

Document Release Notice

Document Number:	UC-01	Title:	Utility Relocation Process	
Current Revision #:	2	Type of Change:	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE	
New Revision #:	3	DRN Number:	10278	<input type="checkbox"/> MAJOR <input checked="" type="checkbox"/> MINOR <input type="checkbox"/> ADMIN
Date Submitted:	2/23/2011	Document Type:	QMS Document - UC	Choose from Drop Down Menu - left

Summary of Proposed Changes:


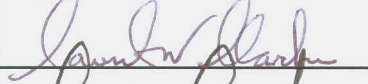

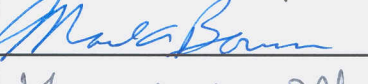
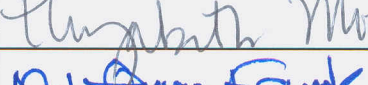
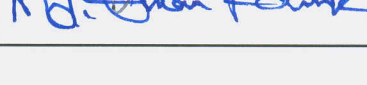
- Include paragraph numbers or other references & attach a copy of the new or revised documents)
- For new documents, indicate "Original Release"

Further defined Responsibilities Section 2.0 to update the NTTA responsibilities and added the ROW Development Manager's responsibilities in paragraph 2.6 Under the Procedures Section 6.0, modified paragraphs 6.12 to clarify the threshold for when an ICE is required, in paragraph 6.13, defined the NTTA roles based on new NTTA titles. In paragraph 6.15, changed NTTA Contracts Management to Procurement Services. I paragraph 6.18, added CAD files to As Built documents required at contract close-out.

Reason for New Release / Revision / Obsolescence:

Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations.

Required Signatures:

Title	Printed Name	Signature	Date
Originator	Dave Clarke		3/8/10
Process or Content Owner	Dave Clarke		3/8/10
Quality Manager	Troy Federspiel		3/10/11
NTTA Manager	Mark Bouma		4/19/11
Department Director	Elizabeth Mow		5-6-11
Document Control	Md Omar Faruk		05/17/2011

From: EPDS
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Subject: PMO Form: Online QMS Manual Semi Annual update (#290), For your information

Document:	PMO Form: Online QMS Manual Semi Annual update (#290)
Workspace:	PROJECT: Notifications Project (#123NOTIFY)
From:	Proliance Notification
Date Sent (Project Time Zone):	05/17/2011 3:49 PM (GMT -05:00)
Action by:	Jack Harper (NTTA)
Action taken:	Transitioned from - Draft
Current state:	Submitted
Priority:	Normal
Expected Action:	none
Due Date:	none
Message:	Project Delivery Document Control announces the Semi Annual Release of the online QMS Manual. Inside this EPDS Notification document is a list of all documents that have been revised in the QMS Manual. Please review to familiarize yourself with any changes.


People receiving this notice:

Name	Department	Expected Action
Aaron Kwast	HDR Engineering	none
Abas Kakesh	KBR	none
Abulkhair Zobayed	KBR	none
Adam Henderson	Webber	none
Adam Keckler	Webber	none

MEMORANDUM

Date: May 16, 2011

To: All EPDS Users

From: Elizabeth Mow, P.E., Director of Project Delivery 

Subject: QMS Manual Updates

The following documents have been released to the QMS Manual. Please note that training has occurred before the release was made and/or is scheduled to occur on all major changes, within the month of May. Regarding the minor changes, if your role requires your involvement in the execution of the document, it is now your responsibility to retrieve the latest version from the QMS manual and familiarize yourself with the changes. Upon review, if you determine you require further clarification or training, it is your responsibility to contact the project delivery business process owner for the same.

The QMS Manual is available at:

<http://www.ntta.org/WorkingWithUs/NTTA+QMS+Manual+and+Forms/>

Document #	Document Title	DRN#	Type of change	Description of Change
CA-01	Procurement – Professional Services	10302	Minor	Section 2.0 Updated responsibility titles for NTTA Project Delivery Contracts Manager. Added PD Program Controls Manager. Section 6.1 Clarify processes for project controls review. Added Legal Form link. Section 6.1.2 Added details relating ICE and negotiation commencement. CA-01-F18 Expanded Contract Checklist to include WA/SA. Updated flowchart.
CA-02	Invoicing and Payment	10297	Major	Update to all sections of the QMS Invoicing and Payment Procedures. Deletion of link to Payment Recommendation Transmittal (PRT). Update to Forms. Corresponding update to Procedure Flow Chart.
CA-03	Professional Services Change Management	10303	Minor	Update to Procedures to align with staffing changes and clarification to current procedures to decrease routing time and improve workflow efficiency. Corresponding update to Procedure Flow Chart.
CA-04	Contract Closeout- Professional Services, Goods and Services, and Consulting Services	10268	Minor	Update to Procedures to align with staffing changes and clarification to current procedures to increase preparation accuracy, decrease routing time and improve workflow efficiency. Corresponding update to Procedure Flow Chart.

