



# DOT ENCROACHMENT SUBMISSIONS USER MANUAL

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# DOT Encroachment Submissions User Manual

## Overview

This manual provides basic instructions for the most common tasks Applicants and NCDOT Reviewers will perform on the Connect NCDOT Permits site:

- Creating and submitting an encroachment
- Adding/Updating document(s) in your submissions
- Creating notifications, alerts and filters

More detailed resources are available in the Encroachment Submissions Help section of Connect NCDOT at <https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx>.

## Applicant Role vs. Reviewer Role

The instructions in this manual apply to both the Applicant and the Reviewer roles. They are considered as two entirely different functions in the Permits site.

The **Applicant Role** is used by vendors and applicants to create an Encroachment Submission and monitor the status of past and current Encroachment Submissions. All content created on the Permits site is specific to the Applicant's NCID. All submittals start at the Division/District level.

While discouraged, it should be noted that when an NCDOT employee uploads an encroachment, the system is designed to send automatic emails to the applicant. In this case, only the NCDOT employee will be notified of any changes. Therefore, the NCDOT employee must notify and/or otherwise communicate with the submitter separately.

The **Reviewer Role** is where NCDOT District Engineers or other designated NCDOT Employees make encroachment additions and/or changes that applicants can view.

## Purpose

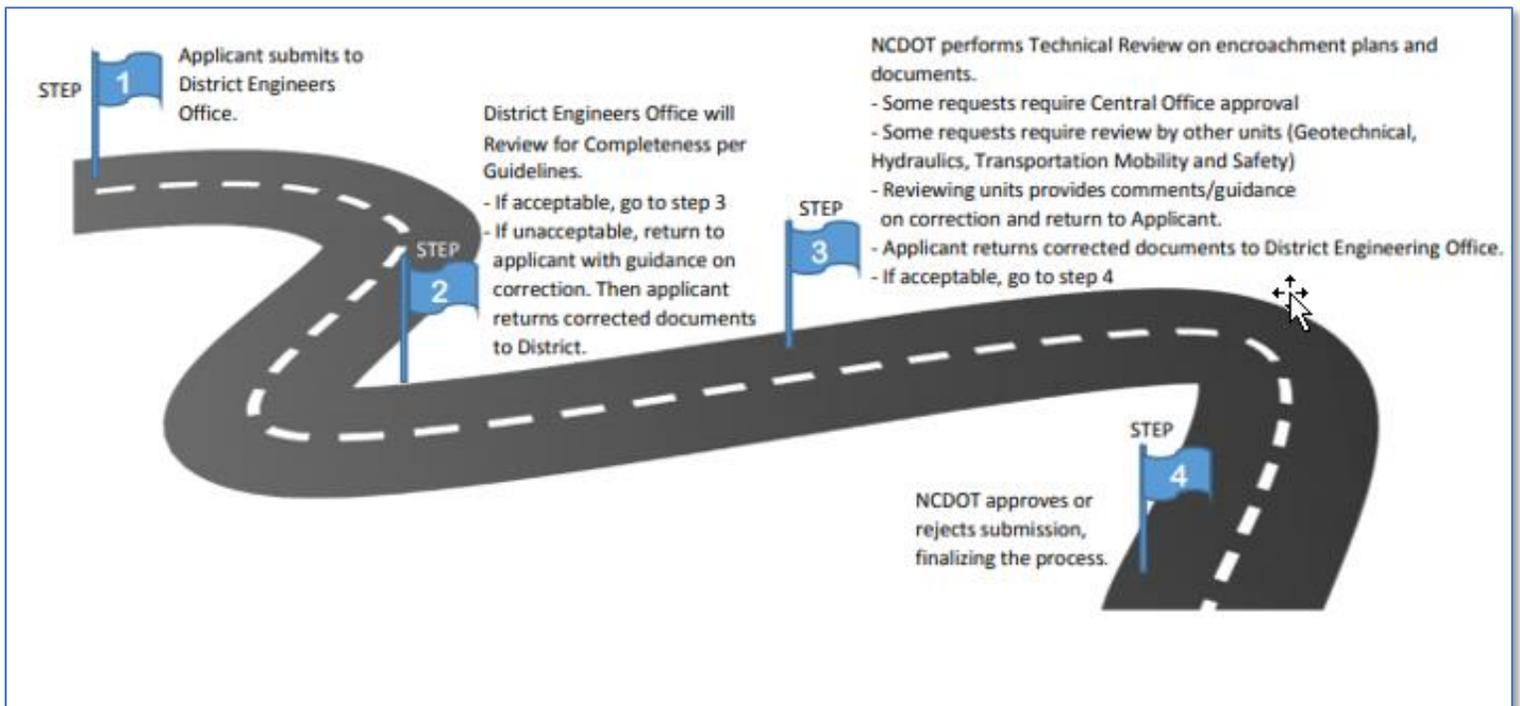
The NCDOT Permits site was created for the following reasons:

- Reduce review time between the Applicant and NCDOT.
- Provide electronic submittal and exchange of Encroachment Submission documentation (e.g. Agreement Form, Plans, Cover Letter, and other supporting documentation as appropriate).
- Track encroachment submittals statewide with abilities specific to user interests, such as by District office, or by Central Utility office encroachments.
- The Applicant and NCDOT can review and monitor the status of an encroachment.
- Monitor the length of time that an encroachment is handled by each office.
- Maintain consistency with the statewide encroachment numbering system.
- Promote environmentally friendliness by reducing hardcopies and paper waste.
- Allow submitters to obtain approved encroachment permit documents after NCDOT approval.

## Encroachment Review Process

To create an Encroachment Submission on the Connect NCDOT site, you'll follow these basic steps:

- Log into the Permits site: <https://connect.ncdot.gov/site/Permits/Pages/default.aspx> using your NCID Username and Password.
- Create a new Encroachment Submission attaching the required documentation (e.g. Signed Agreement, Cover Letter, Plans, Special Studies, etc.).
- Review the email confirmation with the assigned Encroachment ID (e.g. E001-123-19-12345).
- Review the status of the encroachment on the Permits Dashboard.



## Log in to the Permits Site

**IMPORTANT:** To submit encroachments to NCDOT using the Permits site, you first need a Business NCID Username and Password.

- **NCDOT employees**
  - Submit the employee NCID into the form at <https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx>
  - When access has been granted to the Permits site <https://connect.ncdot.gov/site/permits>, you'll receive an email notification from NCDOT.
- **Non-NCDOT employees- New User Registration**
  1. Create your Business NCID account here: <https://ncid.nc.gov/idmdash/#/default> (see Appendix A). An email will be sent to complete the NCID registration process.
  2. Submit the Business NCID created in step one above into the form at <https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx>.

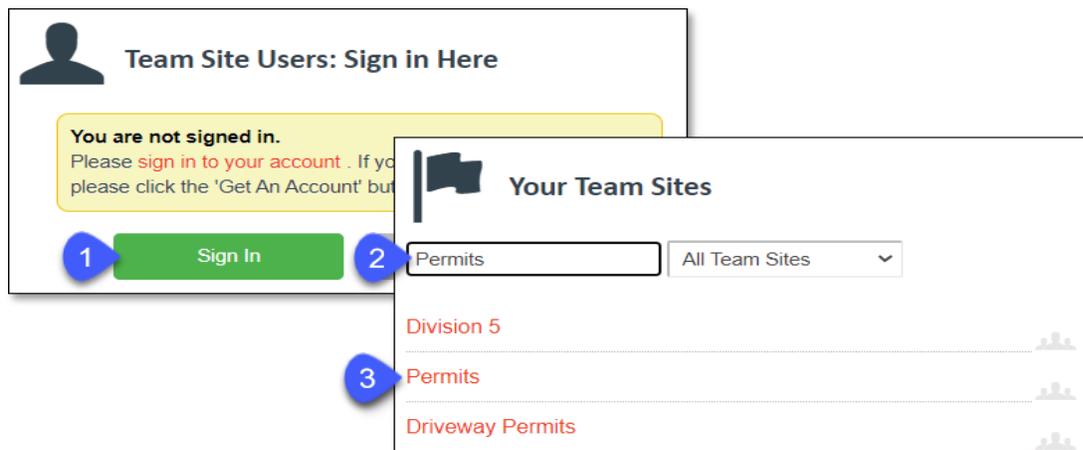
When access has been granted to the Permits site <https://connect.ncdot.gov/site/permits>, you'll receive an email notification from NCDOT.

**IMPORTANT (Non-NCDOT employees):** When you log into the Connect NCDOT site, remember to type *NCID\* before your username (e.g. *NCID\yourusername*).

There are three (3) methods that can be used to access the Permits site:

### Method 1

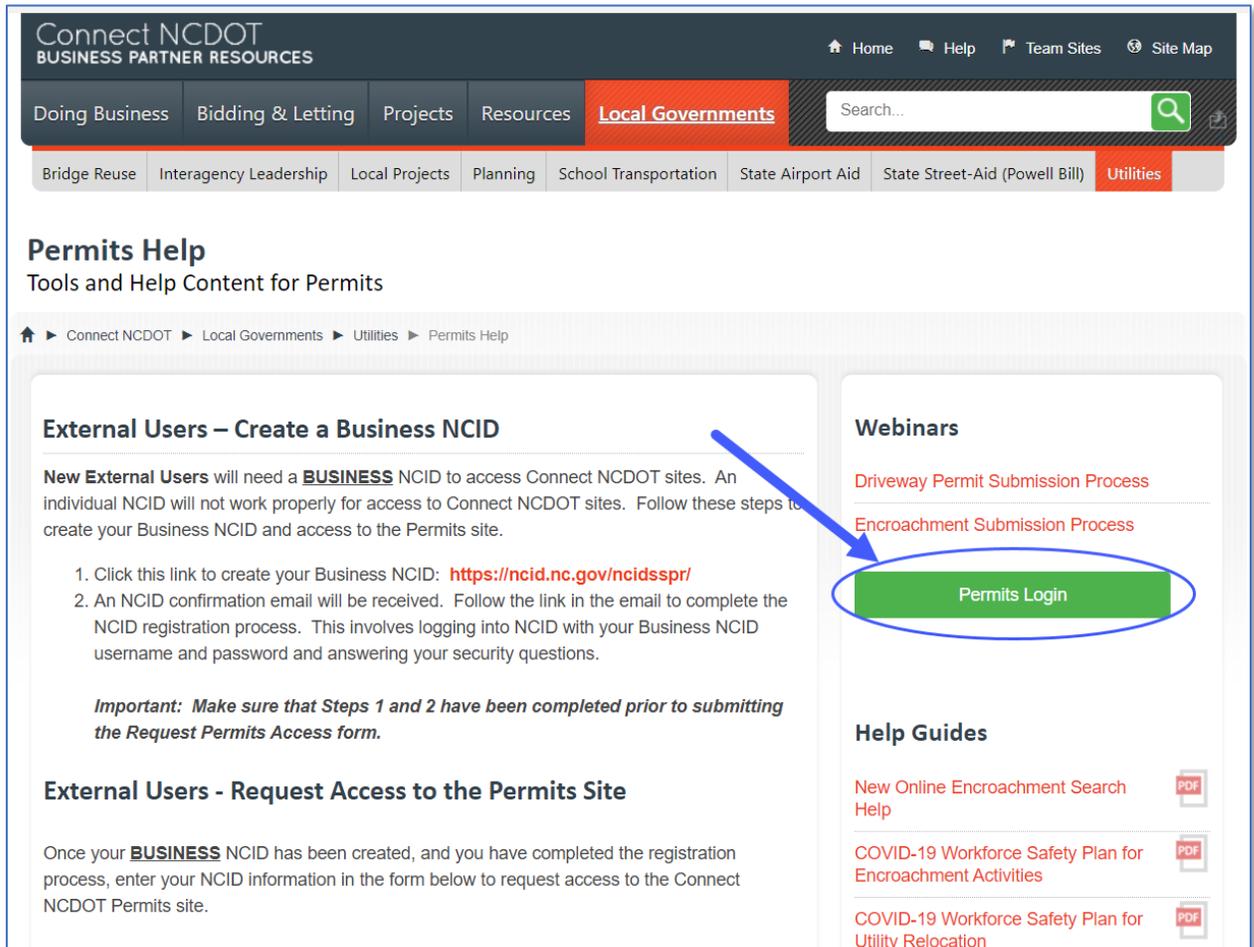
1. Access the NCDOT Connect site: <https://connect.ncdot.gov>
2. Select **Sign In** and type **Permits** in the search bar
3. Select **Permits** from the list of available sites



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## Method 2

1. Access the Utilities Encroachments page:  
<https://connect.ncdot.gov/municipalities/Utilities/Pages/Encroachment-Agreements.aspx>
2. Select the **Login** button



## Method 3

1. Enter **Permits** in the search bar on any Connect NCDOT page

# DOT Encroachment Submissions User Manual

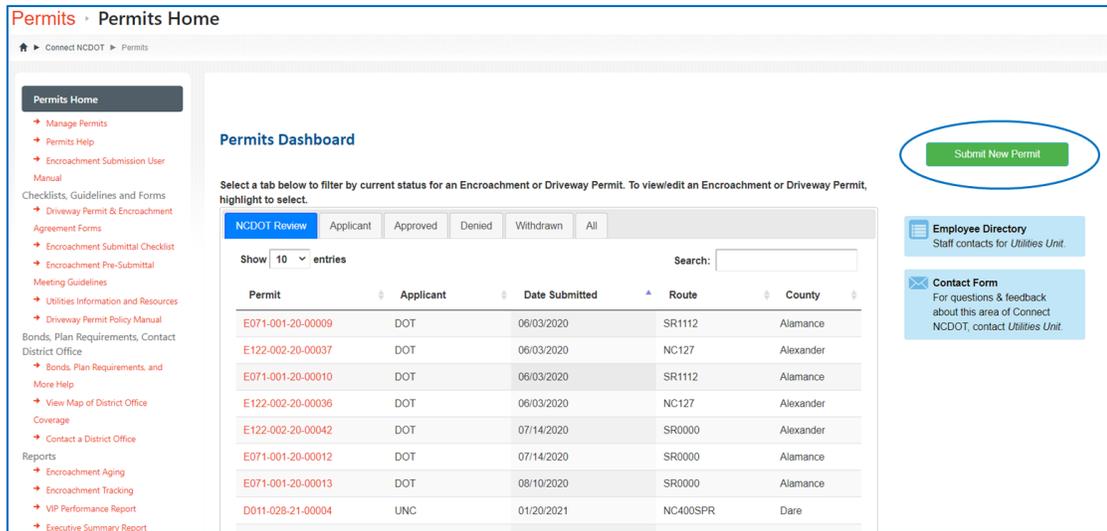
2. Locate and select **Permits** in the list

The screenshot shows the 'Connect NCDOT BUSINESS PARTNER RESOURCES' website. At the top, there is a navigation bar with links for Home, Help, Team Sites, and Site Map. Below this is a search bar containing the text 'permits', with a magnifying glass icon to its right. A blue circle with the number '1' highlights the search bar area. Below the search bar, the 'Search Results' section is displayed. On the left side of the search results, there is a 'Result type' filter menu with the following options: Excel (9,970), PDF (48,903), PowerPoint (239), Web page (4,583), Word (26,537), and Zip (117). Below these options is a 'show more' link. Underneath the 'Result type' menu is an 'Author' filter menu with the following options: System Account (8,974), Lawrence D. Bauder (4,423), Bentley Systems, Incorporated (3,479), NCDOT (3,363), and Hydraulics Unit (2,478). Below these options is another 'show more' link. In the center of the search results, there is a search bar containing 'permits' and a magnifying glass icon. Below the search bar is a dropdown menu set to 'Relevance'. A blue circle with the number '2' highlights the 'Permits' filter option in the search results. Below the search bar, there are two search results listed. The first result is titled 'Z001a\_\_Permits\_Cover\_without\_Permits' and is authored by 'Ernesto Spirito'. The second result is titled 'Services Offered (PSA-10)' and is authored by 'DMV;service-spsnapmgr;Wiggins, Joy'. Both results include a brief description and metadata such as 'Date' and 'Size'.

