement may be accepted as an alternative security, where applicable. If the Department is obliged to restore the site to its original condition, the costs to the Department will be deducted from the amount of the permittee's deposit at the conclusion of the work. Costs in excess of the bond/deposit on file will be billed directly to the permittee. If permittee posts a Letter of Credit, the Department may elect to have a contractor restore the site, and issue a draft drawn against the Letter of Credit as payment.

- Anyone working within state highway right-of-way must wear **high visibility apparel** and **hard hat** meeting ANSI Class 2 requirements.
- No unnecessary obstruction is to be left on the pavement or the state highway right-of-way, or in such a position as to block warning signs during non-working hours.
- No work shall be done to obstruct drainage or divert creeks, water courses or sluices onto the state highway right-of-way.
- All false work must be removed and all excavations must be filled in and restored to the satisfaction of the Regional Maintenance Engineer.

**8. COSTS INCURRED BY ISSUANCE OF THIS PERMIT:** All costs beyond the limits of any liability insurance, surety deposits, etc. are the responsibility of the permittee. The State shall be held free of any costs incurred by the issuance of this permit, direct or indirect.

**9. SUBMITTING WORK PLANS:** The applicant will submit three (3) copies of work plans and/or maps as required by the Department. This shall include (but not limited to) such details as: measurements of driveways with relation to nearest property corner; location of existing and proposed poles, guide rail, signal equipment, trees or drainage structures; positions of guys supporting poles; a schedule of the number of poles and feet of excavation necessary for completion of work on the State right-of-way. A description of the proposed method of construction will be included.

- Plan work with future adjustments in mind, as any relocation, replacement or removal of the installation authorized by this permit and made necessary by future highway maintenance, reconstruction or new construction, will be the responsibility of the permittee.
- Driveway plans should be prepared in accordance with NYSDOT POLICY AND STANDARDS FOR ENTRANCES TO STATE HIGHWAYS.
- The permittee must coordinate the work with any State construction being conducted.

**10. TRAFFIC MAINTENANCE:** A plan detailing how the permittee intends to maintain and protect traffic shall be submitted with work plans. Traffic shall be maintained on the highway in a safe manner during working and non-working hours until construction is completed. The permittee is responsible for traffic protection and maintenance, including adequate use of signs, barriers, and flag persons during working and non-working hours until construction is completed. All sketches will be stamped with "MAINTENANCE OF TRAFFIC SHALL BE IN CONFORMANCE WITH THE NATIONAL MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES."

**11. COST OF INSPECTION AND SUPERVISION:** Prior to issuance of the Highway Work Permit, the permittee may be required to sign an INSPECTION PAYMENT AGREEMENT FOR HIGHWAY WORK PERMITS (FORM PERM 50) agreeing to the payment of construction inspection charges, based on the number of work days involved. In certain cases, the permittee may also be required to sign a PAYMENT AGREEMENT FOR HIGHWAY WORK PERMITS DESIGN REVIEW (FORM PERM 51) agreeing to design review charges, based on the number of work hours in which Department employees were engaged in design review activity.

**12. SCOPE:**

- **Areas Covered:** Permits issued are for highways, bridges and culverts over which the New York State Department of Transportation has jurisdiction. (Local governments issue permits for highways under their jurisdiction.) Work locations must be approved by the Department.
- **Maintenance:** Unless noted otherwise, applicant shall be fully responsible for the maintenance of all items installed and/or altered as shown on the approved permit plans and documents. Property owners having access to a state highway shall be fully responsible for the maintenance of their driveway in accordance with POLICY AND STANDARDS FOR ENTRANCES TO STATE HIGHWAYS.
- **Work Commencement:** The Permittee shall have a copy of the permit available at the site during the construction period. Work should start within 30 days from validation date of permit or said permit may be revoked.

**13. REPORTING ACCIDENTS:** Permittee is required to report any accidents that occur during the course of the permit work to their insurance company, and to provide the Department with a copy of any such report.

**14. COMPLETION OF PROJECT:** Upon completion of the work within the State highway right-of-way authorized by the work permit, the person and his or its successors in interest shall be responsible for the maintenance and repair of such work or portion of such work as set forth within the Terms and Conditions of the Highway Work Permit.

