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1.0 PURPOSE:

The purpose of this procedure is to define the utility acquisition process associated with adjustment and/or relocation of existing utilities to accommodate roadway construction.

2.0 RESPONSIBILITIES:

- 2.1 NTTA Board of Directors – The Board shall be responsible to approve the recommendation of the ED for all AAUs greater than \$300,000.
- 2.2 Executive Director (ED) - The ED shall be responsible to review and approve or reject all AAUs over \$100,000 and executing the AAU prior to commencement of work. All AAUs greater than or equal to \$300,000 shall be approved by the Board prior to execution.
- 2.3 Assistant Executive Director (AED) – The AED shall be responsible to review and approve or reject all AAUs less than \$100,000 and executing the AAU prior to commencement of work.
- 2.4 Director of Project Delivery (DPD) - The DPD shall be responsible to review and approve or reject all AAUs less than \$25,000 and executing the AAU prior to commencement of work.
- 2.5 Corridor Manager (CM)/Project Manager – The CM or Project Manager shall be responsible for reviewing and recommending approval of utility owner payment requests and for obtaining NTTA funding approval on all AAUs.
- 2.6 ROW Development Manager - The ROW Development Manager shall be responsible for reviewing and recommending approval of all utility owner payment requests. The ROW Development Manager will review the utility invoices for completeness and accuracy before submitting for payment processing. The ROW Development Manager shall also prepare any necessary NTTA Board documents for AAU's over \$300,000.
- 2.7 Design Section Engineer (DSE) – The DSE shall be responsible for mapping utilities on project plans, identifying all utilities that are to be relocated on 60% design plans, and reviewing all utility adjustment/relocation designs. The DSE shall incorporate designs of utilities within the roadway into the bid documents at 90% design stage.
- 2.8 Construction Manager – The Construction Manager shall be responsible for reviewing all utility adjustment/relocation designs, depicting constructed utilities within the roadway right-of-way into the project/section record documents, and performing close-out activities.
- 2.9 Utility Coordination Consultant (UCC) – The UCC shall be responsible for reviewing and recommending approval of utility owner payment requests, forwarding copies to the corridor manager for approval, and if approved, forwarding copies to the NTTA. The UCC shall prepare a summary of existing utility adjustments,

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shall oversee relocation and adjustment of all utilities not eligible for reimbursement, and shall issue a formal request for design, construction schedule and cost estimates to utility owners for all adjustments and relocations that are eligible for reimbursement. The UCC shall forward copies of all utility adjustment/relocation designs to the DSE and the CM. The UCC shall prepare 2 copies of the approved AAU for the CM and shall draft a letter for the utility owner signature of agreement. For design within roadway plans, the UCC shall forward approved utility adjustment/relocation designs to the DSE for incorporation into bid documents prior to 90% design completion or to the construction manager for incorporation into the project/section as-built documents after 90% design completion. In the case where utility relocation occurs concurrently with construction activities, the UCC shall be responsible to work with the construction manager to ensure utility relocation activities do not conflict with the construction schedule. The UCC is required to prepare and submit change order requirements for modifications and update utility schedules and budget estimates.

- 2.10 Utility Owner** – The utility owner shall be responsible for preparing and submitting to the UCC a design with cost and schedule estimates for each utility relocation/adjustment eligible for reimbursement by the NTTA and for approving the AAU.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all necessary reimbursable utility relocations on NTTA projects and corridors.

4.0 REFERENCES:

- TxDOT *Utility Manual*, July 2005
- CA-08 Independent Cost Estimate Procedure

5.0 DEFINITIONS & ACRONYMS

6.0 PROCEDURES:

- 6.1 Field Verification** – Through field verification, plans from utility owners, and the DSEs 30% design submittal, the UCC shall prepare a summary of existing utilities. The utility adjustment summary shall include the utility type, location, conflict description, and utility owner.
- 6.2 Utility Conflict Identification** – The DSE shall identify all utilities that will require relocation on their 60% design plans as “TO BE RELOCATED BY OTHERS”. If field verification is required to determine whether adjustment or relocation of the utility is required, the UCC shall coordinate with the utility company and the DSE to expose the utility and shall field verify the location to make this determination.