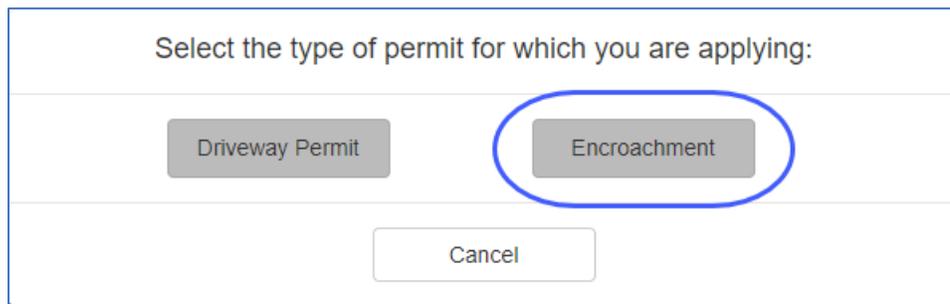
## Submit a New Encroachment

To submit a new encroachment, do the following:

1. Select **Submit New Permit** (green button on right) from the Permits Home page.



2. Select **Encroachment** as the type of permit for which you are applying.



3. Using the table below, complete the input form. Fields denoted with an asterisk (\*) are required.

Field Name	Description
Project ID	Submitter defined information.
County*	In which the encroachment is located. An encroachment must be limited to only one county for proper routing to the correct District Engineer's office for processing.
Agreement*	Specify appropriate encroachment agreement form to be submitted.
Submitter	The submitter's credential should automatically populate based on user access.
2 <sup>nd</sup> Party*	The owner or maintainer of the facility to be installed in NCDOT right of way.
3 <sup>rd</sup> Party	Optional based on form type. The second party becomes an intermediate owner/maintainer and generally will be the entity

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	responsible for the construction. The third party is the eventual owner/maintainer of the installed facility.
Routes*	Enter all applicable NCDOT routes affected by the installation (e.g. US70, US401, NC50, SR1005, etc. Use SR0000 only for new installations located along roads which have not yet been assigned a number by NCDOT.
Local Road Name	e.g. Main Street, Glenwood Ave.
Location*	Brief description of location to assist in finding the location of the installation relative to other nearby highways or other common features.
Contact Person*	Pre-populates based on the Submitter NCID
Contact Phone*	Pre-populates based on the Submitter NCID
Contact Email*	Pre-populates based on the Submitter NCID
Notify Email	Send a notification email to the email address specified when the application is returned, permit approved, permit denied, or permit withdrawn. Separate multiple email addresses with a semicolon.
Design Engineering Contact	If different from the primary Contact Person.
Submitter Comments	Additional information as appropriate

Select a **County** from the dropdown list. The link to the NCDOT Directory for Highway Divisions appears. Provided are the contacts for that specific Division in the event there are any questions.

When construction or utility installation is proposed within the limits of NCDOT right-of-way, an encroachment agreement is required. Use this online form to submit a new encroachment agreement and include all needed forms and documentation. Read the [Utility Encroachment Agreement Form Requirements](#) before beginning.

Project ID

County\* Counties  
 Wake  [Division 5 Contacts](#)

Agreement\* Select Agreement

Submitter DOT 

2nd Party\* Search Applicant, Please read instructions below  
  
 Identify the party entering into agreement with NCDOT on a two party contract; the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)

Routes\* Search Routes...   
  
 Enter routes without spaces or dashes, e.g. SR1234 or US1. Enter SR0000 for missing or non-system routes.

Select the desired **Agreement** from the dropdown list. If an **Agreement** of 16.6 or 16.6A (Three-Party Utility) is selected, an additional field labeled **3<sup>rd</sup> Party** is displayed.

**IMPORTANT: Work covered by an existing Blanket Encroachment (previously approved by the Utilities Unit), can be submitted and managed through this site. It is recommended that a copy of that**

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**blanket agreement is also submitted in the site as an easy reference for NCDOT reviewers for this proposed work to be done. Maps or drawings showing the location and extent of work to be done should be submitted within the Encroachment Submission for approval by the District Engineer. A letter of concurrence (as a form of permission) from the District Engineer must be received by the utility before commencing the work for Blanket Encroachments involving trenching, plowed-in and Cable TV installations under blanket encroachments (Forms 16.3, 16.3A, and 16.4). A letter from the District Engineer is not required for utility service taps and aerial utility crossings and taps (Forms 16.5 and 16.5A)**

When construction or utility installation is proposed within the limits of NCDOT right-of-way, an encroachment agreement is required. Use this online form to submit a new encroachment agreement and include all needed forms and documentation. Read the [Utility Encroachment Agreement Form Requirements](#) before beginning.

Project ID

County \*  
Counties  
Wake

Agreement \*  
Agreement  
16.6 - Three-Party, Utility (Non-C/A)

Submitter  
DOT   
Search Applicant, Please read instructions below

2nd Party \*  
Verizon  
  
Identify the party entering into agreement with NCDOT on a two party contract; the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)

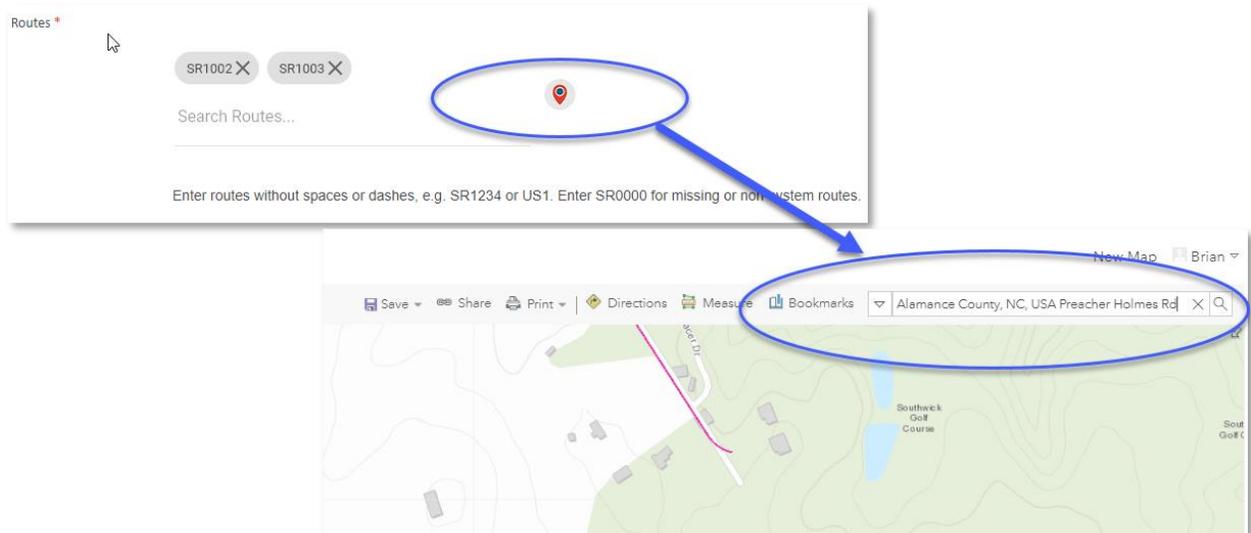
3rd Party \*  
Third Party (if applicable)

Routes \*  
Search Routes...

Enter routes without spaces or dashes, e.g. SR1234 or US1. Enter SR0000 for missing or non-system routes.

Specify the Route(s) associated with this encroachment. When searching, enter the desired route or numeric identifier in the search bar without hyphens or spaces (e.g. I40, US64, NC8, SR2600, or 1234). The list of available routes within the county will be displayed. Select the desired route from the list. If multiple routes are involved, perform the search again and select from the list. To search for a specific route or roadway using ArcGIS, select the location button.

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Enter the **Location** details as to where the installation will occur. Be descriptive as possible. To display an example of a location description hover over the question mark.

The image shows a screenshot of the 'Location' and 'Contact Person' sections of the DOT Encroachment Submissions User Manual. The 'Location' section has a text input field and a question mark icon. A blue arrow points to the question mark icon. A tooltip is displayed over the question mark icon, providing an example of a longitudinal installation location description. The 'Contact Person' section has a text input field with the name 'Brian W. Olpha'.

Location\*

Example of a longitudinal installation location description:  
Beginning approximately 700 feet west of the intersection of Ancroft Ave and SR 1171 (Riddle Rd) south side of SR 1171 (Riddle Rd) for approximately 2800 feet, crossing SR 1171 (Riddle Rd) at SR 1945 (S Alston Ave) and continuing east along the north side of SR 1171 (Riddle Rd) for approximately 1150 feet, crossing SR 1173 (Ellis Rd) and continuing north along the east side of SR 1173 (Ellis Rd) for approximately 900 feet, and terminating at the intersection of SR 1173 (Ellis Rd) and SR 1940 (Glover Rd).

Contact Person

Brian W. Olpha

Contact Person\*

The **Contact** section will prefill based on your NCID login credentials. The Contact Email and Contact Phone can be edited if desired. In the event another individual(s) would like to receive an email notification when the encroachment is approved, denied, or withdrawn, enter the email address(es) in the **Notify Email** field. Separate each email address with a semicolon.

**IMPORTANT:** Please verify that the email address(es) you are providing is accurate.

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Contact Person *	Contact Person Brian W. Oliphant
Contact Phone *	Contact Phone 919-707-2394
Contact Email *	Multiple emails may be specified. Separate email addresses with semicolons. bwoliphant@ncdot.gov
Notify Email	Multiple emails may be specified. Separate email addresses with semicolons. notifyme@myemail.com

Select the signature authorization check box indicating you are authorized to submit an encroachment on behalf of the 2<sup>nd</sup> Party to NCDOT.

By checking this box you are certifying that you are authorized by the 2nd party on the attached encroachment agreement to submit encroachment requests on that party's behalf. You are also certifying that the individual who signed the attached encroachment agreement is authorized by the 2nd party on that agreement to sign encroachment requests on that party's behalf.

4. Select **Attach Documents** to continue. A panel will display that will allow you to attach all supporting documentation (e.g. Cover Letter, Signed Agreement (see instructions for properly submitted agreement form), Plans, engineering calculations, reports, etc.). Use the **Upload** option or drag-and-drop each file using Windows Explorer into the upload panel (red box highlighted below). Only PDF documents will be allowed. When all documentation has been attached, select **Finish** to continue.

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### E051-092-21-00004

Next Action: District

Permits Location: .25 miles south of SR2707

2nd Party: Lennar Carolinas, LLC

Agreement: **16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)**

Design Engineering Contact:

DOT Reviewers:

New DOT Comments:

[View All Properties](#)

[Edit Properties](#)

Please attach all supporting documentation in PDF format (e.g. Signed Agreement, Plans) using Upload, or drag-and-drop each file from your desktop. When all files have been uploaded, select FINISH to continue.

[FINISH](#)

[New](#) [Upload](#) [Sync](#) [More](#)

✓	Name	Modified By	Modified	Created	UtilityType	ID
Drag files here to upload						

[Naming Convention](#) [Encroachment Submission Help](#)

The following message is displayed indicating that the encroachment has been successfully submitted to the NCDOT District Office. Select **Close** to return to the Permits Home page.

**Thank you**

Encroachment successfully submitted! You should receive a confirmation Email with a link to your submission.

[CLOSE](#)

In addition, an email confirmation will be sent from NCDOT indicating that the encroachment has been successfully submitted for review to the NCDOT District Office. This email contains a link to the Encroachment Submission for future reference and/or correspondence with the NCDOT District Office.

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Hello Brian W. Oliphant,

Your encroachment application has been received by the NCDOT. It will be reviewed in a timely manner. Please refer to [E051-092-21-00004](#) on future correspondence. If additional information is required, you will receive a separate notification.

If you have any questions or need further assistance, please contact the Division 05 – District 1 office at 919-733-3213.

Thank you

## Permits Dashboard

Once an encroachment is submitted to NCDOT, the Applicant can determine the current status of an encroachment or view previously approved, denied, or withdrawn encroachments by selecting the respective tab on the Permits Dashboard. Each encroachment will be prefixed with the letter **E** under the Permit column on the dashboard. To view the details or documents associated with the Encroachment Submission, select the desired encroachment. Select the **All** tab to view a list of all Encroachment Submissions.

**Permits Dashboard**

Select a tab below to filter by current status for an Encroachment or Driveway Permit. To view details of an Encroachment or Driveway Permit, highlight to select.

**NCDOT Review** Applicant Approved Denied Withdrawn All

Show 10 entries Search:

Permit	Applicant	Date Submitted	Route	County
E051-092-21-00004	DOT	02/08/2021	SR2707	Wake
E051-092-21-00001	DOT	01/20/2021	NC54	Wake
E051-092-20-00017	DOT	12/08/2020	US1	Wake
E051-092-20-00014	DOT	09/21/2020	US1	Wake
E033-010-20-00015	DOT	09/15/2020	NC904	Brunswick
E023-054-20-00007	DOT	07/28/2020	US258	Lenoir
E021-074-20-00010	DOT	07/14/2020	SR0000	Pitt
E021-074-20-00011	DOT	07/14/2020	SR0000	Pitt
E021-007-20-00016	DOT	07/14/2020	SR0000	Beaufort
E022-016-20-00007	DOT	07/14/2020	SR0000	Carteret

Showing 1 to 10 of 74 entries Previous 1 2 3 4 5 ... 8 Next

## Return to Applicant

Periodically, you as the Applicant may be asked to submit additional documentation (e.g. Signed agreement, Environmental Study, revised plans, etc.) to NCDOT because the initial submission is considered incomplete. To upload additional documentation, do the following:

1. Locate the **Applicant** tab on the Permits Dashboard. Encroachments that have returned to the applicant for additional information will be listed. Select the encroachment from the list.

### Permits Dashboard

Select a tab below to filter by current status for an Encroachment or Driveway Permit. To view/edit an Encroachment or Driveway Permit, highlight to select.

NCDOT Review **Applicant** Approved Denied Withdrawn All

Show 10 entries Search:

Permit	Applicant	Date Submitted	Route	County
E013-094-20-00001	DOT	08/11/2020	SR1112	Washington
E051-092-21-00002	DOT	02/04/2021	SR1321	Wake
E102-060-19-00007	DOT	08/30/2019	NC27	Mecklenburg
E122-002-20-00032	DOT	03/24/2020	US64	Alexander
E143-020-20-00001	DOT	03/24/2020	US74	Cherokee

Showing 1 to 5 of 5 entries Previous 1 Next

Note the current status of the Encroachment Submission and any correspondence from NCDOT in the **New DOT Comments** field. If NCDOT has attached a document(s) for your review, it will be located under the Document(s) View section. To download the document, select the ellipsis (...) to the right of the document, select the ellipsis (...) again, and select Download.

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**E051-092-21-00002**



**E051-092-21-00002** ← **Current Status**

Next Action	Applicant
Permits Location	West side of SR1321 approximately 80 feet north on the intersection of SR1321 and SR3116 (Mills Gap Road)
2nd Party	Dominion Energy
Agreement	16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)
Design Engineering Contact	
DOT Reviewers	
New DOT Comments	Brian W. Oliphant ( Thu Feb 04 2021 14:21:29 GMT-0500 (Eastern Standard Time) ): Please submit a signed agreement for further consideration. Thank you ;

[View All Properties](#)  
[Edit Properties](#)

**SEND BACK TO DOT**

Please attach all supporting documentation in PDF format (e.g. signed Agreement, Plans) using Upload, or Drag-and-Drop

New Upload Sync More

Find a file

Name	Modified By	Modified	Created	Document(s) View
Test Document 10	Brian W. Oliphant	2/4/2021 2:11 PM	2/4/2021 2:11 PM	899

Drag files here to upload

2. Launch Windows Explorer and drag-and-drop each file into the Document(s) View (red box) area. Only PDF documents will be allowed. Within a few seconds each file is uploaded to the Encroachment Submission.
3. To notify NCDOT that the requested document(s) has been uploaded to the Encroachment Submission and is subject to further review, select **SEND BACK TO DOT** (blue button).
4. Enter a comment (optional) associated with the document(s) recently uploaded.

**Are you sure you want to update the encroachment?**

Put your comments below

The requested information has been attached. Thanks!

**CANCEL** **SEND**

5. Select **Send** to continue or **Cancel** to return.

## Edit - Encroachment Submission - Applicant

Information on the Encroachment Submission can be updated after the initial submission (e.g. Agreement, 2<sup>nd</sup> Party, Routes, Contact Phone, Contact Email, Notify Email). However, your role as the Applicant limits you to which tabs and fields can be updated. To update an Encroachment Submission, do the following:

1. Locate the **Applicant** tab on the Permits Dashboard and select the desired encroachment from the list.

**Permits Dashboard**

Select a tab below to filter by current status for an Encroachment or Driveway Permit. To view/edit an Encroachment or Driveway Permit, highlight to select.

NCDOT Review **Applicant** Approved Denied Withdrawn All

Show 10 entries Search:

Permit	Applicant	Date Submitted	Route	County
D082-053-21-00001	Chatlee Boat & Marine	02/02/2021	NC87	Lee
E013-094-20-00001	DOT	08/11/2020	SR1112	Washington
<b>E051-092-21-00002</b>	DOT	02/04/2021	SR1321	Wake
E102-060-19-00007	DOT	08/30/2019	NC27	Mecklenburg
E122-002-20-00032	DOT	03/24/2020	US64	Alexander
E143-020-20-00001	DOT	03/24/2020	US74	Cherokee

Showing 1 to 6 of 6 entries

Previous 1 Next

2. Select **Edit Properties** on the Encroachment Submission welcome page.

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**E051-092-21-00002**

Next Action: Applicant

Permits Location: West side of SR1321 approximately 80 feet north on the intersection of SR1321 and SR3116 (Mills Gap Road)

2nd Party: Dominion Energy

Agreement: 16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)

Design Engineering Contact: [Redacted]

DOT Reviewers: [Redacted]

New DOT Comments: Brian W. Oliphant ( Thu Feb 04 2021 14:21:29 GMT-0500 (Eastern Standard Time) ); Please submit a signed agreement for further consideration. Thank you ;

[View All Properties](#)  
[Edit Properties](#)

**SEND BACK TO DOT**

Please attach all supporting documentation in PDF format (e.g. signed Agreement, Plans) using Upload, or Drag-and-Drop.