## PERM 33 Submission Package Requirements

**Submit three (3) copies of the final submission package: Submission package must include the entire PERM 33 with all work plans and supporting documents, including the following (check all that apply):**

<input type="checkbox"/>	Stamped Final Plans – Submit in PDF file format on CD, with three (3) paper copies (1" = 50'), or as requested
<input type="checkbox"/>	ACORD 25 - Certificate of Insurance, with NYSDOT named as Additional Insured (See line 3 below).
<input type="checkbox"/>	ACORD 855 - New York Construction Certificate of Liability Insurance Addendum (See line 3 below).
<input type="checkbox"/>	PERM 1, 2, 6 or 16 - Undertaking Agreement, if applicable (See line 4 below).
<input type="checkbox"/>	PERM 36 - Attachment to Highway Work Permit – Consultant Inspection, if applicable
<input type="checkbox"/>	PERM 44 - Surety Bond – Performance bond in Applicant's name, or deposit (Bank cashier's check required)
<input type="checkbox"/>	PERM 50 – Inspection/Supervision Payment Agreement, if applicable
<input type="checkbox"/>	Proof of Worker's Compensation Insurance (Form C-105.2, U-26.3 or SI-12), or proof of exemption (Form CE-200)
<input type="checkbox"/>	Proof of Disability Benefits Coverage (Form DB-120.1 or DB-155), or proof of exemption (Form CE-200)
<input type="checkbox"/>	Permit Fee (Include \$25 Insurance Fee for residential operations)
<input type="checkbox"/>	Other (specify):

### Insurance Requirements

- 1) In most cases, Permittee must provide proof of **Commercial General Liability** insurance coverage with limits of liability not less than **\$1,000,000** per claim/occurrence, unless any of the following circumstances exist, in which case the limits of liability shall not be less than **\$5,000,000** per claim/occurrence:
  - (a) The estimated value of permitted work in state right-of-way is \$250,000 or more (see line 6 below);
  - (b) The permitted work requires or includes the construction, alteration or maintenance of underground features at any depth five feet or more below grade;
  - (c) The permitted work requires or includes the construction, alteration or maintenance of overhead features that include, but are not limited to, traffic signals, overhead sign structures, retaining walls or other grade separation structures.
- 2) Exceptions to the above liability limits include: (a) Annual maintenance permits require limits of liability not less than \$5,000,000 per claim/occurrence; (b) Permits for vegetation control activities require limits of liability not less than \$1,000,000 per claim/occurrence; (c) Residential driveway permits require limits of liability not less than \$500,000 per claim/occurrence; and (d) Adopt-a-Highway permits are exempt.
- 3) **ACORD 25** with **ACORD 855** (New York Construction Addendum) shall be submitted as an acceptable proof of liability coverage. New York State Department of Transportation should be named as Additional Insured and as the Certificate Holder at the address of the issuing office.
- 4) Municipalities, public utilities, public authorities and railroads may elect to provide a fully executed Undertaking Agreement as a substitute for providing proof of insurance coverage, or any other financial security otherwise required.
- 5) Homeowners may pay a \$25 Insurance Fee in lieu of providing proof of insurance, however any contractor performing on behalf of a homeowner and who is named on the permit must provide proof of insurance as outlined above.
- 6) When the estimated cost of work being performed in the right-of-way equals or exceeds \$250,000, Permittee must additionally provide proof of a **Protective Liability (OCP)** insurance policy with a minimum liability limit of \$1,000,000 per occurrence, with New York State Department of Transportation as Named Insured.

**Permittee agrees to maintain liability insurance in full force and effect throughout the term of the highway work permit. Expiration of, or lack of, liability insurance coverage automatically terminates the permit.**

**For more information on insurance requirements, go to: [www.dot.ny.gov/permits-insurance](http://www.dot.ny.gov/permits-insurance)**

STATE OF NEW YORK DEPARTMENT OF TRANSPORTATION  
HIGHWAY WORK PERMIT APPLICATION FOR NON-UTILITY WORK

Application is hereby made for a highway work permit:

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Applicant Phone (\_\_\_\_) \_\_\_\_\_

Applicant Email Address \_\_\_\_\_

Emergency Contact \_\_\_\_\_

Emergency Phone (\_\_\_\_) \_\_\_\_\_

RETURN PERMIT TO: (if different from Permittee)

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

For Joint application, name and address of Applicant 2 below:

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Applicant 2 Phone (\_\_\_\_) \_\_\_\_\_

Applicant 2 Email Address \_\_\_\_\_

RETURN DEPOSIT/BOND TO: (if different from Permittee)

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

DESCRIPTION OF PROPOSED WORK: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Estimated cost of work being performed in highway right-of-way: \$ \_\_\_\_\_