CA-06	Professional Services Work Authorization Development and Execution	10305	Minor	Update to Procedures to document implementation and clarify function of current procedures. Project Controls revision will provide more timely financial details to the Manager and staff. Update will reduce routing time and increase workflow efficiency. Corresponding update to Procedure Flow Chart.
CA-07	Procurement-Deign Bid Build Construction	20306	Minor	Update to include Project Delivery Contracts Manager position. Form addition to add departments to the Distribution List. Revisions made to Bid Opening Checklist to include verifying Bid Amount within Budget. Corresponding update to Procedure Flow Chart.
CA-08	Independent Cost Estimate Process	10300	Minor	Modify procedures to address recent organizational changes and to update forms and flow chart to reflect current practices.
CON-01	Construction RFI Review Process	10293	Minor	Changed for Construction Manager to close out RFIs not the Contractor in QMS Procedure, either currently allowed in EPDS. Updated titles and clarified existing workflow.
CON-02	Construction Submittal Review Process	10267	Minor	Revised titles to current NTTA structure and clarifications. No change in procedure or signature. Changed CM to Construction Manager on Business Process Workflow chart. Added CON-02-A2 to 9.0 Component Documents. Updated CON-02-A1
CON-03	Construction Change Order (CO) Process	10301	Minor	Revised titles to match current NTTA employees. Split CON-03-F1 into CON-03-F7 (Original Release) version to satisfy recent NTTA Finance Department request, but process is really unchanged, just same data presented concisely. Clarified Change Order procedure to match current actual process.
CON-04	Construction Administration	10294	Minor	Updated titles to current NTTA structure and added CON-04-A1 and CON-04-A2
CON-06	Construction Contract Closeout	10281	Minor	No change to process, but adjusted titles to current NTTA structure.
CON-07	Control of Nonconforming Items during Construction	10307	Minor	Original Issue – This procedure was originally QM-09 Control of Nonconforming Product which has been made obsolete.
DM-01	Management of Controlled Documentation	10264	Minor	Revision done due to recent organizational changes in the Project Delivery Department and current business practices. Updated 2.0 Responsibilities, 6.0 Procedures, and 10.0 Work Flow, Replaced PMO with PD.
DM-02	Project Delivery Records Management Requirements	10266	Minor	Revision done due to recent organizational changes in the Project Delivery Department and current business practices. Updated 2.0 Responsibilities, 6.0 Procedures, and 10.0 Work Flow, Replaced PMO with PD.

ENV-03-A1	EPDS ENV NCR Work Flow	10259	Admin	Revision done due to recent organizational changes in the Project Delivery Department and current business practices.
FD-01	PS&E Development Review and Approval	10296	Major	NTTA organization changes. Deleted Guiding Principles, Updated roles and responsibilities, included procedure to EPDS submittals, updated flow charts.
FD-03	NTTA Special Specification, Special Provisional and General Note Management	10282	Minor	NTTA organization changes. Updated functional titles, removed unnecessary acronyms, revised NTTA Legal Counsel responsibilities, aligned procedures to current workflow, added QM-12 as a reference.
FD-04	NTTA Standards Management	10283	Minor	NTTA organization changes. Updated new/replaced roles, referenced new procedures and made revisions for clarity. Updated flow chart.
FD-06	Design Criteria	10284	Minor	NTTA organization changes. Updated new/replaced roles and made revisions for clarity.
FD-07	Constructability Review	10285	Minor	NTTA organization changes. Updated new/replaced roles and made minor revisions for clarity.
PC-02	Cost Estimates	10265	Minor	Revised to reflect current business practices. Eliminated Program Managers role in 2.0, and updated title of Cost Estimate template to "NTTA Project Estimating Template" in Section 9.0
PC-06	Schedule Management	10279	Minor	Revised to reflect current business practices. Revised Section 2.2 to current organizational chart, revised 6.11, 6.13, 6.14, 6.15, and PC-06-F1 to comply with organization changes.
PC-08	Budget, Schedule and Forecast Meeting	10280	Minor	Revised to reflect current business practices relative to organization chart for NTTA Project Delivery and revised process followed for corridor/project status meetings.
PI-01	Media Relations Process	10269	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Changed PIO to Media Relations Manager.
PI-02	Stakeholder Advisory Groups	10270	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Removed reference to Assistant Director of Government Affairs.
PI-03	Stakeholder Communications	10271	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Updated 6.1 presentation venue information.
PI-04	Public Meetings	10272	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Added Project Communications Manager to oversight process.
PI-05	Public Hearings	10273	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Inclusion of additional TX Administrative Code options and addition of PCM in oversight.