Name	Modified By	Modified	Created	UtilityType	ID
Test Document 10	Brian W. Oliphant	2/4/2021 2:11 PM	2/4/2021 2:11 PM		899

Drag files here to upload

- The **Edit Encroachment** page is displayed containing multiple tabs (e.g. Detail, Files, Contacts, Comments, Decision) that are available for view/update. The Detail tab is displayed by default.

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Encroachment ID: E051-092-21-00002      Submit Date: 02/04/2021

Next Action: Applicant

**DETAIL**    FILES    CONTACTS    BOND    MAP    COMMENTS    DECISION

Agreement: 16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)

2nd Party\*: Dominion Energy

Non-System Route:

Permits Location\*: West side of SR1321 approximately 80 feet north on the intersection of SR1321 and SR3116 (Mills Gap Road)

Local Road Name: Pinners Cove Rd

## DOT Encroachment Submissions User Manual

When viewing/updating the Encroachment Submission, think about the task at hand. Multiple tabs may be updated, requiring you to save once. ***If you are unable to save, please verify that no errors exist under each tab.*** The table below lists the five (5) tabs available for view/update by the Applicant.

Tab	Task
Detail	View/Update specific details about the Encroachment Submission (e.g. Project ID, Agreement, 2 <sup>nd</sup> Party, Permits Location, Routes)
Files	View/Upload supporting documentation associated with the Encroachment Submission
Contacts	View/Update contact information (e.g. Contact Phone, Contact Email, Notify Email, Design Engineering Contact, DOT Reviewers)
Comments	View Submitter and NCDOT comment history
Decision	View the current decision for the Encroachment Submission. <i>Note: The Decision for an Encroachment Submission will be <b>Proposed</b> until approved, denied, or withdrawn by NCDOT.</i>

4. When finished updating the desired tab(s), select **Save** to continue or **Cancel** to return.

### Edit - Encroachment Submission – NCDOT Employee

Information on the Encroachment Submission can be updated after the initial submission and during the Encroachment Submission review process (e.g. Agreement, 2<sup>nd</sup> Party, Routes). Your role as a NCDOT Employee allows you to update all tabs and assign the Encroachment Submission to another business unit (e.g. Central Utilities, Applicant). To update an Encroachment Submission, do the following:

1. Locate and select **Manage Permits** from the Permits Home page. Use the guide below to determine when the encroachment was submitted to NCDOT.

The Encroachment ID, for example E001-001-20-00001, contains 4 key elements:

- Division/District Identifier
- County
- Year
- Sequentially Assigned Number

# DOT Encroachment Submissions User Manual

Locate the **Year** portion in the Encroachment ID. In the example shown, this encroachment was Submitted in 2020.

**Permits Home**

- Manage Permits
- Permits Help
- Encroachment Submission User Manual
- Checklists, Guidelines and Forms
  - Driveway Permit & Encroachment Agreement Forms
  - Encroachment Submittal Checklist
  - Encroachment Pre-Submittal Meeting Guidelines
  - Utilities Information and Resources
  - Driveway Permit Policy Manual
- Bonds, Plan Requirements, Contact District Office
  - Bonds, Plan Requirements, and More Help
  - View Map of District Office Coverage
  - Contact a District Office
- Reports
  - Encroachment Aging
  - Encroachment Tracking
  - VIP Performance Report
  - Executive Summary Report

**Permits Dashboard**

Select a tab below to filter by current status for an Encroachment or Driveway Permit. To view/edit an Encroachment or Driveway Permit, highlight to select.

NCDOT Review | Applicant | Approved | Denied | Withdrawn | All

Show 10 entries | Search:

Permit	Applicant	Date Submitted	Route	County
E071-001-20-00009	DOT	06/03/2020	SR1112	Alamance
E122-002-20-00037	DOT	06/03/2020	NC127	Alexander
E071-001-20-00010	DOT	06/03/2020	SR1112	Alamance
E122-002-20-00036	DOT	06/03/2020	NC127	Alexander
E122-002-20-00042	DOT	07/14/2020	SR0000	Alexander
E071-001-20-00012	DOT	07/14/2020	SR0000	Alamance
E071-001-20-00013	DOT	08/10/2020	SR0000	Alamance
D011-028-21-00004	UNC	01/20/2021	NC400SPR	Dare

[Submit New Permit](#)

**Employee Directory**  
Staff contacts for Utilities Unit.

**Contact Form**  
For questions & feedback about this area of Connect NCDOT, contact Utilities Unit.

2. Use the search bar to locate a specific encroachment, or use the filters (e.g. County, Division, District, Next Action) to determine which Encroachment Submissions are assigned to your specific Division/District or business unit. A Relevance filter (e.g. Created Date, County, Submitter, Blanket Encroachments) can be used to list Encroachment Submissions in ascending/descending sequence. In addition, users can filter for specific permits, Driveway Permits or Encroachments, using the Permit filter. In the example shown, a search by County, Division, District, and Next Action was used.

# DOT Encroachment Submissions User Manual

Use the search bar and/or filters below to locate a specific permit. To view a list of permits awaiting your action, set Next Action to your specific business unit (e.g. District, Central Utilities). A Next Action set to None indicates that the permit has been approved, denied, or withdrawn.

🔍

Search Bar
Relevance Search

Name	County	DOT Reviewer	Submitter	2nd Party/Owner	Routes	Division	District	AG#	Next Action	Decision	Permit
E051-092-19-00023	Wake (3) <small>Reset..</small>			MClmetro Acces Transmission Services C	SR2041;US40 1;US01	05	1	16.1	None	Permit Withdrawn	
E051-092-19-00025		Brian Oliphant	DOT	City of Raleigh Public Utilities Department		05	1	16.1C	District Review	Proposed	
E051-092-19-00026			DOT	Investments, LLC	SR1012	05	1	16.6	District	Proposed	
E051-092-19-00027			DOT	South Carolina Telecommunications Group Holding, LLC. DBA Sprint Communications	I40	05	1	16.2	District	Proposed	
E051-092-19-00028			DOT	Charter / Spectrum	SR1541	05	1	16.1	None	Permit Withdrawn	
E051-092-19-00029			DOT	AQUA North Carolina, Inc.	SR2003	05	1	16.1	District	Proposed	
E051-092-19-00031			DOT	City of Raleigh	SR1007	05	1	16.1B	District	Proposed	
E051-092-19-00032			DOT	City of Raleigh	SR1007	05	1	16.1B	District	Proposed	
E051-092-19-00033			DOT	NCDOT	SR1010	05	1	16.1B	None	Permit Withdrawn	
E051-092-19-00034			DOT	Charter / Spectrum	SR1001	05	1	16.1	District	Proposed	

3. Select the **Edit Me** icon to the left of the Encroachment ID (e.g. E001-001-19-12345).
4. The **Edit Encroachment** page is displayed containing multiple tabs (e.g. Detail, Files, Contacts, Bond, Comments, and Decision) that are available for view/update. The Detail tab is displayed by default.

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Encroachment ID: E051-092-21-00004      Submit Date: 02/08/2021

Next Action: District

DETAIL
FILES
CONTACTS
BOND
MAP
COMMENTS
DECISION

**Agreement**

Agreement

16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A) ▾

**2nd Party\***

Search Applicant. Please read instructions below

Lennar Carolinas, LLC

Identify the party entering into agreement with NCDOT on a two party contract, the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)

**Non-System Route**

Is this submission for a route not currently maintained by NCDOT?

When viewing/updating the Encroachment Submission, think about the task at hand. Multiple tabs may be updated, requiring you to save once. ***If you are unable to save, please verify no***

## DOT Encroachment Submissions User Manual

**errors exist under each tab.** The table below lists the six (6) tabs available for the NCDOT Employee.

Tab	Task
Detail	View/Update specific details about the Encroachment Submission (e.g. Project ID, Agreement, 2 <sup>nd</sup> Party, Permits Location, Routes, Utility Type, TIP Limits, Central Review)
Files	View/Upload supporting documentation associated with the Encroachment Submission
Contacts	View/Update contact information (e.g. Contact Phone, Contact Email, Notify Email, Design Engineering Contact, DOT Reviewers)
Bond	View/Update bond information (e.g. Bond Required, Bond Posted, Bond Number and Bond Amount)
Comments	View Submitter and NCDOT comment history and add DOT comments related to the Encroachment Submission.
Decision	View/Update the current decision for the Encroachment Submission. <i>Note: The Decision for an Encroachment Submission will be <b>Proposed</b> until approved, denied, or withdrawn.</i>  <b><i>IMPORTANT: When changing the Decision from Proposed to Permit Approved, Permit Denied, or Permit Withdrawn, you will be required to specify a date. Do not specify a date unless you are certain the permit has been approved, denied, or withdrawn.</i></b>

5. When finished updating the desired tab(s), select **Save** to continue or **Cancel** to return.

### Edit - Routes

When an incorrect route has been specified, or additional routes need to be added to an Encroachment Submission, do the following:

1. Select **Edit Routes** on the Detail tab.

# DOT Encroachment Submissions User Manual

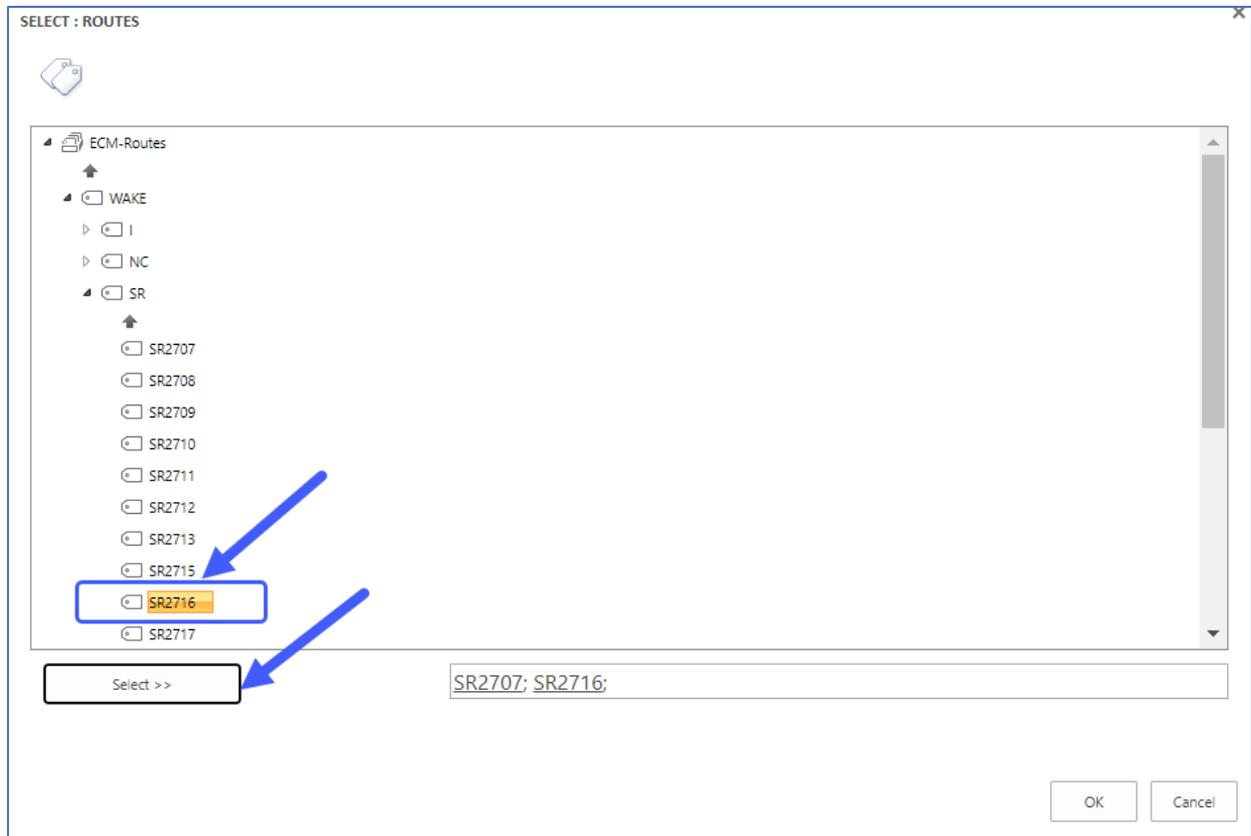
The screenshot shows the 'DETAIL' tab of the DOT Encroachment Submission form. The 'DETAIL' tab is circled in blue. The form contains the following fields and elements:

- Agreement:** A dropdown menu showing '16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)'.
- 2nd Party\*:** A text input field containing 'Lennar Carolinas, LLC'. Below it is a search instruction: 'Search Applicant, Please read instructions below'. A note below the field reads: 'Identify the party entering into agreement with NCDOT on a two party contract; the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)'
- Non-System Route:** A checkbox that is currently unchecked. Below it is the question: 'Is this submission for a route not currently maintained by NCDOT?'
- Permits Location\*:** A text area containing '.25 miles south of SR2707'.
- Local Road Name:** A text area containing 'Bryan Lane'.
- Routes:** A text input field containing 'SR2707;'. Below it is a blue button labeled 'Edit Routes' with a blue arrow pointing to it.

2. Select the **Browse** icon as shown.

The screenshot shows the 'ENCROACHMENTS - E051-092-21-00004' form in 'EDIT' mode. The 'EDIT' toolbar at the top includes icons for Save, Cancel, Paste, Copy, and Delete Item. Below the toolbar is the 'Routes' field containing 'SR2707;'. To the right of the 'Routes' field is a 'Browse' icon (a square with a magnifying glass), which is circled in blue with a blue arrow pointing to it. Below the 'Routes' field are 'Save' and 'Cancel' buttons. At the bottom, there is metadata: 'Version: 2.0', 'Created at 2/8/2021 9:11 AM by Brian W. Oliphant', and 'Last modified at 2/8/2021 9:12 AM by Brian W. Oliphant'.

3. The list of available Routes is displayed based on the county that is associated with the Encroachment Submission. Use the up/down arrows and scroll bar to locate the desired route. Highlight and select the route from the list, then click **Select**. The selected route will prefill in the space provided. Repeat these steps for each route that needs to be added. If a route needs to be deleted, highlight each route with your mouse and press the Delete key.



4. Select **OK** to continue or **Cancel** to return.
5. Select **Save** to continue or **Cancel** to return.

**IMPORTANT: Updated Route information will not be displayed until the Encroachment Submission has been saved.**

## Edit - View/Upload Documentation for an Encroachment Submission

To view and/or upload additional documentation for an Encroachment Submission during edit mode, do the following:

1. Select the **Files** tab.
2. To view a specific document, simply select the document from the list. To upload additional documentation for an Encroachment Submission, use one of the following methods:

### Method 1

- Launch Windows Explorer
- Drag-and-drop the desired file into the rectangular box shown on the **Files** tab
- Only files in PDF format are allowed

## DOT Encroachment Submissions User Manual

### Method 2

- Select **Click to Upload**
  - Windows Explorer will launch and display a list of folders/files. Select the desired file from the list. Only files in PDF are allowed.
  - Select **Open** to continue or **Cancel** to return.
3. Repeat Step 2 until all documentation has been uploaded. Select **Save** to continue or **Cancel** to return.

## Next Action

The **Next Action** field is vital to the Encroachment Submission review process, serving four (4) main functions:

1. Next Action indicates who is currently responsible for reviewing the Encroachment Submission.
2. Next Action is used to assign the Encroachment Submission to another business unit or Applicant.
3. Next Action is used to track duration and provide statistics on Encroachment Submissions.
4. Next Action is used to tailor personalized views and email alerts.

<b>Next Action</b>	<b>Definition</b>
Applicant	Applicable when the Encroachment Submission is considered incomplete. The Applicant is responsible for making the requested revisions or submitting additional information.
District	When an Encroachment Submission is initially submitted, the Next Action field is automatically set to District. This allows District Offices to distinguish between newly submit encroachments and those currently being reviewed.
District Review	Used when the Encroachment Submission is being reviewed by the District Office. This optional "Next Action" allows District Offices to distinguish between newly submitted (unprocessed) encroachments and those currently in process at the District office prior to the formal engineering review. Some District offices may not use this "Next Action" based on staffing and duties assigned to personnel.
District Signature	Used when the Encroachment Submission approval documents have been drafted and are awaiting signature at the District Office level.
Division Approver	Used when the Encroachment Submission is being reviewed by an individual at the Division level.
Division Utilities	Used when the Encroachment Submission is being reviewed by Division Utilities. This unit is separate from Central Utilities.
Central Utilities	Used when the Encroachment Submission is reviewed by one of three Central Office Units: Utilities Encroachment Section, Lighting and Electrical, or Special Studies. An email is sent to the Central Utilities unit to alert the staff of an encroachment requiring their review. <b>Note:</b> A Central Review reason(s) must be selected in conjunction with the Central Utilities next action.