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- 6.3 **SUE Data** – The DSE shall identify within the design plans the location, alignment, and grade of each public or private utility crossing, including both aerial and underground lines. The utility identification shall be defined by the proposed roadway centerline stations, skew, elevations, owner, the type of line crossed, and all other pertinent data visible in the field or obtainable from local residents, records, and utility representatives.

- 6.4 **Request for Utility Design** – The UCC shall issue a formal request for design and cost estimate to the responsible UOs for all utility adjustments and relocations eligible for reimbursement. The UCC shall, throughout the project, coordinate construction of utility relocations directly with the responsible utility owners, the Right-of-Way Acquisition Team (RAT), and with the construction manager, as necessary, to meet established project schedules and to avoid construction conflicts

- 6.5 **Non-Reimbursable Relocations** – The UCC shall oversee the relocation and adjustment of all utilities not eligible for reimbursement, but deemed to be in conflict with the proposed roadway alignment, to minimize impact to the project schedule and shall insure utility installation is in compliance with all applicable codes, ordinances, regulations, and construction standards.

- 6.6 **Utility Plan Submittal** – The utility owner shall prepare and submit a design with cost and schedule estimates for each of the utility relocations or adjustments which are eligible for reimbursement by the NTTA. The utility owner may include several, or all, of their facilities within a design section in their design and cost estimate submittal to incorporate into an AAU with NTTA.

- 6.7 **Estimate Submittal** – All utility owner cost estimates shall be of adequate detail (i.e. – material quantities, unit prices, labor and equipment costs, etc.) to evaluate whether the estimated cost is fair and reasonable. The cost estimates shall identify any salvage items, betterments or extended service life elements, if applicable. Engineering plan and cost estimate submittals by the utility owner shall be forwarded to the UCC for review of the utility adjustment/relocation design and the estimated utility adjustment/relocation cost and schedule. A minimum of 30 calendar days shall be allowed for design review and approval.

- 6.8 **Design Review** – The UCC shall forward 1 copy of the utility adjustment/relocation design to the DSE for review, to verify all conflicts with the proposed roadway elements are eliminated, and to identify any new conflicts with the proposed roadway project created by the Utility Owner's design. The DSE shall forward all review comments to the UCC within 15 calendar days.

- 6.9 **Construction Management Review** – The UCC shall forward 1 copy of the utility adjustment/relocation design proposal to the construction manager for review to verify the utility relocation adjustment clears all construction conflicts, and that the utility installation does not create any new constructability issues for the roadway contractors. The construction manager shall forward all review comments to the UCC within 15 calendar days.