PI-06	Corridor Progress Reports (CPR)	10274	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Removal of SPOC terminology.
PI-07	PI Plan Development	10275	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Removal of Program Management Office terminology.
PI-08	Graphics Production	10276	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Removed graphic designer references and replaced with graphic supervisor language.
PI-10	Meeting Minutes and Synopsis Approval	10277	Minor	Revised to reflect current business practices. Requested Review by Project Delivery. Realignment of process.
QM-02	Corridor/Project Quality Plan Requirements	10298	Minor	Revised to reflect current business practices. PMO changed to Project Delivery (PD). PMO Construction Oversight Manager to the Construction Oversight Manager, PMO Deputy Program Manager changed to the Program Controls Manager, PMO Assistant Program Manager changed to PD Contracts Manager. Assistant Executive Director removed from the required approval. Table Two updated to reflect the changes.
QM-04	Management Review	10299	Minor	Removed guiding principles and updated scope applicability.
QM-09	Control of Nonconforming Product – Construction	10314	Minor	Obsolete
QM-12	Control of QMS Management	10295	Minor	Removed guiding principles and updated scope applicability. Updated 3.0 Responsibilities; Deleted the Asst. Exec Director, Deputy Program Manager, Project Delivery IT Liaison. Added NTTA Functional Managers. Clarification added to Section 6.0
ROW-01	ROW Surveying and Mapping	10315	Minor	Added items 2.4, ROW Development Manager Responsibilities and Item 6.5, NTTA Review and Approval of ROW documents
SD-01	Conceptual Alternatives Analysis	10286	Minor	Removed guiding principles; Replaced Design Manager Staff with NTTA Design Manager; Removed PD Design Management staff; replaced DPM with NTTA Design Manager.
SD-02	Schematic Level Traffic Analysis	10287	Minor	Removed guiding principles and updated 3.0 scope applicability.
SD-03	Schematic Geometric Design	10288	Minor	Removed guiding principles and updated 3.0 scope applicability and 6.0 Procedures.
SD-04	Schematic Review Process	10289	Minor	Updated roles new/replaced roles and provided minor revisions for clarity.
SD-04-A1	EPDS Design Packages Schematic Process Flow	10316	Minor	Updated the reference card.

SD-05	Value Engineering	10290	Minor	Removed guiding principles and included VE activities to be conducted, abbreviation of Director of Project Delivery to "DPD", and Replaced DPM and PM with NTTA Design Manager.
SD-06	Schematic Design	10291	Minor	NTTA organizational changes. Dispute Resolutions is the responsibility of the DF Manager, replaced Visual Quality Assurance Manager with PD Visual Quality Manager, changed PMO VQ Manager "approval" of VQAM to "recommendation".
UC-01	Utility Relocation Process	10278	Minor	Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations.
VQ-01	Precast Manufacturing Plant Visual Quality Inspection	10257	Major	Original Release- procedures describes the Visual Quality inspection, documentation, and reporting required for Precast manufacturing plant inspection. Needed to establish the procedure.
VQ-02	Construction Site Visual Quality Inspection	10258	Major	Original Release - procedures describes the Visual Quality inspection, documentation, and reporting required of the Construction Site Quality Visual Assurance inspector prior to the placement of structural concrete for cast-in-place and precast structure elements. Needed to establish a procedure within the QMS for Construction Site Visual Quality inspection.
VQ-03	Visual Quality Control of Nonconforming Product	10308	Major	Original Release - removed from QM-09 Control of Nonconforming Product-Construction

If you have any questions or need additional information regarding the above release, please do not hesitate to call Md Omar Faruk at 214-224-2439.

cc: Ijay Nkele
Mike Hutchison
Troy Federspiel
Md Omar Faruk

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 3 Issue Date: TBD	Page 1 of 9
Title: Utility Relocation Process		

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:

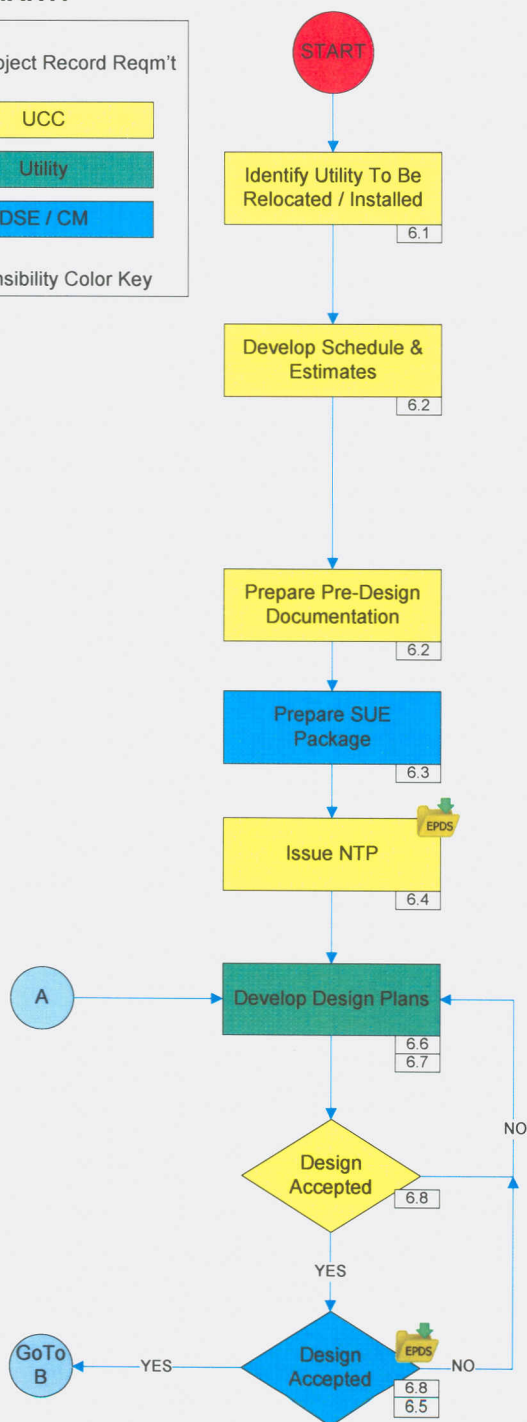
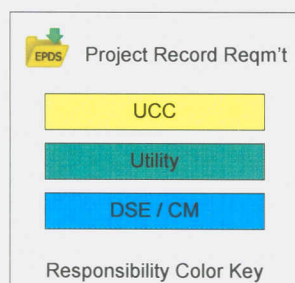
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9.0 COMPONENT DOCUMENTS:

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:



Utility Coordination Consultant:

- Gather project information
- Field review
- Compile utility records
- Contact utility owners
- Compile utility easement information (existing maps/data)

Utility Coordination Consultant:

- Create conflict spreadsheet and estimates
- Prepare relocation estimates
- Prepare project utility estimates
- Prepare project utility schedule
- Prepare utility contact list
- Prepare cash flow analysis
- Input information into the Agreement for Adjustment of Utility (AAU) tracking spread sheet

Utility Coordination Consultant:

- Provide utility owners with project data/plans
- Identify magnitude of impact and communicate to DSE/CM

Design Section Engineer/Corridor Manager:

- Prepares Subsurface Utility Engineering (SUE) package

Utility Coordination Consultant:

- Issue Notice to Proceed Letter (NTP) to Utility Owner(s) for designs

UTILITY:

- Develops plans, profile and estimates
- Submit plans, profile and estimates to UCC for review
- NOTE: Incorporate comments by UCC or DSE/CM (if not accepted during approval cycle)

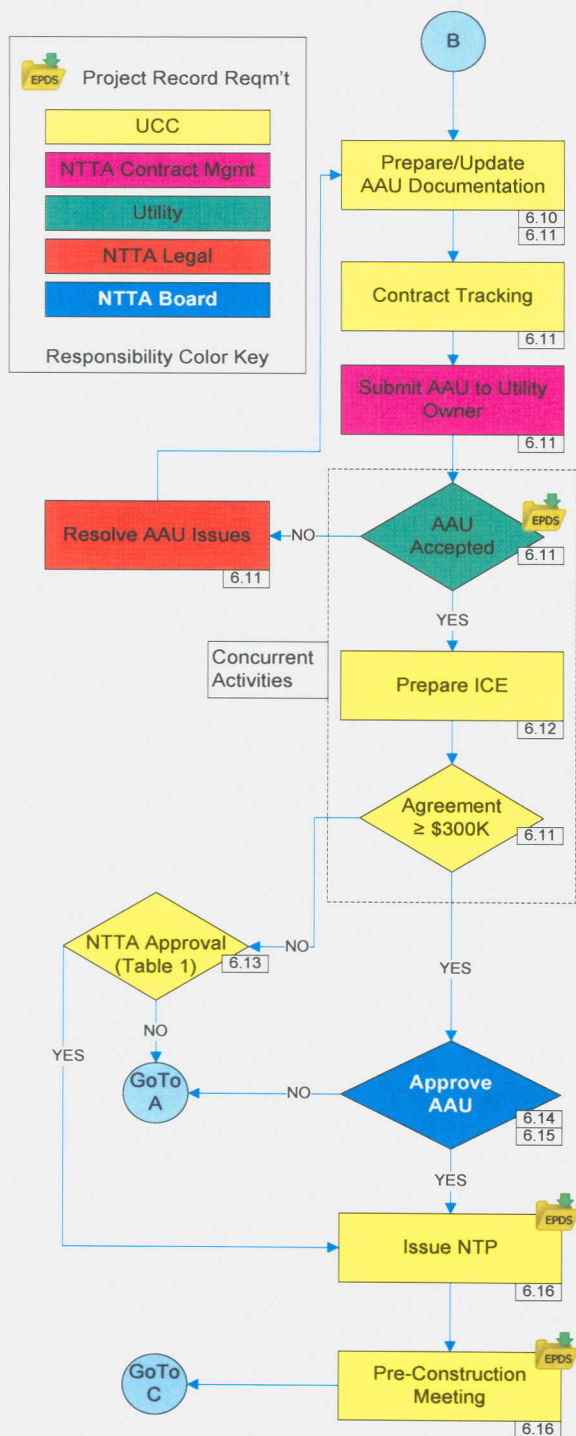
Utility Coordination Consultant:

- Reviews utility design plans, profile and estimates and provides comments to Utility
- Submit plans, profile and estimates to DSE/CM for review

Design Section Engineer/Corridor Manager:

- Reviews utility design plans, profile and estimates and provides documented comments to Utility
- UCC Coordinator to file approved review documentation
- If Utility project is non-reimbursable, go to step 6.16
- If Utility project is reimbursable, go to "B"

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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:

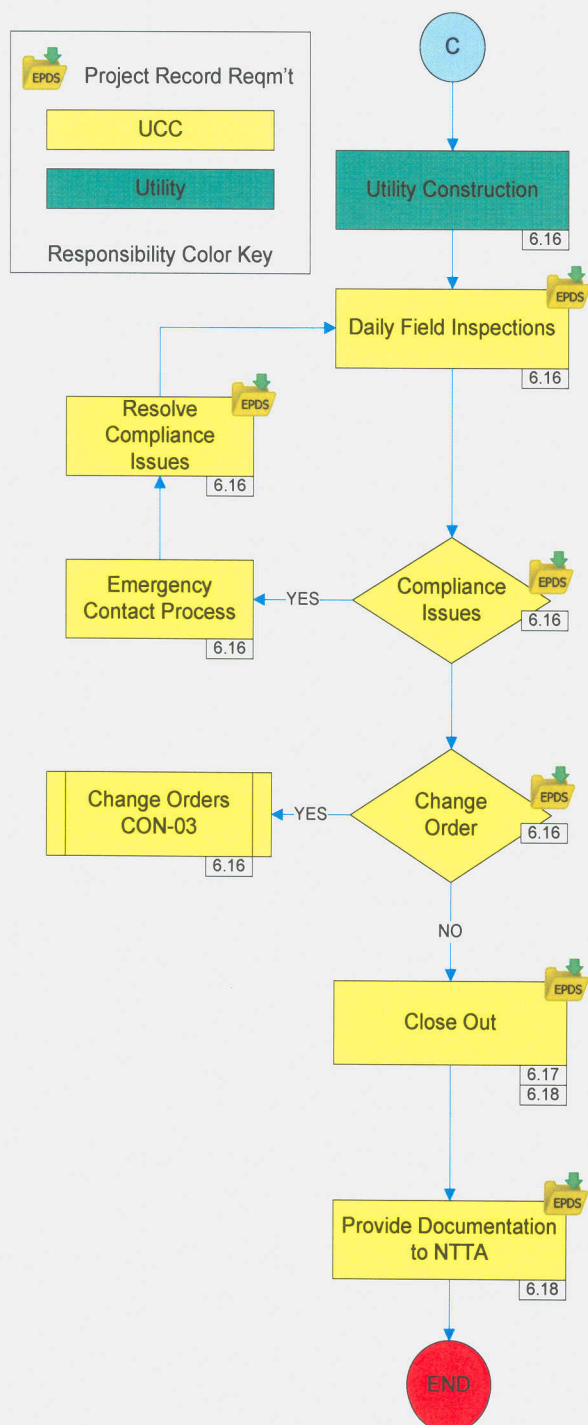
- AAU submitted to SPOC for approval
- AAU submitted to Board for approval
- If agreed, then go to next step
- If rejected, then new/revised plans are needed

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



- 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	TBD	10278	Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations.