## DOT Encroachment Submissions User Manual

Central Utilities Signature	Used when the Encroachment Submission approval documents have been drafted and are awaiting signature at the Central Utilities level.
Special Studies	Applies to non-utility encroachments directed to the Special Studies Unit for review. This Unit will coordinate with other DOT Units (e.g. Geotechnical Engineering, Hydraulics, Traffic Management, Utilities Unit) as appropriate.
None	When an Encroachment Submission Decision is set to Permit Approved, Permit Denied, or Permit Withdrawn.

### IMPORTANT:

- The **Next Action** must be manually changed by NCDOT Employees. If NCDOT Employees are not diligent with updating the Next Action field, duration tracking statistics and email alerts will be inaccurate and/or not functional.
- There are three (3) exceptions where the Next Action field is updated automatically:
  - o When the Applicant initially submits the Encroachment Submission, the Next Action field is set to District. This enables the District Office to distinguish between new encroachments submissions and those currently under review.
  - o When the Applicant returns revised documentation and/or comments to NCDOT, the Next Action is automatically set to District Review. This occurs when the Applicant selects the *Send Back to DOT* button.
  - o When the Encroachment Submission is approved, denied, or withdrawn, the Next Action field is set to None.
- Applicants cannot change the Next Action field. Only NCDOT Employees can update the Next Action field.

To update the **Next Action** field, do the following:

1. Select **Manage Permits** from the Permits Home page.
2. Filter for and select the desired encroachment to edit from the filtered view.

**Permits - Manage Permits**

H 4 Connect NCDOT 4 Permits 4 Manage Permits

Permits Home

- Manage Permits
- Permits Help
- Encroachment Submission User Manual

Checklists, Guidelines and Forms

- Driveway Permit & Encroachment Agreement Forms
- Encroachment Submittal Checklist
- Encroachment Pre-Submittal Meeting Guidelines
- Utilities Information and Resources
- Driveway Permit Policy Manual

Bonds, Plan Requirements, Contact District Office

Bonds, Plan Requirements, and More

Use the search bar and/or filters below to locate a specific permit. To view a list of permits awaiting your action, set Next Action to your specific business unit (e.g. District, Central Utilities). A Next Action set to None indicates that the permit has been approved, denied, or withdrawn.

Search [ ] Created Date(Asc) [ ]

Name	County	DOT Reviewer	Submitter	2nd Party/Owner	Routes	Division	District	AG#	Next Action	Decision	Permit
E122-002-20-00012	Alexander	Brian O. Oliphant	DOT	Cellico Partnership d/b/a Verizon Wireless	US64	12	2	16.3A	Special Studies	Proposed	

1 result

Alert Me

## DOT Encroachment Submissions User Manual

- The Next Action field can be updated on one of six (6) tabs available for NCDOT Employees. It is located on the header portion of the Encroachment Submission as shown below. Locate the **Next Action** field and select the desired business unit responsible for reviewing the Encroachment Submission. Select **Applicant** if the Encroachment Submission is considered incomplete and is being returned.

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Encroachment ID: E122-002-20-00012      Submit Date: 06/18/2020

Next Action: Special Studies

DETAIL    FILES    CONTACTS    BOND    MAP    COMMENTS    DECISION

Agreement: Agreement  
16.3A - Blanket, Trenched-In Telecommunications Cable

2nd Party\*: Search Applicant, Please read instructions below  
Cellco Partnership d/b/a Verizon Wireless

Identify the party entering into agreement with NCDOT on a two party contract; the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)

- Select **Save** to continue or **Cancel** to return.

## Decision

The **Decision** field is used to indicate the current state for an Encroachment Submission. Below are the four (4) possible decisions for an encroachment:

Decision	Definition
Proposed	When an Encroachment Submission is initially submitted, the Next Action field is automatically set to Proposed. The encroachment remains in a Proposed state until approved, denied, or withdrawn.
Permit Approved	Applicable when the Encroachment Submission review has been finalized and approved by the District Office or Central Utilities.
Permit Denied	Applicable when the Encroachment Submission review has been denied by the District Office or Central Utilities.
Permit Withdrawn	Applicable when the Encroachment Submission is withdrawn from further consideration by the Applicant before final approval/denial.

**IMPORTANT: When a final decision has been made, an Approval/Denial/Withdrawn Date will be required. If a date is selected, this will prevent future updates to the Next Action and Decision fields.**

### Sample Emails Sent to the Applicant

Below are examples of emails the Applicant will receive at various stages of the Encroachment Submission review process:

#### **Proposed** – Initial Encroachment Submission

Hello Brian W. Oliphant,

Your encroachment application has been received by the NCDOT. It will be reviewed in a timely manner. Please refer to [E062-026-19-00001](#) on future correspondence. If additional information is required, you will receive a separate notification.

If you have any questions or need further assistance, please contact the Division 06 – District 2 office at 910-364-0601.

Thank you

#### **Applicant** - Encroachment Submission is returned to the Applicant

Hello Brian W. Oliphant,

Encroachment IS [E103-090-19-00008](#) has been reviewed by the NCDOT and is considered incomplete. Please review the DOT comments section for further details.

If you have any questions or need further assistance, please contact the Division 10 – District 3 office at 704-218-5125.

Thank you

#### **Special Studies** – Encroachment Submission is assigned to the Special Studies Unit

Hello,

Encroachment ID [E011-027-20-00003](#) has been assigned to the Special Studies Unit for review. Please coordinate with the internal NCDOT Units for respective comments before returning to the District Office or Central Unit.

If you have any questions or need further assistance, please contact the Division 01 – District 1 office at 252-331-4737.

Thank you

## DOT Encroachment Submissions User Manual

### **Permit Approved** – Final approval by NCDOT

Hello Brian W. Oliphant,

The plans and accompanying documents associated with Encroachment Request [E072-041-19-00006](#) are acceptable. Executed encroachment agreements, permitting letters, final plans and associated documents are accessible through the [NCDOT Online Encroachment Application](#). This agreement and permitting documentation must be kept on site at all times and contains important provisions that will govern work. No work should be performed within NCDOT right of way without these documents on site. The District Office has the right to stop work if provisions are violated.

If you have any questions or need further assistance, please contact the Division 07 – District 2 office at 336-487-0100.

Thank you

### **Permit Denied** - Encroachment Submission is being denied

Hello Brian W. Oliphant,

Encroachment Request [E113-097-19-00003](#) has been denied. All associated documentation is available through the [NCDOT Online Encroachment Application](#).

If you have any questions or need further assistance, please contact the Division 11 – District 3 office at 336-679-2242.

Thank you

### **Permit Withdrawn** – Encroachment Submission should no longer be considered

Hello Brian W. Oliphant,

Encroachment Request [E051-092-19-00028](#) has been withdrawn and will no longer be reviewed by NCDOT. All associated documentation is available through the [NCDOT Online Encroachment Application](#).

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If you have any questions or need further assistance, please contact the Division 05 – District 1 office at 919-733-3213.

Thank you

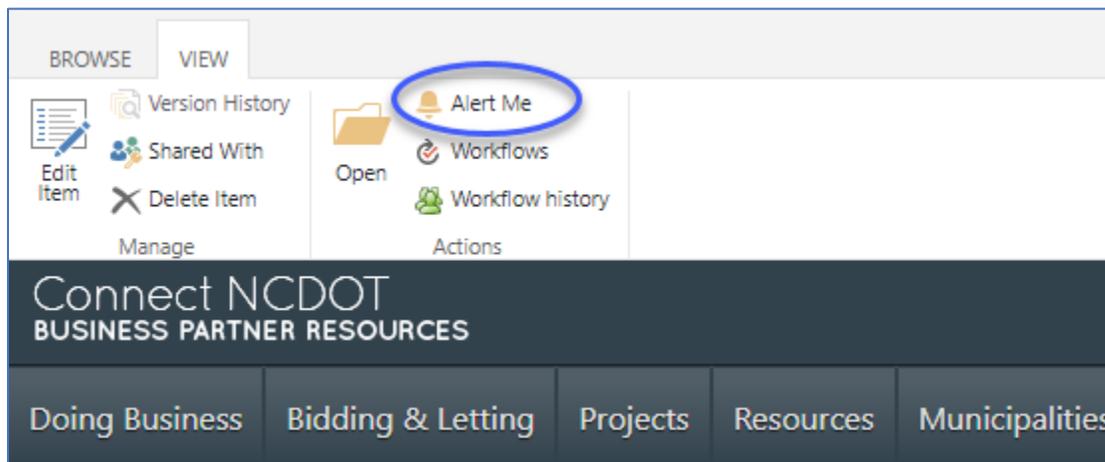
### Email Alert Notifications

An alert sends an email notification when changes are made to any SharePoint (connect.ncdot.gov) page, library, document set, or file.

### Setting an Alert on the Permits Dashboard - Applicant

As an applicant, you can receive an email notification when changes are made to an individual encroachment. To set an alert do the following:

1. Locate and select the desired encroachment on the Permits Dashboard.
2. Select **View All Properties**.
3. Select **Alert Me** in the upper-left hand corner of the display.



4. By default, your email address will be listed in the **Send Alerts To** field. If other individuals would like to be notified of changes, enter the emails address separating each with a semicolon (;).
5. Select the desired **Delivery Method** (e.g. Email, Text Message).
6. Select the desired **Change Type** (e.g. All changes, New items, Existing items, Deleted items).
7. Select the desired **Send Alerts for These Changes** (e.g. Anything changes, Someone else changes a document).
8. Select the desired frequency for **When to Send Alerts** (e.g. Immediately, Daily, Weekly). If a frequency of daily or weekly is selected, specify the desired time when you would like for the notification to be sent.

# DOT Encroachment Submissions User Manual

The screenshot shows a web form for configuring an alert. The form is organized into several sections:

- Alert Title:** A text input field containing "Encroachments: E011-037-19-00006".
- Send Alerts To:** A text input field containing "Brian W. Oliphant x".
- Delivery Method:** Radio buttons for "E-mail" (selected), "Text Message (SMS)", and "Send URL in text message (SMS)". The "E-mail" option has a text input field containing "bwoliphant@ncdot.gov".
- Change Type:** Radio buttons for "All changes" (selected), "New items are added", "Existing items are modified", and "Items are deleted".
- Send Alerts for These Changes:** Radio buttons for "Anything changes" (selected), "Someone else changes a document", "Someone else changes a document created by me", and "Someone else changes a document last modified by me".
- When to Send Alerts:** Radio buttons for "Send notification immediately" (selected), "Send a daily summary", and "Send a weekly summary".
- Time:** Two dropdown menus, one for the day (selected "Monday") and one for the time (selected "9:00 AM").

At the bottom right of the form are two buttons: a green "OK" button and a grey "Cancel" button.

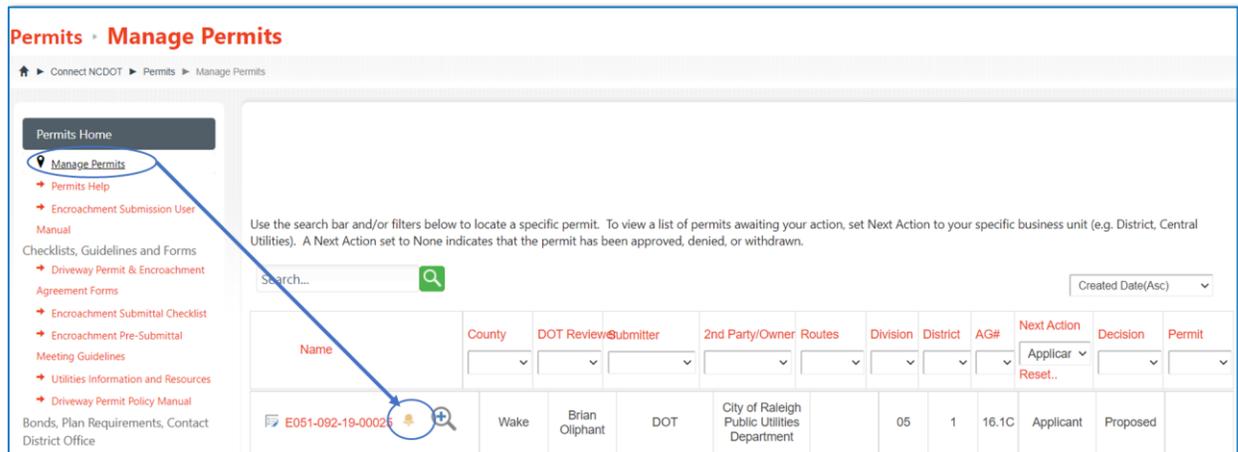
9. Select **OK** to create the alert or **Cancel** to return. If you elected to create the alert, an email notification will be received indicating that an alert has been created for the Encroachment Submission.

## Setting an Alert for an Encroachment Submission – NCDOT Employee

NCDOT Employees can set an alert to receive email notifications when changes are made to an individual encroachment (e.g. Additional documentation uploaded). To set an alert, do the following:

1. Select **Manage Permits** from the Permits Home page.
2. Locate the **Alert Me** (bell) icon to the right of the Encroachment ID. Click to select.

# DOT Encroachment Submissions User Manual



3. By default, your email address will be listed in the **Send Alerts To** field. If other individuals would like to be notified of changes, enter the emails address separating each with a semicolon (;).
4. Select the desired **Delivery Method** (e.g. Email, Text Message).
5. Select the desired **Change Type** (e.g. All changes, New items, Existing items, Deleted items).
6. Select the desired **Send Alerts for These Changes** (e.g. Anything changes, Someone else changes a document).
7. Select the desired frequency for **When to Send Alerts** (e.g. Immediately, Daily, Weekly). If a frequency of daily or weekly is selected, specify the desired time when you would like for the notification to be sent.

Alert Title  
Enter the title for this alert. This is included in the subject of the notification sent for this alert.  
Encroachments: E072-041-20-00003

Send Alerts To  
You can enter user names or e-mail addresses. Separate them with semicolons.  
Users:  
Brian W. Oliphant x

Delivery Method  
Specify how you want the alerts delivered.  
Send me alerts by:  
 E-mail: bwoiphant@ncdot.gov  
 Text Message (SMS)  
 Send URL in text message (SMS)

Change Type  
Specify the type of changes that you want to be alerted to.  
Only send me alerts when:  
 All changes  
 New items are added  
 Existing items are modified  
 Items are deleted

Send Alerts for These Changes  
Specify whether to filter alerts based on specific criteria. You may also restrict your alerts to only include items that show in a particular view.  
Send me an alert when:  
 Anything changes  
 Someone else changes a document  
 Someone else changes a document created by me  
 Someone else changes a document last modified by me  
 Someone changes an item that appears in the following view:  
 Central Utilities v

When to Send Alerts  
Specify how frequently you want to be alerted. (mobile alert is only available for immediately send)  
Send notification immediately  
 Send a daily summary  
 Send a weekly summary  
 Time:  
 Monday v 10:00 AM v

OK Cancel

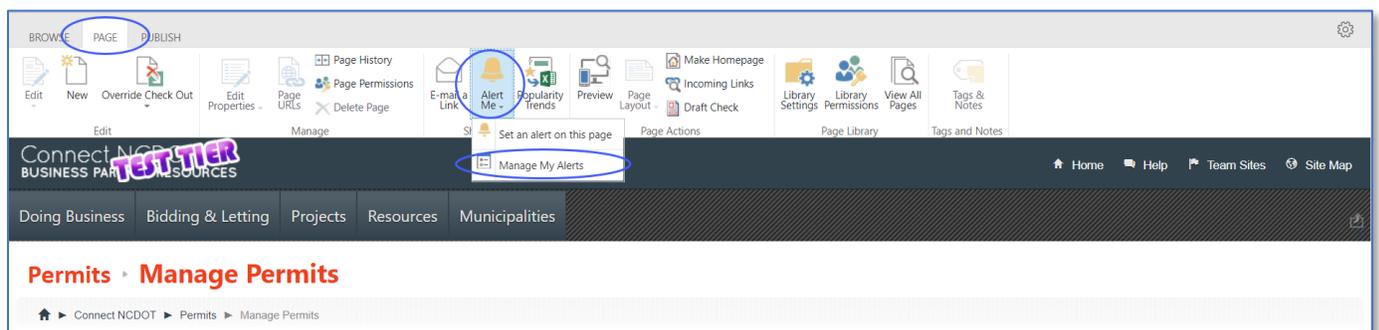
## DOT Encroachment Submissions User Manual

8. Select **OK** to create the alert or **Cancel** to return. If you elected to create the alert, an email notification will be received indicating that an alert has been created for the Encroachment Submission.