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- 6.10 AAU Request** - The UCC requests an AAU from the Contract Management department for tracking and budget purposes
- 6.11 Agreement Preparation** – The UCC shall investigate all review comments, and if the design is unacceptable, shall notify the utility owner and to request a design re-submittal. Upon receipt of approved engineering, the UCC shall prepare 2 copies of the AAU, draft a letter requesting utility owner agreement signature, send to the Utility Owner for signature and forward to the CM or Project Manager with a recommendation for funding approval.
- 6.12** The UCC shall prepare an Independent Cost Estimate in accordance with CA-08 for any AAU's exceeding \$100,000.
- 6.13 NTTA Funding Approval** – The CM or Project Manager shall present the proposed agreement to Program Support staff who shall route the agreement for NTTA approval. Once funding approval has been attained, 2 original copies of the AAU shall be sent to the utility owner for signature.
- 6.14 Utility Final Approval** – The utility owner shall return both signed copies of the AAU to the UCC. UCC shall forward the originals to NTTA Procurement Services to obtain NTTA Legal Counsel signature. Once signed, one signed original shall be sent to the utility owner and one retained by the NTTA.
- 6.15 Utility Design Within Roadway Plans** – If the utility relocation design is approved prior to the DSEs submittal of 90% plan documents for review, the UCC shall forward the approved utility adjustment/relocation design drawings to the DSE for incorporation into the bid documents. The DSE shall modify design plans to show the proposed utility adjustments and/or relocation(s). If the utility relocation design is approved after completion of the DSEs submittal of 90% plan documents for review, the UCC shall forward the approved utility adjustment/relocation design drawings to the construction manager for incorporation into the project/section record documentation.
- 6.16 Utility Relocation Verification** – The UCC will oversee the Utility Relocation Inspector which will be responsible for preparing and conducting a preconstruction meeting with the utility, assistance with prioritization of utility construction activities, verification that construction concurs with approved plans, and capturing of location of new lines with GPS coordinates. The inspector will also assist by providing daily notes, monitor schedules, assist with preparing and submitting any necessary change orders to the Corridor Manager, provide status reports as necessary, assistance with preparing a composite utility map and verification of invoices. If an emergency arises, the inspector will follow the necessary process to assure the safety of the workers and the public.
- 6.17 Utility Billing Verification** – Utility owner payment requests shall be forwarded to the UCC for review and recommendation of approval. The UCC shall forward copies of the payment request to the CM for review and recommendation of approval. After review, the UCC shall forward the payment request to the Invoice Manager with recommendations for processing.

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6.18 Close-out Activities and As-Built Documentation – The UCC shall coordinate collection of red-lined drawings, CAD files (if available) and as-built documentation from the utility owners and forward to the construction manager. The construction manager shall perform necessary utility relocation contract close-out activities, and shall incorporate the “As-Built” utility relocation information into its project/section “Final Record Drawings”. The UCC shall complete the Utility Adjustment Agreement Closeout Checklist UC-01-F7.

7.0 REGULATORY REQUIREMENTS:

- 43 Texas Administrative Code; Sections 21.21 - 21.41, Utility Accommodation Rules
- Texas Transportation Code (TTC), Chapter 366.171 – Regional Tollway Authorities