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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. ~~Arecommend approval of all AAUs greater than or equal to \$300,000 shall be approved by the Board prior to commencement of workexecution.~~

~~2.3 Deputy Executive Director (DED) – The DED shall be responsible to review and approve or reject all AAUs between \$100,000 and \$300,000 and executing AAU prior to commencement of work.~~

~~2.4~~ 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.

~~2.5~~ 2.4 ~~Department~~ Director of Project Delivery (DPD) - The DPD shall be responsible to review and approve or reject all AAUs less than ~~or equal to~~ \$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 approving utility owner payment requests and for obtaining NTTA funding approval on all AAUs. ~~For all AAUs less than \$100,000, the CM or Project Manager shall obtain NTTA funding approval from the AEDDPD, for all AAUs between \$100,000 and \$300,000, the CM or Project Manager shall obtain NTTA funding approval from the DED AED or ED, however, for all AAUs greater than or equal to \$300,000 the CM or Project Manager shall present the AAU to the NTTA Board of Directors for approval.~~

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 moved-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.

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- 2.8 Construction Manager – The ~~construction~~ Construction manager Manager shall be responsible for reviewing all utility adjustment/relocation designs, ~~depicting constructed incorporating 90% designs of~~ utilities within the roadway right-of-way into the project/section ~~as-built~~ 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, 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:

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- 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.
- 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

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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 signature to the NTTA AED DPD for approval if less than \$100,000, for all AAUs between \$100,000 and \$300,000, funding approval is required from the NTTA AED. If the AAU is greater than or equal to \$300,000, the AAU shall be presented to the NTTA ED and then the NTTA Board of Directors for review and~~ 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 Contracts ManagementProcurement 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 ~~as-built~~record documentation.

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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.

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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
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8.0 RELATED BOARD POLICY:

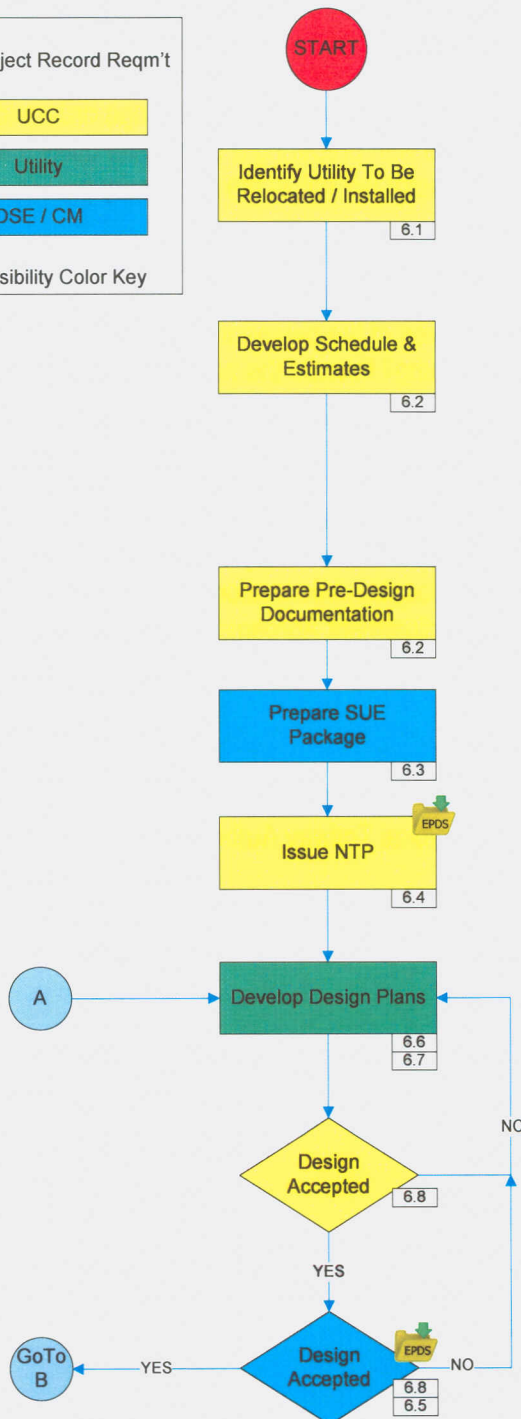
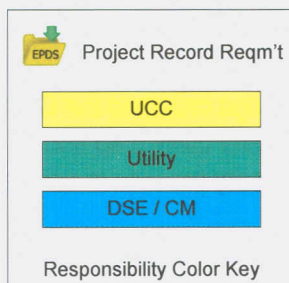
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10.0 FLOWCHART:



Utility Coordination Consultant:

- Gather project information
- Field review
- Compile utility records
- Contact utility owners
- Compile utility easement information (existing maps/data)

Utility Coordination Consultant:

- Create conflict spreadsheet and estimates
- Prepare relocation estimates
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- Prepare project utility schedule
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- Input information into the Agreement for Adjustment of Utility (AAU) tracking spread sheet

Utility Coordination Consultant:

- Provide utility owners with project data/plans
- Identify magnitude of impact and communicate to DSE/CM

Design Section Engineer/Corridor Manager:

- Prepares Subsurface Utility Engineering (SUE) package

Utility Coordination Consultant:

- Issue Notice to Proceed Letter (NTP) to Utility Owner(s) for designs

UTILITY:

- Develops plans, profile and estimates
 - Submit plans, profile and estimates to UCC for review
- NOTE: Incorporate comments by UCC or DSE/CM (if not accepted during approval cycle)

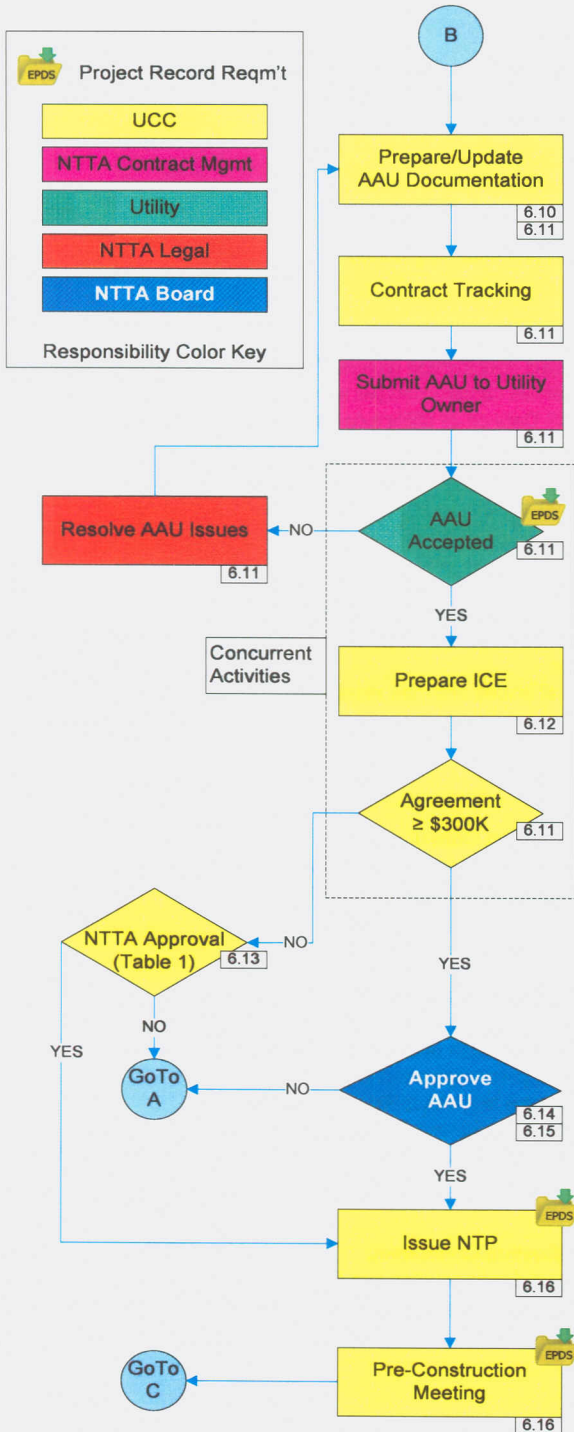
Utility Coordination Consultant:

- Reviews utility design plans, profile and estimates and provides comments to Utility
- Submit plans, profile and estimates to DSE/CM for review

Design Section Engineer/Corridor Manager:

- Reviews utility design plans, profile and estimates and provides documented comments to Utility
- UCC Coordinator to file approved review documentation
- If Utility project is non-reimbursable, go to step 6.16
- If Utility project is reimbursable, go to "B"

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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 ≥ 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
≤ \$25,000.00	Department Director (DD)
> \$25,000.00 & ≤ \$100,000.00	Assistant Executive Director (AED)
> \$100,000.00 & < \$300,000.00	Deputy Executive Director (DED)
≥ \$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