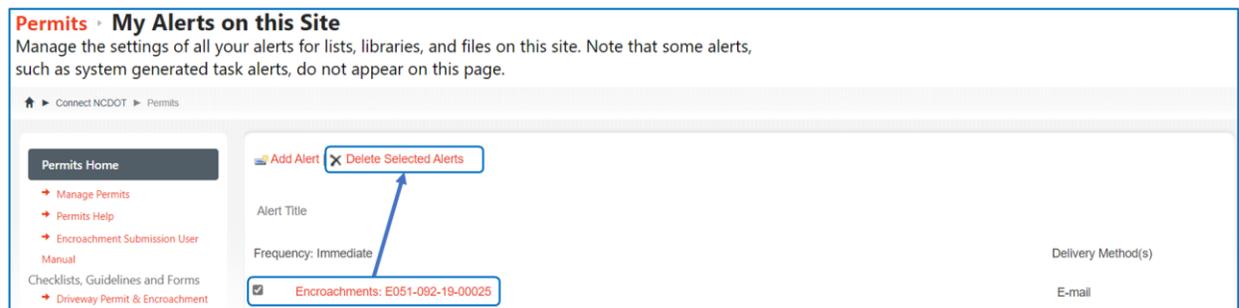
## Removing an Alert on an Encroachment

If you no longer want to receive email or text notifications when an encroachment submission changes, do the following:

1. Access the **Permits Home** page
2. Select **Page** in the top-left corner.
3. Locate **Alert Me** on the ribbon and select **Manage My Alerts**



4. Locate the alert that has been set for the Encroachment Submission. Click to select.



5. Select **Delete Selected Alerts**
6. Confirm the deletion by selecting **OK** to continue. Otherwise, select **Cancel** to return and not delete the alert.

## Encroachment Mapping

District Offices have the capability to map an approved encroachment on a statewide Encroachments map layer in ArcGIS. Each encroachment line(s) drawn on the map layer must be associated with an

## DOT Encroachment Submissions User Manual

encroachment residing in the Permits site and will be represented with the assigned Encroachment ID and color schema to represent Utility or Non/Utility agreements. Users will have access to all encroachments statewide and are encouraged to be diligent when updating the Encroachments map layer. Due to too many security and workflow issues, the IT Dept has restricted the mapping capability ONLY to NCDOT personnel, and the mapping is visible only to NCDOT personnel.

## Encroachment Mapping Requirements

For users to successfully map an encroachment, users must have:

- Access to the NC Connect Permits site
  - Refer **Log in to the Permits Site** section for details
- Access to ArcGIS
  - Submit a request to [gishelp@ncdot.gov](mailto:gishelp@ncdot.gov) to request a user account
- Edge or Chrome internet browser
  - Internet Explorer (IE) is not supported

## Access the Encroachment Map Layer

To access the Encroachment map layer, do the following:

1. Access the Permits site: <https://connect.ncdot.gov/site/permits>
2. Select **Manage Permits**
3. Search/Filter for the approved encroachment that will be mapped (e.g. E033-010-20-00002)
4. Select the **Edit Me** icon to edit the encroachment

Permits · Manage Permits

H > Connect NCDOT > Permits > Manage Permits

Permits Home  
@ Manage Permits  
Permits Help  
1 Encroachment Submission User Manual  
Checklists, Guidelines and Forms  
1 Driveway Permit & Encroachment Agreement Forms  
1 Encroachment Submittal Checklist  
1 Encroachment Pre-Submittal Meeting Guidelines  
1 Utilities Information and Resources  
1 Driveway Permit Policy Manual  
Bonds, Plan Requirements, Contact District Office

Use the search bar and/or filters below to locate a specific permit. To view a list of permits awaiting your action, set Next Action to your specific business unit (e.g. District, Central Utilities). A Next Action set to None indicates that the permit has been approved, denied, or withdrawn.

E033-010-20-00002

Created Date(Asc)

Name	County	DOT Reviewer/Submitter	2nd Party/Owner	Routes	Division	District	AG#	Next Action	Decision	Permit
E033-010-20-00002	Brunswick	DOT	Duke Energy Progress, LLC	SR1852	03	3	16.1A	District Review	Proposed	

1 result  
Alert Me

5. When the encroachment edit form is displayed, select the **Map** tab

# DOT Encroachment Submissions User Manual

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Encroachment ID: E033-010-20-00002      Submit Date: 01/21/2020

Next Action: District Review

**DETAIL**    FILES    CONTACTS    BOND    **MAP**    COMMENTS    DECISION

Agreement: Agreement  
16.1A - Two-Party, Non-Utility, Not Related to Road Construction

2nd Party\*: Search Applicant, Please read instructions below  
Duke Energy Progress, LLC

Identify the party entering into agreement with NCDOT on a two party contract; the owner or maintainer of the facility. (For a three party contract, this field should identify the installer of the facility.)

Permits Location\*: 2004 Robert Ruark Drive SE Southport NC, 28461  
Test text

Local Road Name: Robert Ruark Drive SE

6. Select **Map Encroachment** to continue.

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Encroachment ID: E033-010-20-00002      Submit Date: 01/21/2020

Next Action: District Review

**DETAIL**    FILES    CONTACTS    BOND    **MAP**    COMMENTS    DECISION

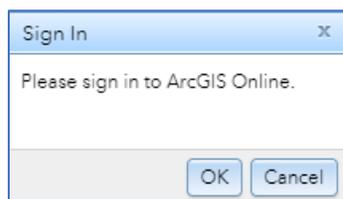
Map Notes

Need a GOINCI/AGOL account? Submit a request to [gishelp@ncdot.gov](mailto:gishelp@ncdot.gov)

**Map Encroachment**

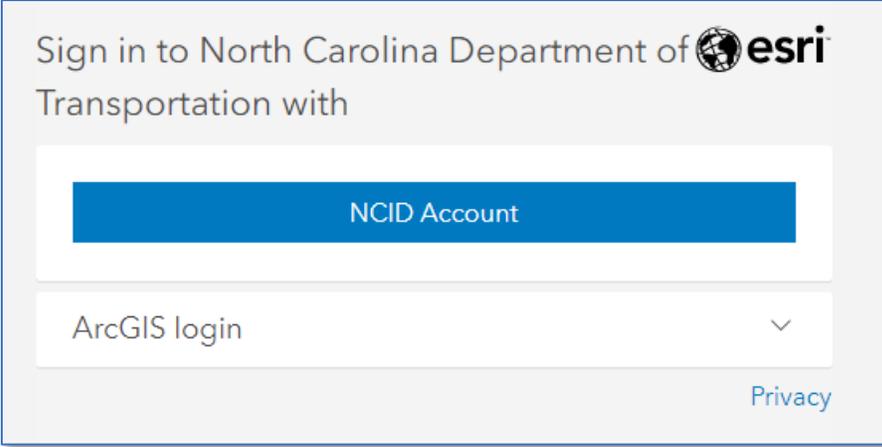
Save    Cancel

7. The **Encroachment Info** page will be displayed prompting you to sign into ArcGIS Online. Click **OK** to continue or click Cancel to end the edit session.



## DOT Encroachment Submissions User Manual

8. Click **NCID Account** to continue. *Note: If you previously logged into ArcGIS or have not closed your internet browser, you will not be prompted to re-enter your NCID credentials on subsequent mapping sessions.*



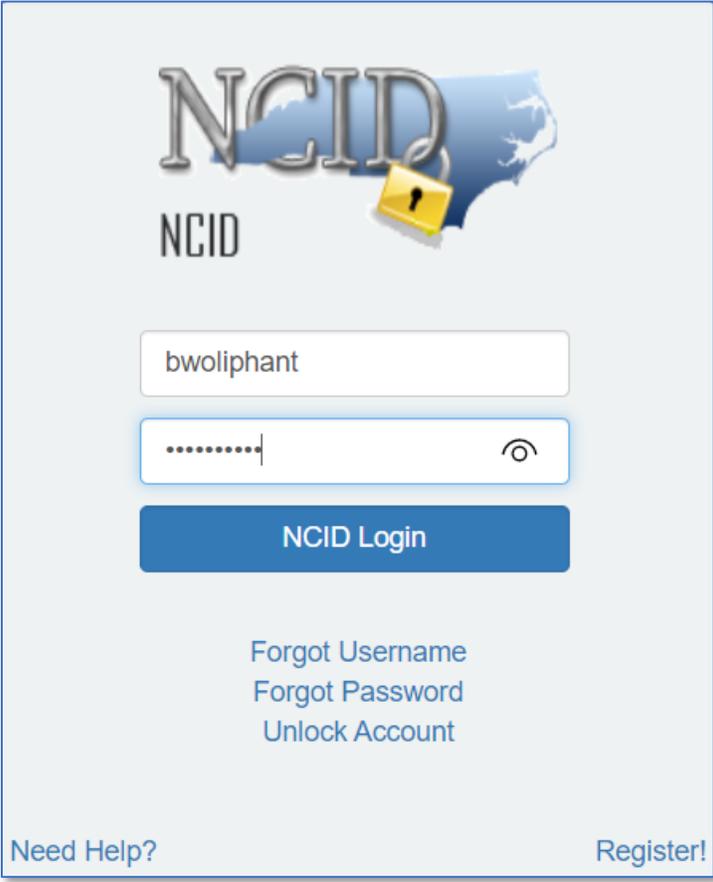
Sign in to North Carolina Department of Transportation with 

[NCID Account](#)

ArcGIS login 

[Privacy](#)

9. When prompted, login with your current **NCID** and **password**.



**NCID**

NCID 



[NCID Login](#)

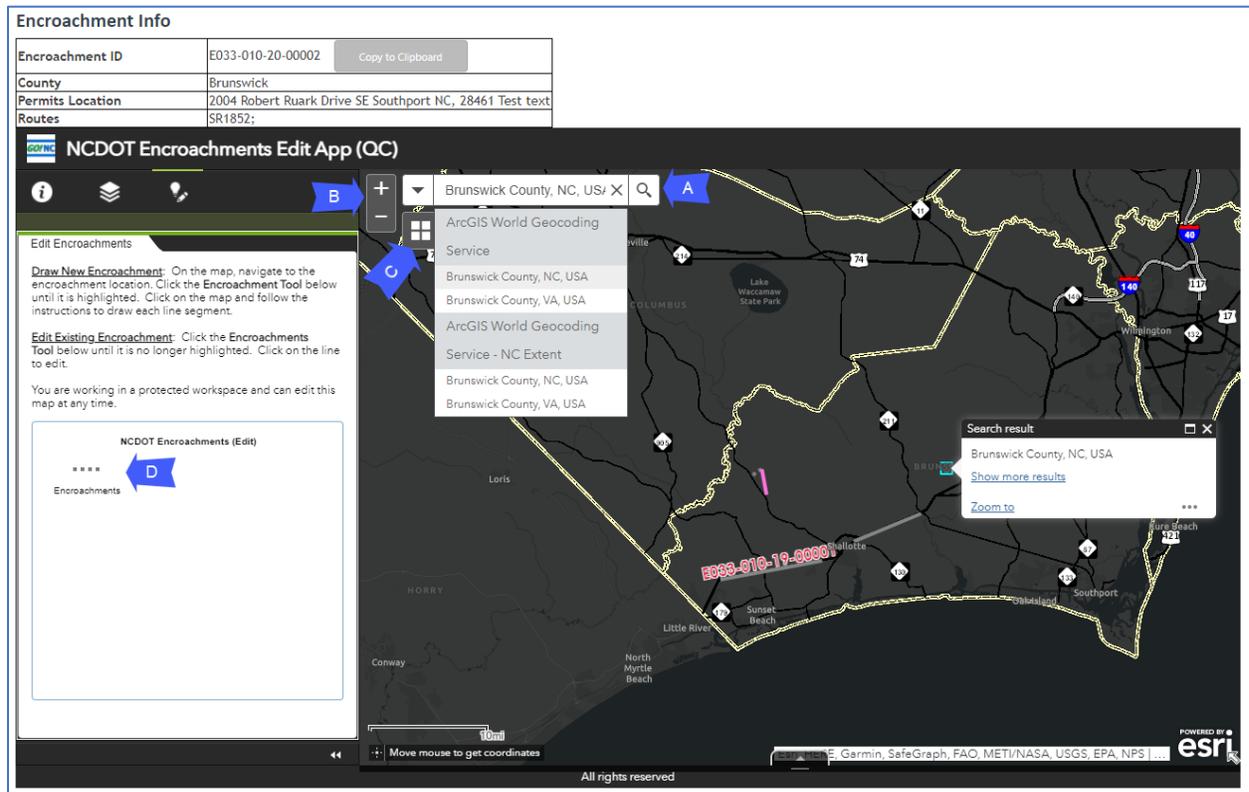
[Forgot Username](#)  
[Forgot Password](#)  
[Unlock Account](#)

[Need Help?](#) [Register!](#)

10. The **Encroachment Info** page is displayed and positions the user to the county assigned on the encroachment submission. The following features are available:

## DOT Encroachment Submissions User Manual

Feature	Description
A	<b>Search</b> allows the user to enter a physical address or road name where the installation will occur. <i>Note: Search can also be used to locate an existing encroachment on the map layer.</i>
B	<b>Zoom In/Zoom Out</b> allows the user to view a closer/farther representation of where the installation will occur.
C	<b>Basemap Gallery</b> allows the user to change the canvas (e.g. Dark/Light Gray, Street Maps)
D	<b>Encroachments</b> allows the user to represent the encroachment on the map layer.



## Mapping an Encroachment

To map an encroachment on the map layer, do the following:

1. Click on **Encroachments** to edit the map layer.
2. Position the cursor on the map and double-click where the starting point of the line will be drawn. Double-click again when you have reached where the installation will end.
3. Click **Copy to Clipboard** to copy the Encroachment ID and then right-click to paste this into the **Permit Number** field.
4. Select a **Facility Type** (Utility or Non-Utility) from the list.

Facility Type (Utility/Non-Utility)	Color/Symbol
Utility – Gas	Yellow
Utility – Petroleum	Light Pink
Utility – Power	Red
Utility – Sewer	Green

## DOT Encroachment Submissions User Manual

Utility – Highway Street Lighting	Pink
Utility – Water	Blue
Utility – Telecommunications	Orange
Non-Utility – Fencing	Dot – Dash White line
Non-Utility – Curb-Gutter-Pavement Widening	Solid White line
Non-Utility – Piping of Treated Effluent	Solid Tan Brown line
Non-Utility – Sidewalk	White dots
Non-Utility – Monitory Wells	Purple dots
Non-Utility – Non-Street Lighting (Safety or Recreational)	Pink dots
Non-Utility - Grading/Drainage	Solid Grey line
Non-Utility – Other	Aqua dots
Not Defined (default)	Grey dots

5. Add relevant **Comments**, and/or links for **Inspection Reports** and **Performance and Continuing Bonds** in the fields provided.

Comments	<i>Editable - Default is null</i>
Inspection Link	<i>Editable - Default is null - *Need to understand the District Office business process to determine where these documents live. If stored within the Encroachment Submission document set, this field will not be needed.</i>
Performance Bond Link	<i>Editable - Default is null - Bond covers all work for 1 year and then released by DOT. *Need to understand the District Office business process to determine where these documents live.</i>
Continuing Bond Link	<i>Editable - Default is null - User can copy-paste URL of the document link - *Link may be broken if an existing continuing bond is deleted and is superseded.</i>

Example of the Edit Encroachments tab:

## DOT Encroachment Submissions User Manual

### Encroachment Info

Encroachment ID	E033-010-20-00002	<a href="#">Copy to Clipboard</a>
County	Brunswick	
Permits Location	2004 Robert Ruark Drive SE Southport NC, 28461 Test text	
Routes	SR1852;	

### NCDOT Encroachments Edit App (QC)

Robert Ruark Drive SE, Br. X

Show search results for Robert ...