Anticipated duration of work: From \_\_\_\_\_ to \_\_\_\_\_ (applies to the operations indicated on the reverse side)

WILL OVERHEAD OR UNDERGROUND (5'+) OPERATIONS BE INVOLVED IN THE PROPOSED WORK? YES \_\_\_\_ NO \_\_\_\_

ATTACHED: Plans \_\_\_\_\_ Specifications \_\_\_\_\_

LOCATION: State Route: \_\_\_\_\_ Located Between Reference Markers \_\_\_\_\_ and \_\_\_\_\_

City/Town/Village of \_\_\_\_\_ County of \_\_\_\_\_

SEQR REVIEW (select one)

[ ] Type II [ ] Type I [ ] Unlisted LEAD AGENCY: \_\_\_\_\_ DATE OF DETERMINATION: \_\_\_\_\_

Insurance (check one): \_\_\_\_\_ General Liability Insurance \_\_\_\_\_ Undertaking \_\_\_\_\_ Insurance Fee (residential operations only)

**NOTE: PERMIT IS ISSUED CONTINGENT UPON ALL LOCAL REQUIREMENTS BEING SATISFIED**

**ACKNOWLEDGMENT:** ON BEHALF OF THE APPLICANT, I HEREBY REQUEST A HIGHWAY WORK PERMIT, AND DO ACKNOWLEDGE AND AGREE TO THE RESPONSIBILITIES OF PERMITTEE AND THE OTHER OBLIGATIONS SET FORTH IN THIS PERMIT AND WARRANT COMPLIANCE THEREWITH.

Applicant Signature \_\_\_\_\_

Date \_\_\_\_\_

Applicant 2 Signature \_\_\_\_\_

Date \_\_\_\_\_

Approval recommended by Resident Engineer _____	Res No _____ Date _____
Approved by Regional Traffic Engineer _____	Reg No _____ Date _____

Operational Type and Description		Permit Fee	Insurance Fee	Total Fees
<b>DRIVEWAYS</b>				
5a1	Residential Driveway (includes field entrances)	15	25	
5a6	Temporary access road or street	200		
For Commercial Driveways and subdivisions streets, use form <b>PERM 33-COM</b>				
<b>IMPROVEMENTS</b>				
5b1	Residential	15	25	
5b2a	Commercial- Sidewalk, curb paving, drainage, etc.	200		
5b2b	Commercial – Grade, seed, improve land contour, clear brush	100		
5b2c	Commercial – Resurface existing road or driveway	50		
5b2d1	Annual resurfacing of roadways and driveways – PER COUNTY	150		
	Number of counties:			
5b2d2	Annual resurfacing of roadways and driveways – PER REGION	400		
<b>TREE WORK</b>				
5c1	Residential	15	25	
5c2a	Commercial removal or planting	25		
5c2b	Commercial pruning, applying chemicals to stumps	25		
5c3	Vegetation control for advertising signs – PER SIGN	150		
	Number of Signs:			
<b>MISCELLANEOUS CONSTRUCTION AND WORK OPERATIONS</b>				
5d1	Beautify ROW (civic groups only)	N/C		
5d2a	Temporary signs, banners, décor (not-for-profit organizations)	N/C		
5d2b	Temporary signs, banners, décor (other organizations)	25		
5d3	Traffic control signals	500		
5d4	Warning and entrance signs	25		
5d5	Miscellaneous – Requiring substantial review (describe below)	400		
5d6	Miscellaneous (describe below)	25		
<b>OTHER TYPES OF HIGHWAY WORK PERMITS</b>				
6	Encroachment caused by DOT acquisition of property	25		
7a1	Compulsory permit required for demolition requested by DOT	N/C		
7a2	Compulsory permit required for moving requested by DOT	N/C		
7b	Improvement to meet Department standards	N/C		
8	Miscellaneous (describe below)	25		
9	Adopt-a-Highway (exempt from insurance requirement)	N/C		
Description of Miscellaneous Operation:				

PERFORMANCE SECURITY (Select one): Guarantee Deposit - Cash [ ] Performance Bond [ ] Letter of Credit [ ]

Guarantee Deposit Amount: \_\_\_\_\_

Guarantee Deposit Check Number or Bond Number \_\_\_\_\_

(To be completed by NYSDOT issuing office)

Project Identification Number \_\_\_\_\_

Highway Work Permit No. \_\_\_\_\_

State Highway (SH) Number \_\_\_\_\_

Record ID Number \_\_\_\_\_