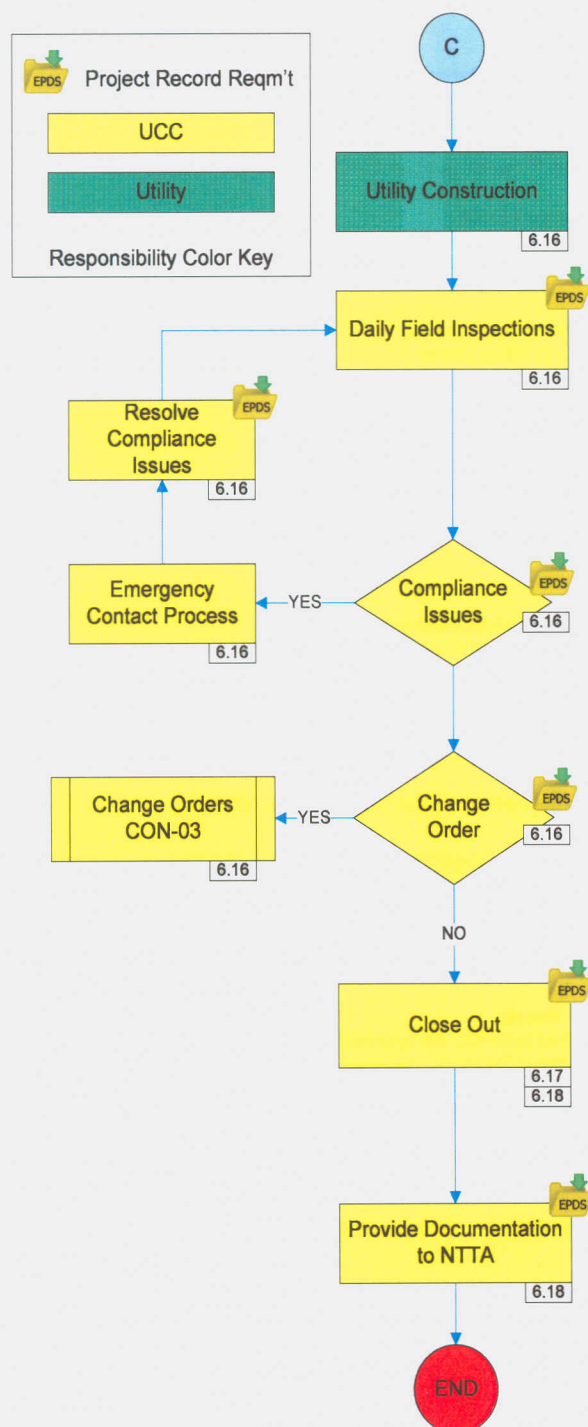
Utility Coordination Consultant:

- 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

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: <u>23</u> Issue Date: <u>04/30/2010</u> <u>TBD</u>	Page 9 of 9
Title: Utility Relocation Process		

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.
<u>3</u>	<u>Dave Clarke</u>	<u>TBD</u>	<u>10278</u>	<u>Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations.</u>

DOCUMENT RELEASE NOTICE - CLOSEOUT CHECKLIST

DRN Number 10278

To be completed BEFORE the DRN is released

	YES	NO	N/A
Latest revision of QM-12-F1 form used and submitted by the originator	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Soft copy of the new/revised documents has been submitted with QM-12-F1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Soft copy inclusive of embedded files (pictures, visio flowcharts) has been submitted.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All required information have been provided in QM-12-F1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Proper document type has been selected in Document Type box of QM-12-F1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relevant type(s) of change have been marked in Type of Change box of QM-12-F1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Process owner/originator submitted training record where change is classified as major	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
A DRN number is assigned	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New/revised document was created/changed using current QM-12-F2 format	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compared the word documents with source files to create redline as applicable	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All spelling has been checked and found correct	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Latest NTTA logo is available in the document if applicable	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Originator and all review team members have approved and signed QM-12-F1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All requested changes have been incorporated in the source file	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Forms/Attachments have been referenced in the parent procedure	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Forms/Attachments/Procedures have been referenced in all other documents	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All external website hyperlinks are correct	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
All the internal QMS links are correct and working fine	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Forms/Attachments/Procedures have been linked to their associated documents	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New Forms/Records have been added to the Record Matrix	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Prepared by:	Checked by:
Date:	<u>5/17/2011</u>	
Name:	<u>MD OMAR FARUK</u>	
Signature:	<u>MD. Omar Faruk</u>	

To be completed AFTER the DRN is released

Revised/New document is available in updated online version of QMS Manual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All links in the new/revised documents are working fine	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All flowcharts in the document are visible/readable	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An e-mail notification has been sent to the distribution list	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Scanned e-mail notification and inserted into DRN number	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Updated DRN tracking log with release information	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Moved DRN working folder to Archive folder	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Filed hard copy of the DRN package	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Spreadsheet for Controlled Document Numbers has been updated	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Spreadsheet for Document Linking updated as applicable	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Verified By:	Date:	Name:	Signature:
	<u>5/17/2011</u>	<u>MD OMAR FARUK</u>	<u>MD. Omar Faruk</u>