#### Edit Encroachments

Permit Number \*

Facility Type \*

Utility - Telecommunications

Comments

Inspection Link

Performance Bond Link

Continuing Bond Link

Edited seconds ago

Edit Geometry

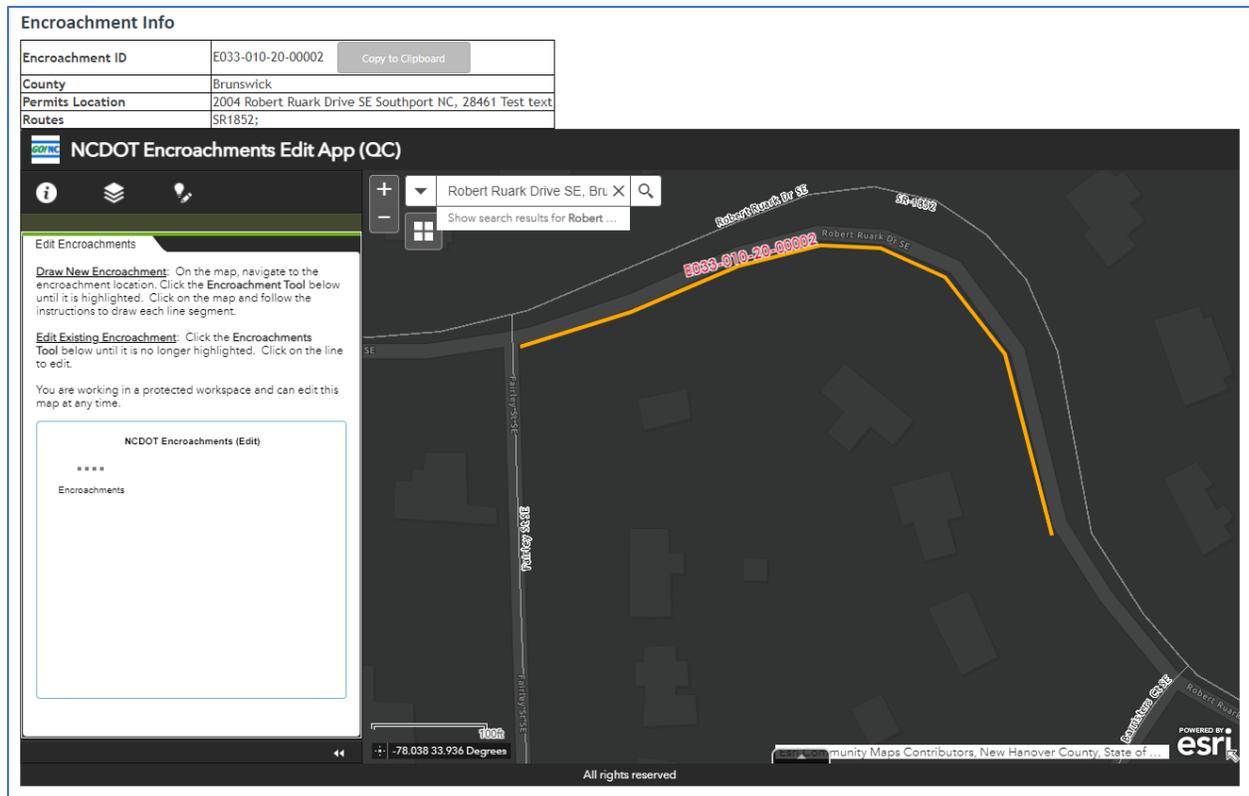
[Close](#) [Save](#)

Community Maps Contributors, New Hanover County, State of ...

powered by **esri**

All rights reserved

6. Select **Save** to continue. The line drawn on the map is stamped with the **Encroachment ID** and the schema will associate based on the selected Facility Type. *Note: Repeat Steps 1 through 6 if multiple Facility Types are involved (e.g. Water and Sewer).*



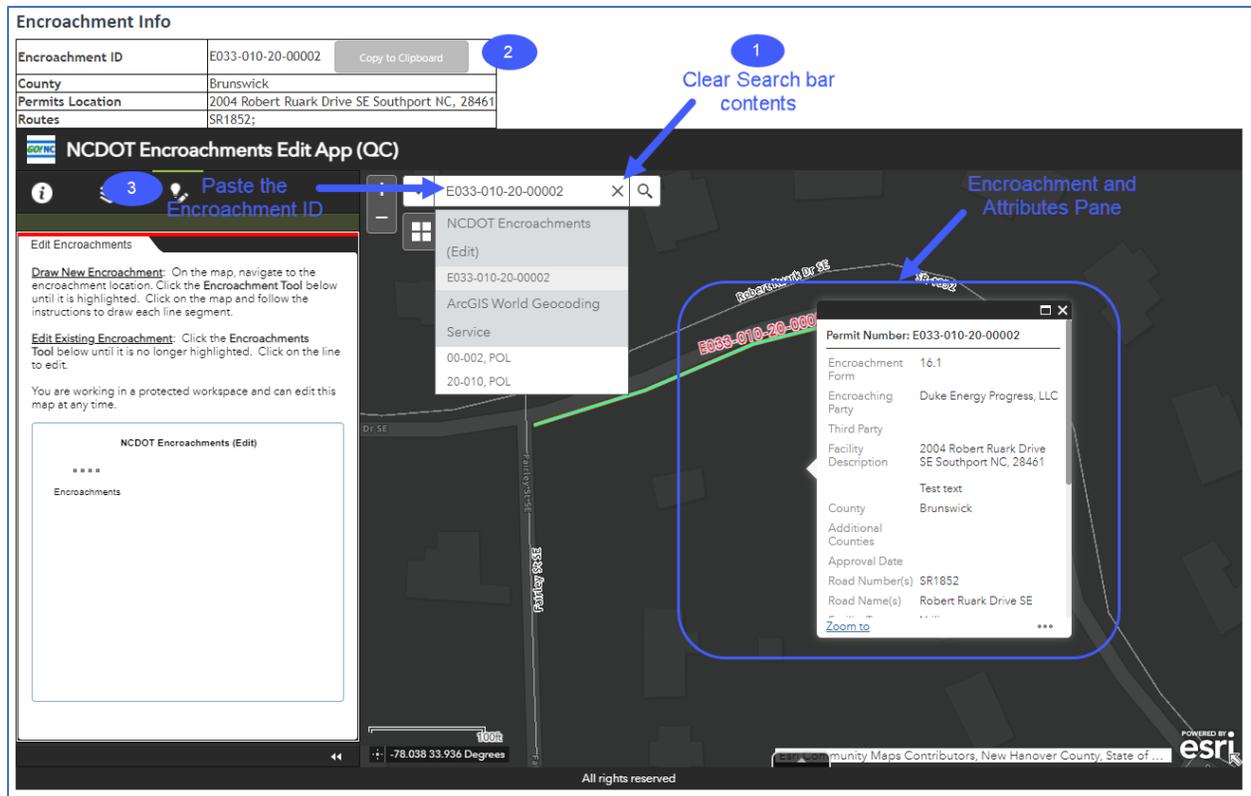
7. Close the current browser tab and return to the Encroachment edit form. Make any additional updates on the edit form and select **Save**.

## Edit an Encroachment on the Map Layer

There are situations when the encroachment that is represented on the statewide map layer needs to be updated to reflect changes in the planned installation or facility type. In some situations, the encroachment may need to be completely removed from the map layer. To edit an encroachment on the map layer, do the following:

1. Access the Encroachments map layer described earlier.
2. The Encroachment Info page is displayed. Clear the search bar contents and click **Copy to Clipboard** to copy the Encroachment ID. Paste the ID into the Search bar. Click on the magnifying glass or press **ENTER** to continue. This will position you automatically to the encroachment that was drawn on the map and display a panel containing attributes associated with the encroachment.

# DOT Encroachment Submissions User Manual



3. Click on the line drawn on the map layer to edit. The Edit Encroachments tab will be displayed. Scroll and select the **Edit Geometry** checkbox. When selected, the line is displayed with multiple points that can be adjusted using a drag-and-drop concept. The line can also be shortened or extended as needed.

## DOT Encroachment Submissions User Manual

**Encroachment Info**

Encroachment ID	E033-010-20-00002	<a href="#">Copy to Clipboard</a>
County	Brunswick	
Permits Location	2004 Robert Ruark Drive SE Southport NC, 28461	
Routes	SR1852;	

**NCDOT Encroachments Edit App (QC)**

Search: E033-010-20-00002

Show search results for E033-0...

**Edit Encroachments**

E033-010-20-00002

Facility Type: Utility - Telecommunications

Comments

Inspection Link

Performance Bond Link

Continuing Bond Link

Edited by encsh...pointapp 5 hours ago

Edit Geometry

Close Delete Save

POWERED BY esri

*Note: Editing the map layer also provides you with the opportunity to update the Facility Type, Comments, and links related to Inspection reports and Performance and Continuing Bonds.*

4. In the example shown, a Facility Type change was needed along with adjustments to the line drawn. Click **Save** to continue or **Close** to cancel the editing session.

*Note: Click **Delete** to remove the selected line on the map layer.*



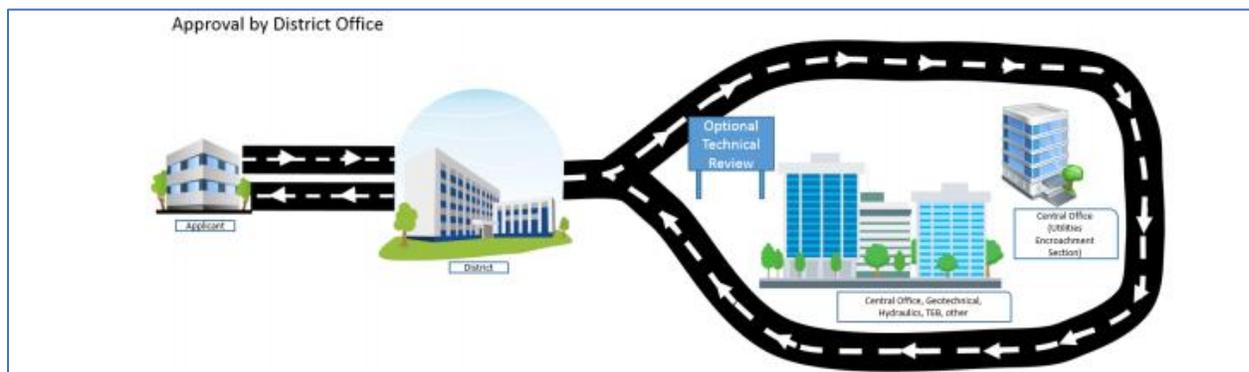
### Encroachment Submission Review Process: Approval by District Office

This process applies to Encroachment Submission requests being approved at the District/Division Office level. The process for Encroachment Submissions being approved at the Central Office level is detailed later in this manual.

1. Submittal
  - The Applicant submits an Encroachment Submission to NCDOT through the Permits site. Refer to the Submit a New Encroachment section in this manual. Next Action is set to ***District*** and Decision is set to ***Proposed*** automatically.
2. Encroachment Submission Review
  - The District Office will review the Encroachment Submission for completeness and accuracy. If the documents are insufficient, move to the Incomplete Encroachment Submission process. If the documents are complete, the Encroachment Submission moves to Step 3.

#### Incomplete Encroachment Submission

- a. The District/Division Office will add comments/guidance on changes (additional documents if necessary) to the Encroachment Submission and change Next Action to ***Applicant***. When this occurs, an email will be sent to the Applicant notifying them that the Encroachment Submission is incomplete.
- b. The Applicant will review the New DOT Comments and add any revised documentation to the Encroachment Submission as needed.
- c. The Applicant will submit the revised documentation using the ***Send Back to DOT*** button on the Encroachment Submission welcome page. This will automatically set the Next Action to ***District Review*** and notify the District Office via email if an alert was set on the Encroachment Submission.
- d. Several iterations between the Applicant and NCDOT may occur until the Encroachment Submission is complete. In some cases, the Applicant may be required to visit the District Office to finalize the Encroachment Submission.



3. Technical Review

## DOT Encroachment Submissions User Manual

- District Office reviews the Encroachment Submission for compliance with NCDOT standards and specifications. Next Action is changed by the **District Office** to indicate that the encroachment is currently under review.
  - If all plans and documents are deemed acceptable, move to Step 4 **Permit Approved/Denied/Withdrawn**.
  - If the encroachment plans and/or documents require revision, move to the Resubmittal process.
  - If an optional technical review is determined necessary by the District office move to Optional Technical Review process.

### **Optional Technical Review (Any central NCDOT technical office EXCEPT Central Utilities or Special Studies)**

- a. District Office Reviewer should add comments and documents for other NCDOT personnel Reviewer's use.
- b. District Office Employee must retain the Next Action as "District Review". District Office Employee sends appropriate documents by email or other appropriate method since most Technical Units generally do not have access to and use the Permits site. Note that the Review Time automatically calculated is charged to the District Office in this process. Therefore, District Office personnel should also add comments in the Permits site to indicate the additional technical review request.
- c. The Technical Review office returns comments typically via email to the District Office and review process continues with the District office.
- d. The District personnel may need to set an alert to be notified by email of changes and revisions (See Email Alert Notifications section) and remove the alert(s) as needed.
- e. If the encroachment plans and/or documents require revision, refer to the Resubmittal step below. If all plans and documents are deemed complete, move to Step 4 below for Permit Approved/Denied/Withdrawn.

### **Optional Technical Review by Central Utilities**

- a. Optional Technical Review by Central Utilities involves policy review or multiple units in Raleigh related to Utility encroachments (e.g. Geotechnical, Hydraulics, Transportation Mobility & Safety, etc.)
- b. District Office Reviewer should add comments and documents for use by Central Utilities.
- c. District Office Reviewer must change the Next Action to "Central Utilities" **and** select a reason(s) under Central Review. A notification email is sent to Central Utilities alerting the staff that an encroachment requires their review.
- d. Central Utilities obtains appropriate technical review comments and adds comments and documents for District office for further handling.
- e. Central Utilities office employee must change the Next Action to "District Review" and review process continues with the District office.
- f. The District Office continues with the Encroachment Submission review. If the encroachment plans and/or documents require revision, move to the Resubmittal step.

## DOT Encroachment Submissions User Manual

If all plans and documents are deemed complete, move to Step 4 Permit Approved/Denied/Withdrawn.

### **Optional Technical Review by Special Studies**

- a. Optional Technical Review by Special Studies typically involving non-utility encroachments and multiple technical units in Raleigh (e.g. Geotechnical Engineering, Hydraulics, Pavement, Transportation Mobility & Safety, etc.)
- b. District Office Reviewer must add comments and documents for the submitter's awareness.
- c. District Office Reviewer must change Next Action to **Special Studies**. A notification email will be sent to the Special Studies Unit.
- d. When the Special Studies Unit review is complete, the Special Studies Reviewer must add comments/documents to the Encroachment Submission (if applicable) and change Next Action to **District Review**.
- e. The District Office continues with the Encroachment Submission review. If the encroachment plans and/or documents require revision, move to the Resubmittal step. If all plans and documents are deemed complete, move to Step 4 Permit Approved/Denied/Withdrawn.

### **Resubmittal**

- a. District Office Reviewer must change Next Action to **Applicant**.
  - b. The Applicant reviews the New DOT Comments and/or documentation and makes the necessary revisions.
  - c. The Applicant will submit the revised documents to the District Office using the **Send Back to DOT** button on the Encroachment Submission welcome page. This will automatically set the Next Action to **District Review** and notify the District Office via email if an alert was set on the Encroachment Submission. Revised documents should be submitted back into the same submission site (for the same Encroachment ID) rather than submitting revisions under a new permit request which may create delays in reviews and approval.
  - d. Several iterations between the Applicant and NCDOT may occur until the Encroachment Submission is complete. In some cases, the Applicant may be required to visit the District Office to finalize the Encroachment Submission.
4. Permit Approved/Denied/Withdrawn
- The Reviewer adds signed Approved documents, properly executed encroachment agreements and final plans to the Encroachment Submission as a **single** document. Any document(s) that are not considered part of the Encroachment Submission APPROVAL should be deleted from the Permits site. The Best Practice is to combine all approved documents into one single PDF document as the final approval.
  - The Reviewer updates the Decision tab on the Encroachment Submission by selecting the appropriate **Decision** (e.g. Proposed to Permit Approved, Permit Denied, or Permit Withdrawn) and **Approval/Denial/Withdrawn Date**. Next Action is automatically set to **None** and the Decision field is locked from future updates.

## DOT Encroachment Submissions User Manual

- An automatic email notification is sent to the Contact Email and Notify Email address(es) specified on the Encroachment Submission.
- For permits Denied or Withdrawn, no further action is taken.

**IMPORTANT: Applicants with NCIDs can retrieve approval documents from the Permits site. Applicants without NCIDs must be emailed (or other arrangements made for delivery) the approval documents by the NCDOT Reviewer. If NCDOT personnel uploaded the initial submitted documents, any final approval documents or denials MUST be handled via email with the external customer and File Transfer System, accordingly.**

### Encroachment Submission Review Process: STIP Projects

The District Office is responsible to identify if an encroachment is located within the limits of an NCDOT STIP Project. When an encroachment falls within the limits of a NCDOT STIP project, the District office should input the STIP Project number into the Permits site and change the Next Action to “Division Utilities”.

# DOT Encroachment Submissions User Manual

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

District office updates the "Next Action" to become "Division Utilities" to indicate needed review comments from STIP project personnel

Encroachment ID: E102-060-20-00025

Submit Date: 01/09/2020

Next Action: Division Utilities

**DETAIL** FILES CONTACTS BOND MAP COMMENTS DECISION

Agreement: Agreement

16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)

2nd Party\*: Search Applicant, Please read instructions below

BellSouth Telecommunications d/b/a AT&T

Submissions > EditEncroachment

Submissions > EditEncroachment

Select the desired tab(s) to update and/or Next Action. When finished, select Save to continue.