8.0 RELATED BOARD POLICY:

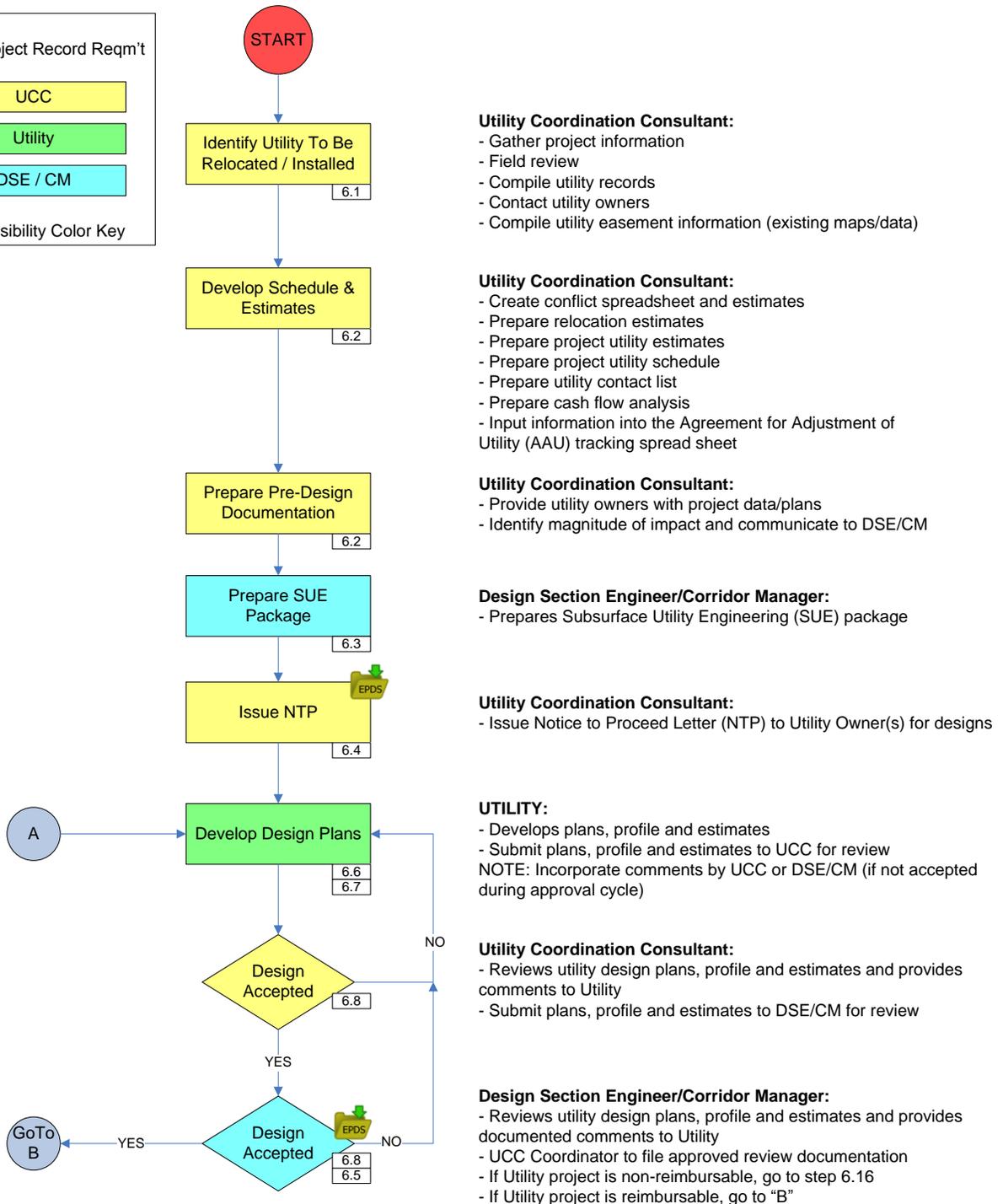
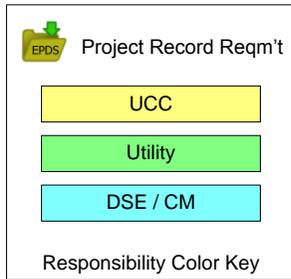
N/A

9.0 COMPONENT DOCUMENTS:

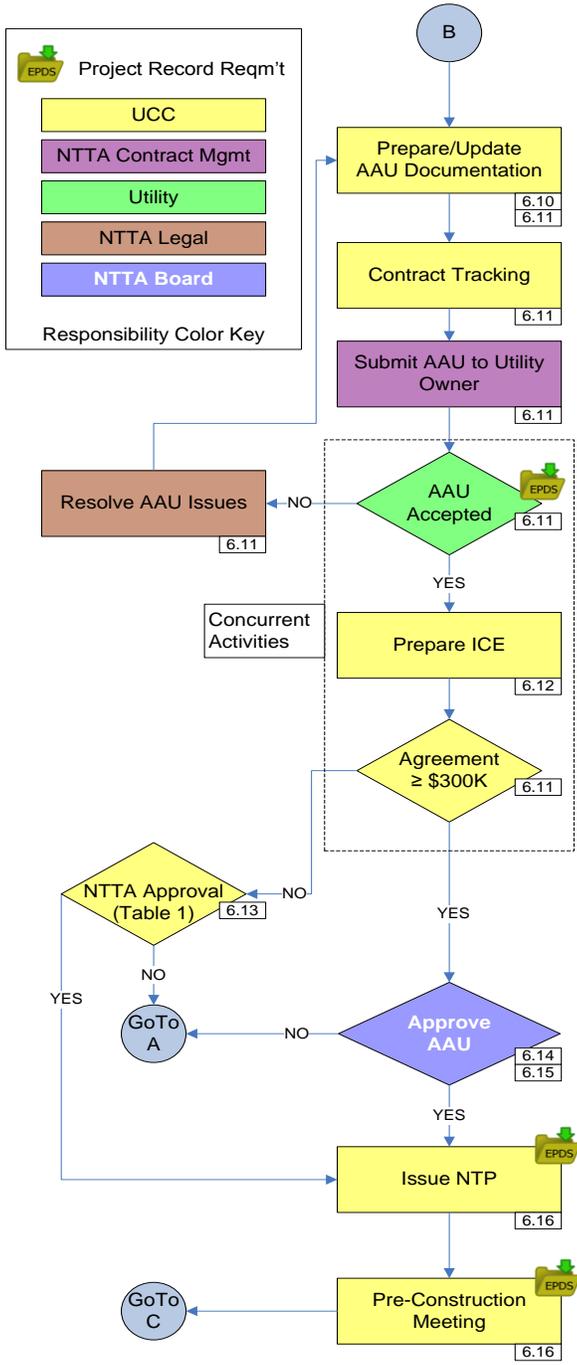
- UC-01-F1 Verizon AAU Template
- UC-01-F2 ATT AAU Template
- UC-01-F3 Atmos AAU Template
- UC-01-F4 Oncor AAU Template
- UC-01-F5 Garland Power & Light AAU Template
- UC-01-F6 Generic AAU Template
- UC-01-F7 Utility Adjustment Agreement Closeout Checklist
- UC-01-F8 Contract Acceptance and Closeout Letter