Update STIP information on Detail Tab. Scroll to bottom to input STIP Project Number

Encroachment ID: E102-060-20-00025

Submit Date: 01/09/2020

Next Action: District Review

**DETAIL** FILES CONTACTS BOND MAP COMMENTS DECISION

Agreement: Agreement

16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-C/A)

## DOT Encroachment Submissions User Manual

The screenshot shows a web form for submitting encroachment requests. At the top, there are four unchecked checkboxes: 'New/emerging/unfamiliar installation method', 'Gross variance from NCDOT Policy', 'Excavations of greater than 10 feet within the right of way', and 'Other'. Below these is the 'Project ID' field, which contains the text '0NB20171N'. Underneath is the 'TIP Limits' field, which contains 'NA'. This field is highlighted with a red rectangular box. To the right of the form, there is a red text box with the instruction 'Update STIP Project Number and click "Save"'. Two red arrows originate from this text box: one points to the 'TIP Limits' field, and the other points to the 'Save' button. The 'Save' button is green, and the 'Cancel' button is grey.

The review process for Encroachment Submission within the limits of a **STIP** Project varies based on which NCDOT office is managing the STIP Project. The general process is for the District Office to request a review from the Division Project/Utility staff (indicated in the diagrams above). Next steps are dependent upon which office is managing the project AND how far along design or construction plans are available. The Division Project/Utility personnel determines if the STIP Project is Division Managed or Centrally Managed. This process does not apply to STIP related utility relocations of existing facilities handled under NCDOT Project processes and protocols.

### Encroachment Submission Review Process: Division Managed STIPs

For Encroachment Submissions that fall within the limits of Division Managed State Transportation Improvement Projects (STIPs). The process for Encroachment Submissions within the limits of Centrally Managed STIPs is discussed later.

1. Submittal
  - The Applicant submits an Encroachment Submission to NCDOT through the Permits site. Refer to the Submit a New Encroachment section in this manual and Approval by District section above. Next Action is set to **Division Utilities** by the District office.
2. Technical Review Process
  - When the District Office reviews the Encroachment Submission and determines that the submission is within the limits of a STIP Project, it must be assigned to the Division Project/Utility personnel for further review.
    - Division Project/Utility Reviewer should add any comments and/or documents for Division Project/Utility personnel's review to the Encroachment Submission.
    - Division Project/Utility personnel will manage the review of the Encroachment Submission. If the submission is within the limits of control of access (C/A) right of way, the Division Project/Utility personnel should seek concurrence from the Central Utilities Encroachment Section prior to approval.

## DOT Encroachment Submissions User Manual

- Division Project/Utility personnel, or others involved in the Encroachment Submission review, will correspond with the Applicant, revising the plans as necessary until they are acceptable.
  - The Division Project/Utility personnel will review and provide comments to the District office for Approval if the STIP Project is not far enough along in the design or construction process (in which case, the Division Project/Utility personnel must change the Next Action to **District Review** and notify the District office by email). Otherwise, the Division Project/Utility personnel will retain the encroachment submittal and process the submittal through to the Approval or Denial of the submission.
  - Division Project/Utility personnel should also change the Next Action to **Applicant** each time the encroachment submission requires revisions that should be documented in the Comments tab and by separate email.
  - The use of the Next Action for **Division Approver** is reserved for the appropriate Division Project/Utility personnel staff as deemed appropriate.
  - If the Division Project/Utility staff determines that the STIP Project is Centrally Managed, the Division Project/Utility personnel must change the Next Action to **Central Utilities**.  
**Note:** A Central Review reason(s) must be selected to ensure an email notification is sent to the Central Utilities unit.
  - The Division Project/Utility personnel may need to set an alert to be notified by email of changes and revisions (See Email Alert Notifications section) and remove the alert(s) as needed.
  - The appropriate NCDOT Reviewer's contact information should be updated in the Encroachment Submission's site accordingly.
3. Permit Approved/Denied/Withdrawn
- a. The Reviewer adds signed Approved documents, properly executed encroachment agreements and final plans to the Encroachment Submission as a **single** document. Any document(s) that are not considered part of the Encroachment Submission APPROVAL should be deleted from the Permits site. The Best Practice is to combine all approved documents into one single PDF document as the final approval.
  - b. The Division Project/Utility personnel updates the Decision tab on the Encroachment Submission by selecting the appropriate **Decision** (e.g. Proposed to Permit Approved, Permit Denied, or Permit Withdrawn) and **Approval/Denial/Withdrawn Date**. Next Action is automatically set to **None** and the Decision field is locked from future updates.
  - c. An automatic email notification is sent to the Contact Email and Notify Email address(es) specified in the Contacts section on the Encroachment Submission.

**IMPORTANT: Only the submitter or personnel from their company can retrieve approval documents from the Permits site. If the submission was uploaded by NCDOT personnel, an external applicant must be emailed the approval documents by the NCDOT Reviewer. Division Project/Utility personnel will also retain a copy of the executed encroachment permit for the project files.**

### Encroachment Submission Review Process: Centrally Managed STIP Projects

The Division Project/Utility office is responsible to identify if an encroachment is located within the limits of a Centrally Managed STIP Project. When an encroachment falls within the limits of a NCDOT Centrally Managed STIP project, the Division Project/Utility personnel transfers the submittal to the Central Utilities office for further handling.

#### 1. Submittal

- The Applicant submits an Encroachment Submission to NCDOT through the Permits site. Refer to the Submit a New Encroachment section in this manual, Approval by District, and Division Managed STIPs sections above. Next Action is set to **Central Utilities** by the Division Project/Utility personnel.

#### 2. Technical Review Process

- When the Division Project/Utility office reviews the Encroachment Submission and determines that the submission is within the limits of a Centrally Managed STIP Project, it must be transferred to the Central Utilities Unit personnel for further review. Follow the steps below:
  - Add comments and/or documents (refer **to Edit – Encroachment Submission – NC DOT Employee** for details) for Central Utilities Unit personnel’s review to the Encroachment Submission
  - Select **Central Utilities** from **Next Action dropdown**
  - Select a reason(s) for **Central Review**
  - Click **Save** to save changes to the encroachment and send an email to the State Encroachments office
  - The Central Utilities-Encroachments personnel begins the review of the Encroachment Submission.
  - The Central Utilities personnel, or others involved in the Encroachment Submission review, will correspond with the Applicant, revising the plans as necessary until they are acceptable.
- The Central Utilities- Encroachments personnel will request a review via email to the Central Utilities Project personnel. Depending on that response, the Central Utilities-Encroachments personnel will handle the review process OR transfer to the Central Utilities Project personnel. Otherwise, the Central Utilities-Encroachments personnel will retain the encroachment submittal and process the submittal through to the Approval or Denial of the submission.
- Central Utilities personnel should also change the Next Action to **Applicant** each time the encroachment submission requires revisions that should be documented in the Comments tab and by separate email.
- The appropriate NCDOT Reviewer’s contact information should be updated in the Encroachment Submission’s site accordingly.
- The Central Utilities personnel may need to set an alert to be notified by email of changes and revisions (See Email Alert Notifications section) and remove the alert(s) as needed.

#### 3. Permit Approved/Denied/Withdrawn

## DOT Encroachment Submissions User Manual

- d. The Reviewer adds signed Approved documents, properly executed encroachment agreements and final plans to the Encroachment Submission as a **single** document. Any document(s) that are not considered part of the Encroachment Submission APPROVAL should be deleted. The Best Practice is to combine all approved documents into one single PDF document as the final approval.
- e. The Central Utilities personnel updates the Decision tab on the Encroachment Submission by selecting the appropriate **Decision** (e.g. Proposed to Permit Approved, Permit Denied, or Permit Withdrawn) and **Approval/Denial/Withdrawn Date**. Next Action is automatically set to **None** and the Decision field is locked from future updates.
- f. An automatic email notification is sent to the Contact Email and Notify Email address(es) specified in the Contacts section on the Encroachment Submission.

**IMPORTANT: Only the submitter or personnel from their company can retrieve approval documents from the Permits site. If the submission was uploaded by NCDOT personnel, an external applicant must be emailed the approval documents by the NCDOT Reviewer. Division Project/Utility personnel will also retain a copy of the executed encroachment permit for the project files.**

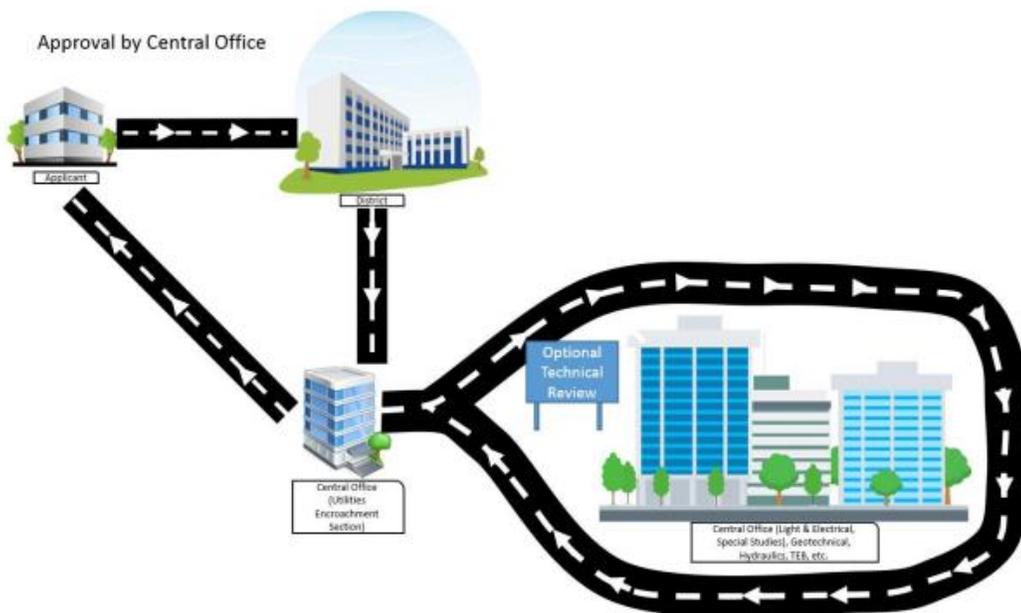
### Encroachment Submission Review Process: Approval by Central Utilities

This process applies to Encroachment Submission requests required for **approval** at the Central Utilities level. Such requests include submissions involving Controlled Access right of way, highway lighting encroachments, deep trench excavations, bridge attachments, private bridges, STIP project involvement transferred from Division Project/Utility personnel and other criteria described in the NCDOT Utilities Accommodations Manual. The process for Encroachment Submissions being approved at the District/Division Office or by the Division Project/Utility Office level is detailed earlier in this manual.

1. Submittal
  - The Applicant submits an Encroachment Submission to NCDOT through the Permits site. Refer to the Submit a New Encroachment section in this manual. Next Action is set to **District** and Decision is set to **Proposed** automatically.
2. Encroachment Submission Review
  - The District Office will review the Encroachment Submission for completeness and accuracy. When the District Office determines that the submission meets criteria to warrant a review by Central Utilities, it must be assigned to the Central Utilities personnel for further review (refer to **Encroachment Submission Review Process: Centrally Managed STIP Projects** section in this document for assigning Central Utilities to an encroachment.
  - If the documents are insufficient, move to the Incomplete Encroachment Submission process. If the documents are complete, the Encroachment Submission moves to Step 3.

### Incomplete Encroachment Submission

- a. The District Office will add comments/guidance on changes (additional documents if necessary) to the Encroachment Submission and change Next Action to **Applicant**. When this occurs, an email will be sent to the Applicant notifying them that the Encroachment Submission is incomplete.
- b. The Applicant will review the New DOT Comments and add any revised documentation to the Encroachment Submission as needed.
- c. The Applicant will submit the revised documentation using the **Send Back to DOT** button on the Encroachment Submission welcome page. This will automatically set the Next Action to **District Review** and notify the District Office via email if an alert was set on the Encroachment Submission.
- d. Several iterations between the Applicant and NCDOT may occur until the Encroachment Submission is complete.



### 3. Technical Review

- After review procedures by the District Office (described previously), Central Utilities reviews the Encroachment Submission. The District Office will update Next Action to **Central Utilities** to indicate the encroachment is currently under review in the Central Utilities Office.
- The District Office will update Next Action to Central Utilities and select a reason(s) under Central Review to indicate the encroachment is currently under review in the Central Utilities Office..
  - If all plans and documents are deemed acceptable, move to Step 4 **Permit Approved/Denied/Withdrawn**.
  - If the encroachment plans and/or documents require revision, move to the Resubmittal process.
  - If an optional technical review by other Technical Units (e.g. Geotechnical, Structures Management, Hydraulics, Lighting and Electrical, etc.) or Special Studies

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(for strictly non-utility encroachments) is required, move to Optional Technical Review process.

### **Optional Technical Review**

- a. Optional Technical Review by Central Utilities (e.g. Lighting and Electrical, Structures Management, Geotechnical, etc.)
- b. Central Utilities-Encroachments Reviewer can add comments and documents to the Encroachment Submission (if applicable). Central Utilities-Encroachments Reviewer sends email to technical unit with appropriate documents for comment and review. The technical unit may correspond directly with the Applicant or may rely on revision request via the Central Utilities-Encroachments Reviewer.
- c. If the encroachment plans and/or documents require revision, move to the Resubmittal process. If all plans and documents are deemed complete, move to Step 4 Permit Approved/Denied/Withdrawn.

### **Optional Technical Review by Special Studies**

- a. Optional Technical Review by Special Studies (for non-utility encroachments involving submittals requiring review by Central Utilities)
- b. Central Utilities Reviewer must add comments and documents for Special Studies Reviewer's use to the Encroachment Submission.
- c. Central Utilities Reviewer must change Next Action to ***Special Studies***. An automatic email notification is sent to the Special Studies Unit.
- d. When the Special Studies Unit review is complete, the Special Studies Reviewer must add comments/documents to the Encroachment Submission (if applicable) and change Next Action to ***Central Utilities*** (refer to **Encroachment Submission Review Process: Centrally Managed STIP Projects** section in this document for assigning Central Utilities to an encroachment).
- e. Central Utilities continues with the Encroachment Submission review. If the encroachment plans and/or documents require revision, move to the Resubmittal step. If all plans and documents are deemed complete, move to Step 4 Permit Approved/Denied/Withdrawn.

### **Resubmittal**

- a. Repeat the Technical Review process until the encroachment plans and documents are acceptable. Once acceptable, move to Step 4 Approved/Denied/Withdrawn.
- b. Comments generated by District Office, Central Utilities, other technical units or Special Studies review should be documented in the DOT Comments field on the Encroachment Submission.
- c. Central Utilities Reviewer must change Next Action to ***Applicant***. If the District Office sets an alert on the Encroachment Submission, they will receive an email notification.
- d. The Applicant reviews the New DOT Comments and/or documentation and makes the necessary revisions.

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- e. The Applicant must submit the revised documents Permits site and afterwards click the **Send Back to DOT** button on the Encroachment Submission welcome page. This will automatically set the Next Action to **District Review** and notify the District Office via email if an alert was set on the Encroachment Submission. When this occurs, it is recommended that the Applicant contact NCDOT to request that the District Office OR Central Utilities Reviewer (if known) to request a change in the Next Action to **Central Utilities** AND separately inform the reviewer assigned in Central Utilities Office by email of the revised documents.
  - f. Several iterations between the Applicant and NCDOT may occur until the Encroachment Submission is complete. In some cases, the Applicant may be required to visit the District Office to finalize the Encroachment Submission.
5. Permit Approved/Denied/Withdrawn
- The Reviewer adds signed Approved documents, properly executed encroachment agreements and final plans to the Encroachment Submission as a **single** document. Any document(s) that are not considered part of the Encroachment Submission APPROVAL should be deleted from the Permits site. The Best Practice is to combine all approved documents into one single PDF document as the final approval.
  - The Reviewer updates the Decision tab on the Encroachment Submission by selecting the appropriate **Decision** (e.g. Proposed to Permit Approved, Permit Denied, or Permit Withdrawn) and **Approval/Denial/Withdrawn Date**. Next Action is automatically set to **None** and the Decision field is locked from future updates.
  - An automatic email notification is sent to the Contact Email and Notify Email address(es) specified on the Encroachment Submission.
  - For permits Denied or Withdrawn, no further action is taken.