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10.0 FLOWCHART:



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Utility Coordination Consultant:

- Requests AAU tracking number from NTTA Contract Management
- Develop/update the AAU
- Update schedule and budget estimates
- Submit to the Program Support Staff for tracking and approval

Program Support Staff:

- Enters AAU in NTTA Contract tracking system
- Submit AAU to NTTA Contract Management

NTTA Contract Management:

- Submit AAU to Utility Owner

UTILITY:

- Approval and execution of AAU
- AAU includes plans, agreement, schedule and estimates
- UCC Coordinator to file approved review documentation

Utility Coordination Consultant:

- Prepares Independent Cost Estimate in accordance with CA-08

Utility Coordination Consultant:

- If agreement is \geq to \$300K dollars, then NTTA board approval is required

NOTE: Only required for relocation paid by the NTTA

NTTA Approval:

- Obtain approvals as indicated in Table 1

Value	Approval Authority
\leq \$25,000.00	Department Director (DD)
$>$ \$25,000.00 & \leq \$100,000.00	Assistant Executive Director (AED)
$>$ \$100,000.00 & $<$ \$300,000.00	Deputy Executive Director (DED)
\geq \$300,000.00	Executive Director (ED)
	NTTA Board of Directors

Table 1

NTTA/SPOC Board:

- AAU submitted to SPOC for approval
- AAU submitted to Board for approval
- If agreed, then go to next step
- If rejected, then new/revised plans are needed