**IMPORTANT: Applicants with NCIDs can retrieve approval documents from the Permits site. Applicants without NCIDs must be emailed (or other arrangements made for delivery of) the approval documents by the NCDOT Reviewer. If NCDOT personnel uploaded the initial submitted documents, any final approval documents or denials MUST be handled via email with the external customer and File Transfer System, accordingly.**

## Checked Out Documents

Checked out documents in the Permit site are typically used for version control purposes. Although this practice is discouraged, District Offices should periodically monitor for checked out documents as this:

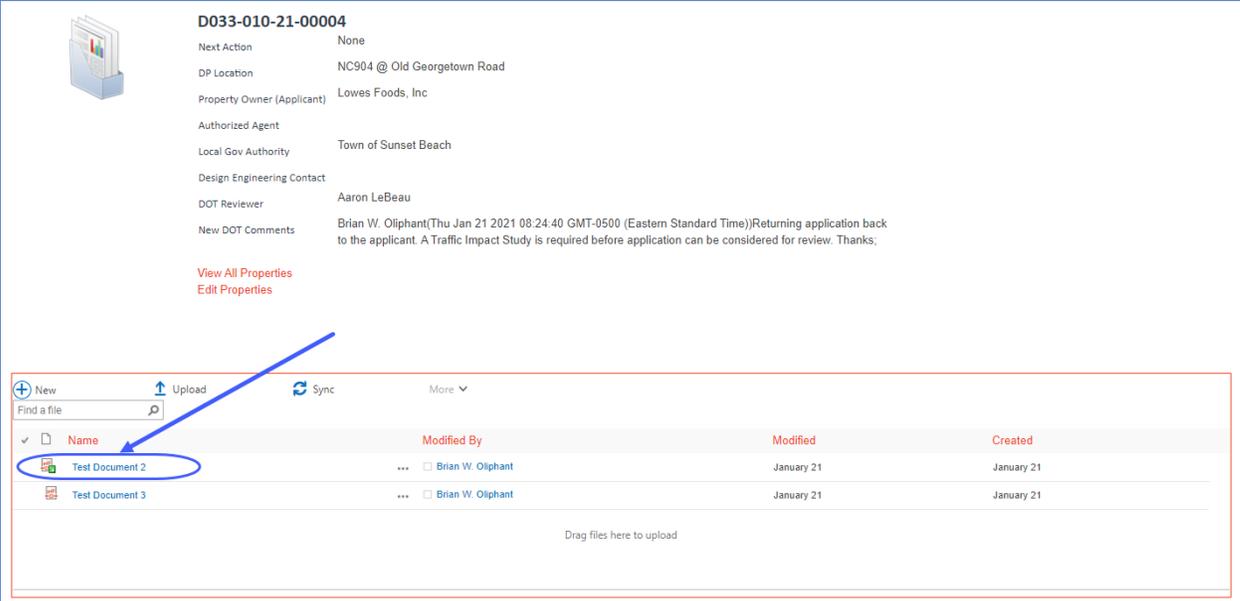
- 1) Prevents the archive of approved and denied permits to the **District Files Encroachments and Driveway Permit** site collections; and
- 2) Prevents other users from managing the document until it has been checked-in by the user who initially checked it out.

To distinguish between a checked in versus a checked out document, do the following:

1. Select **Manage Permits** from the Permits Home page.

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2. Search for and/or filter for the desired permit.
3. Click on the Permit Identifier (e.g. E122-002-21-00005, D033-010-21-00004) to continue.
4. The document highlighted indicates that it has been checked out. Note the green arrow located in the lower right corner of the file type icon (e.g. PDF). A document without the green arrow indicates that it is checked out.



**D033-010-21-00004**

Next Action: None

DP Location: NC904 @ Old Georgetown Road

Property Owner (Applicant): Lowes Foods, Inc

Authorized Agent:

Local Gov Authority: Town of Sunset Beach

Design Engineering Contact:

DOT Reviewer: Aaron LeBeau

New DOT Comments: Brian W. Oliphant(Thu Jan 21 2021 08:24:40 GMT-0500 (Eastern Standard Time))Returning application back to the applicant. A Traffic Impact Study is required before application can be considered for review. Thanks.

[View All Properties](#)  
[Edit Properties](#)

Name	Modified By	Modified	Created
Test Document 2	... Brian W. Oliphant	January 21	January 21
Test Document 3	... Brian W. Oliphant	January 21	January 21

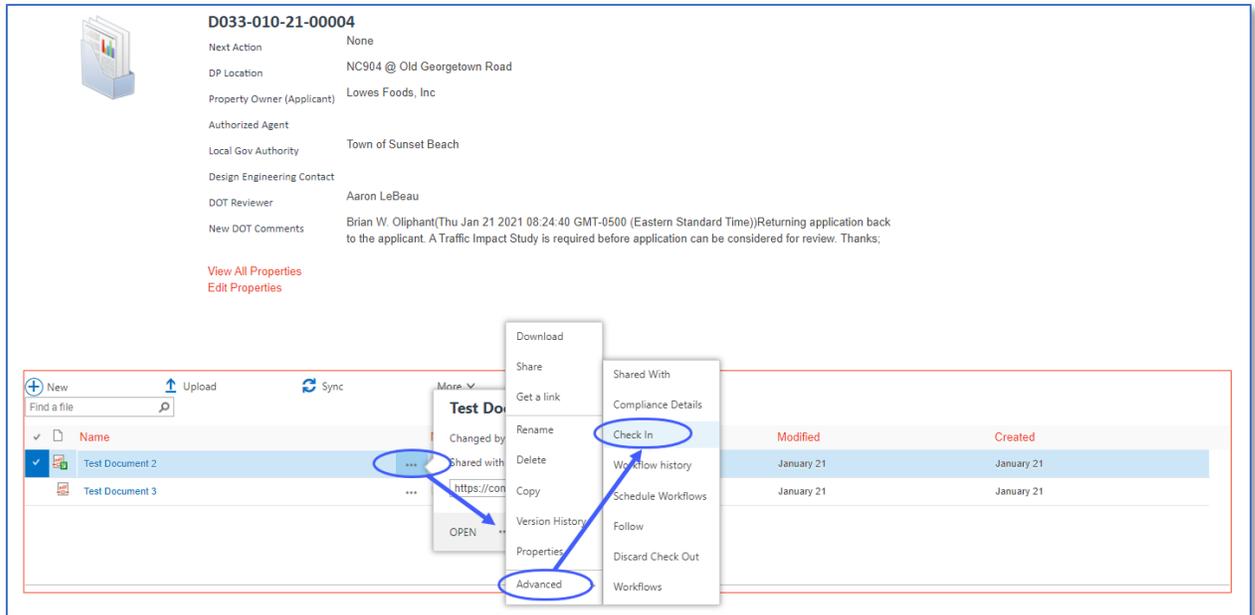
Drag files here to upload

## Document Check In

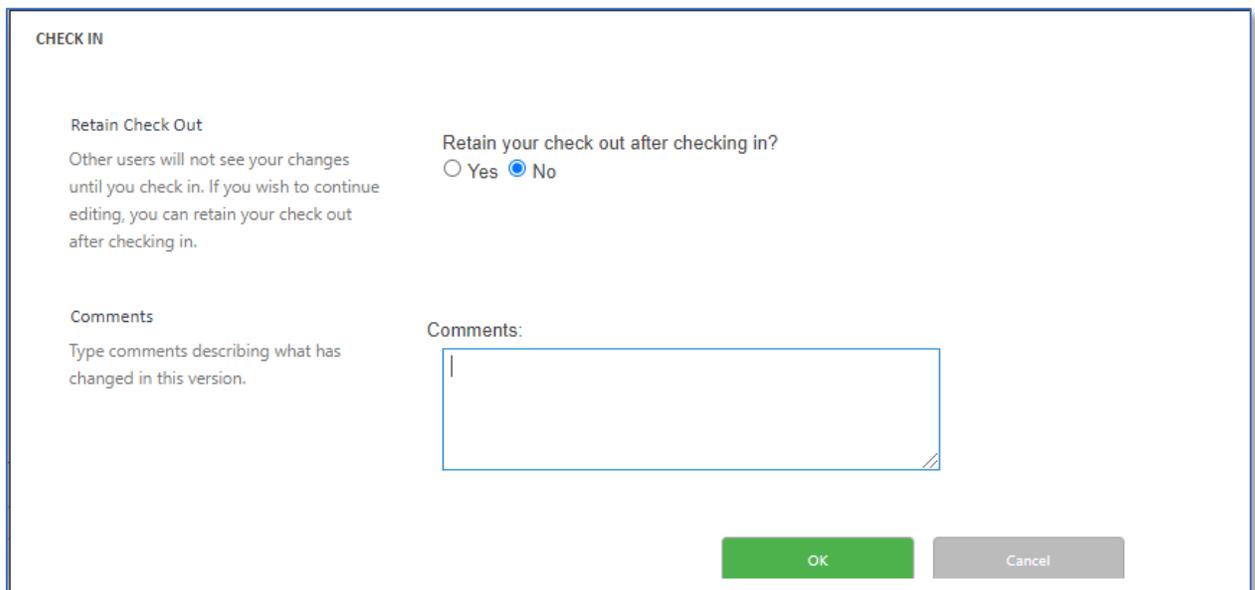
To check in a document, do the following:

1. Locate the checked out document from the list of files. In some instances, there may be multiple checked out documents. Note that only one document can be checked in at a time.
2. Select the ellipsis (...) to the right of the file name.
3. Select the ellipsis (...) on the next panel to continue.
4. Select **Advanced**.
5. Select **Check In** to continue.

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6. Enter any comments associated with the Check In and click **OK** to continue.



7. Verify that the document has been successfully checked in. Repeat these steps for any remaining checked out documents.

### Archiving, Revisions, and Extensions After Approval

Following an Approval, the document set is tagged for archiving following 90 days after the date of approval. The Archiving process means that the Applicant and NCDOT personnel have access to these documents on the Permits site for 90 days to retrieve approved documents. After 90 days, the documents are programmatically archived to NCDOT's District Files accessible only to NCDOT personnel.

Revisions to an Approved Encroachment may be considered. The revision process is dependent on when the encroachment was approved as it relates to the archival process by NCDOT described above.

#### Revisions Prior to Archival to NCDOT District Files

For a revision to an Approved Encroachment Submission that has not been automatically archived, the document set (found by its Encroachment ID number) for the Encroachment Submission must still be located in the NCDOT Permits site. If the Encroachment ID is no longer "findable", then the Encroachment Submission has been archived. In this case, refer to the section below **Revisions After Archival to NCDOT District Files** for instructions for handling a revision after archival has been completed. As long as the encroachment in question is still "findable" and located in the Permits site, continue with instructions in this section.

Revision requests by an Applicant or Submitter to an approved encroachment require the following:

1. The Applicant must upload any revised documents and additional comments to the original Encroachment Submission according to the Encroachment ID. If NCDOT Personnel uploaded the original submission, skip to Step 3.

NOTE: Any revised documents submitted are:

- NOT automatically considered approved by NCDOT and
  - Subject additional required revisions requested by NCDOT to meet NCDOT standards and policies.
2. Since NCDOT personnel are not automatically notified, the Applicant must contact the NCDOT Approving office and Reviewer (if known) directly to advise of the new documents added.
  3. The NCDOT Approving Office must contact the State Encroachment Engineer to request that the **Decision** status be changed to Proposed to prevent automatic archiving.
  4. The Revision process at this point reverts to a normal Encroachment Submission Process (described in previous Sections) until Approval is obtained.

#### Revisions After Archival to NCDOT District Files

Approved encroachments are automatically archived to NCDOT's District Files site and not accessible to applicants and submitters which are not employees of NCDOT. For a revision to an Approved Encroachment Submission when the document set is no longer found by its Encroachment ID number in the Encroachment Submissions site, the following instructions apply.

Revision requests by an Applicant or Submitter to an approved encroachment (and already archived to NCDOT's District Files) require the following:

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1. The Applicant must contact the NCDOT Office which approved the encroachment. If unknown, the Applicant must contact the local District Engineer's office to request a revision. If the District office contact information is unknown, searching by county is available at <https://www.ncdot.gov/divisions/highways/Pages/divisions.aspx>. The revised documents must be submitted via attachment to email to the NCDOT Office that approved the original submittal. In the event the files exceed email attachment limits for file size, NCDOT's File Transfer System (FTS) is the secure way to transfer larger file sized documents. FTS is available using NCID credentials at <https://fts.dot.state.nc.us/>.

NOTE: Any revised documents submitted are:

- NOT automatically considered approved by NCDOT and
  - Subject additional required revisions requested by NCDOT to meet NCDOT standards and policies.
2. The Review and Approval process continues and is restricted to email correspondence at this point between NCDOT and Encroaching Parties / Applicants. No Review Time is calculated for such revisions. An approval of the revision is subject to extent of changes warranting further technical review and any additional required revisions to the most recently submitted revised documents.
  3. The District Office (or NCDOT office which originally approved the encroachment) must upload any revised documents and additional comments to the [District Files site for Encroachments](#) for the archived encroachment according to the original Encroachment ID. Review of these documents and any subsequent changes to documents continue until the documents are approvable.
  4. The Approved revision documents must be uploaded by the Approving Office to the [District Files site for Encroachments](#) for the archived encroachment according to the original Encroachment ID. Additionally, the Approving NCDOT office must send the Approved documents to the Encroaching Party / Applicant via attachment to email or FTS. Best practices for combining files into one approved PDF document and associated file naming conventions are encouraged.

### Appendix A- NCID Access to NCDOT's Permits Site

A Business NCID is required to access the NCDOT Permits site for encroachments and driveway permits. Below are instructions to establish a new Business NCID. Please also note the following:

- Attention local governments, the Local Government NCID does not work with the NCDOT Permits site, so a separate Business NCID must be created for access to NCDOT Permits.
- NCID requires password updates periodically and is not managed by NCDOT.
- If a user does not access the NCDOT Permits site at least annually, access to NCDOT Permits site is subject to being blocked due to expired NCID credentials. If this occurs, please contact NCID to reset your password. If too much time has expired, the NCID account may be subject to being cancelled and may require the user to establish a new Business NCID.
- For a business or local government with multiple employees, EACH employee must use their own personal NCID since employees may come and go. When the NCID is submitted to NCDOT, the business name is also requested so that all employees of the same entity will have access to the same documents. Note that a consulting firm hired by an encroaching party which also submits encroachments will NOT have access to the encroaching party's files; nor will an encroaching party have access to the consulting firm's files within the Permits site. This practice allows firms to conduct business for more than one encroaching party while retaining confidentiality to such files.

To create a new **Business** NCID account, do the following:

1. Select **Register** as shown

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NCID Tips



NCID

[Forgot Username](#)  
[Forgot Password](#)  
[Unlock Account](#)

[Need Help?](#) [Register!](#)

[Privacy and Other Policies](#) [Contact Us](#)



WARNING: This is a government computer system, which may be accessed and used only for authorized business by authorized personnel. Unauthorized access or use of this computer system may subject violators to criminal, civil and/or administrative action.



NCC743

Alternatively, use a web browser to navigate to <https://ncid.nc.gov/ncidsspr/>.

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2. Select **Business** as shown (also applies for municipal and county government employees for access to NCDOT's Permits site).

 **North Carolina Identity Management**   
New User Registration

Please indicate your user type from one of the following categories:

<b>Individual</b>	Request access to the State of North Carolina services as an individual or citizen.
<b>Business</b>	Request access to the State of North Carolina services on the behalf of a business.
<b>State Employee</b>	Currently employed or assigned to work for an agency within the State of North Carolina government.
<b>Local Government Employee</b>	Currently employed or assigned to work for a North Carolina county or municipality.

This system is the property of the State of North Carolina and is for authorized use only. Unauthorized access is a violation of federal and state law. All software, data transactions, and electronic communications are subject to monitoring.

 [Privacy and Other Policies](#) [Contact Us](#)

3. Complete the input form. Fields denoted with an asterisk (\*) are required.
  - Desired Username\*
  - Prefix
  - First Name\*
  - Middle Initial
  - Last Name\*
  - Suffix
  - Email Address\*
  - Confirm Email Address\*
  - Telephone Number\*
  - Telephone Extension
  - Mobile Number (Recommended)
  - Street – Line 1\*
  - Street – Line 2
  - City\*
  - State\*
  - Zip\*
  - New Password\*
  - Confirm New Password\*

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The screenshot shows a web browser window with the title "New User Registration" and "Self Service Password Reset". The page header includes the North Carolina Identity Management logo and text. The main content area contains a registration form with the following fields and instructions:

To create your account, NCID will email you a code. You will need this code once you complete the form below and click the "Continue" button.

Waiting for typing to complete...

Desired Username\*

Prefix (Optional)  
Dr. [dropdown]

First Name\*

Middle Initial (Optional)

Last Name\*

Suffix (Optional)

Email Address\*  
username@domain.com

Confirm Email Address\*

Telephone Number\*  
919-555-1234

Telephone Extension (Optional)

Mobile Number (Recommended)  
919-555-1397

Street - Line 1\*

Street - Line 2 (Optional)

City\*

State\*  
NC [dropdown]

Zip\*

New Password\*

- Password is case sensitive
- Must be at least 8 characters long
- Must not include part of your name or user name
- Must not include a common word or commonly used sequence of characters

4. Select the ***I'm not a robot*** check box and verify.
5. Select ***Continue*** to create your new Business NCID account or select ***Cancel*** to return. An email notification will be received if you created a new Business NCID account.
6. Verify your NCID account which includes answering your security questions which completes the NCID registration with NC Dept. of IT.
7. Upon the completion of this process, use the Business NCID created to submit as a credential to get access to the Permits site. (Please do NOT submit to NCDOT the password or series of numbers initially generated from NCID during the creation of the NCID)

For further assistance or questions concerning NCID, please contact NCID at 919-754-6000, toll free at 1-800-722-3946, or email: [dit.incidents@its.nc.gov](mailto:dit.incidents@its.nc.gov).