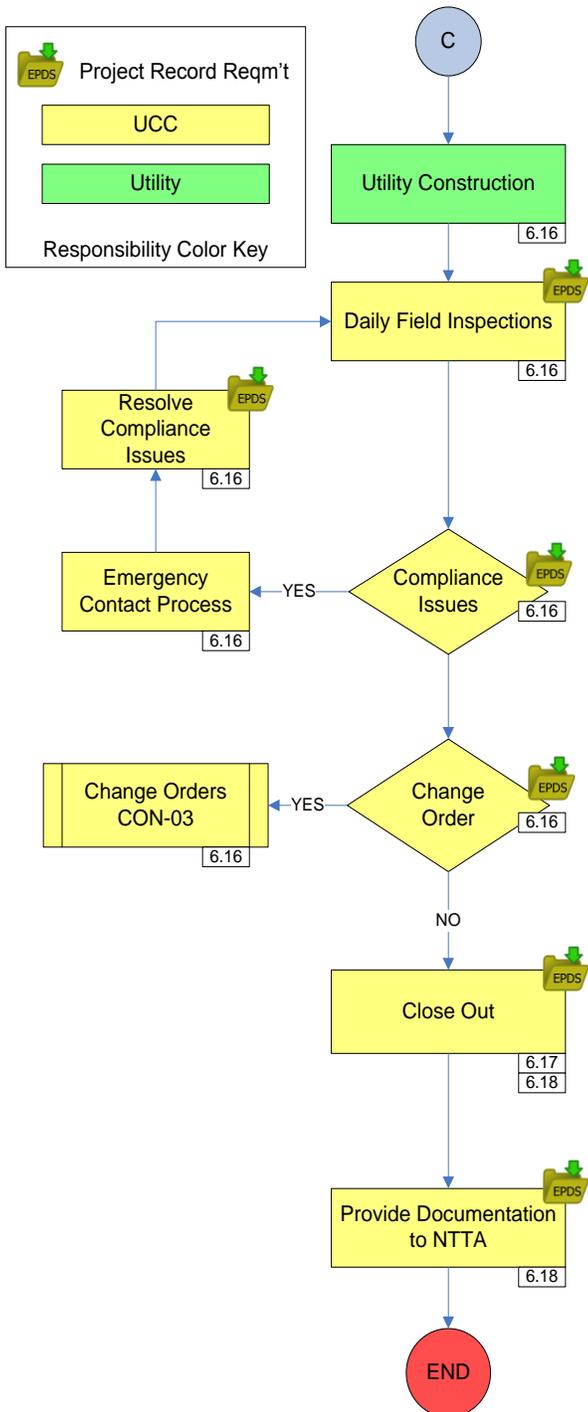
Utility Coordination Consultant:

- Issue Notice to Proceed Letter (NTP) to Utility Owner(s) to start construction
- Forward NTP & AAU to Program Support Staff for filing

Utility Coordination Consultant:

- Conduct pre-construction meeting to review AAU requirements
- Provide updated ROW schedule and parcel availability
- Prepare meeting agenda and documentation
- Review construction methodologies
 - Safety Plan
 - Schedule
 - Traffic Control Plan
 - Address Environmental Requirements/Plans

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UTILITY:
- Construction proceeds as planned

Utility Coordination Consultant:
- Review project construction phasing for prioritization of inspection locations- Verifies construction per approved plans
- Capture GIS Data on all utility locations as they become available
- Prepare composite utility maps
- Record Inspection results in Daily Diary

Utility Coordination Consultant/Utility/NTTA:
- If a compliance issue arises, utilize the emergency contact list to communicate
- Document all issues and their resolution

Utility Coordination Consultant:
- Submits change order requirements for modifications
- Update schedule and budget estimates

Utility Coordination Consultant:
- Use Contract Close Out form UC-01-F7 to document activity
- Perform final inspection of entire utility relocation
- Review and approve relocation invoices
- Submit relocation invoices to Program Support Staff
- Obtain "as-built" documentation from Utility Owners
NOTE: New or Betterment relocations are not reimbursed by the NTTA

Utility Coordination Consultant:
- Upload project documentation into EPDS
- Provide composite utility map to Construction Management, Maintenance and IT Departments

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11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Dave Clarke	06/05/2008		Original Issue
1	Dave Clarke	02/19/2010	10104	Added flowchart. Added closeout checklist (UC-01-F7). Added Franchise Agreements AAU (UC-01-F1/F6). Move SUE data from 7.1 to 6.3. Added 6.15, Utility Relocation Verification. Added reference links.
2	Dave Clarke	04/30/2010	10142	Added Department Director responsibilities to 2.5. Added UCC responsibilities to 2.9 and 2.16 for change orders. Added Preconstruction Meeting requirement to 6.16. Added Department Director responsibilities to 2.5. Added change order requirements to 2.9, 6.16. Made paragraph number references to flowchart for clarify.
3	Dave Clarke	05/06/2011	10278	Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations.