

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 1 of 8
Title: Utility Relocation Process		

1.0 PURPOSE:

The purpose of this procedure is to define the utility relocation 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 Agreement for Adjustment of Utility (AAU) 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 of Infrastructure (AEDI) – The AEDI 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 (PM) – The CM or PM shall be responsible for reviewing and recommending approval of utility owner payment requests and for obtaining NTTA funding approval on all AAUs.
- 2.6 Design Section Engineer (DSE) – The DSE shall be responsible for mapping relocated 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 relocated utilities within the roadway into the bid documents at 90% design stage.
- 2.7 ROW/Utility Manager- The ROW/Utility Manager is responsible for requesting the AAU Contract numbers for each utility and processing of all contract documents (AAU's)
- 2.8 Utility Coordination Consultant (UCC) – If hired by the NTTA to provide utility coordination, the UCC shall be responsible for reviewing and recommending approval of utility owner payment requests and change orders, forwarding copies to the CM/PM for approval. The UCC shall prepare a summary of existing utility adjustments, shall oversee relocation and adjustment of all utilities.
- 2.9 Utility Owner (UO) – The utility owner shall be responsible for preparing and submitting to the UCC a design with cost estimate and construction schedule for each utility relocation/adjustment eligible for reimbursement by the NTTA and for approving the AAU. Also responsible for submitting utility invoices to the NTTA as construction work progresses and upon completion of work.

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 2 of 8
Title: Utility Relocation Process		

3.0 SCOPE/APPLICABILITY:

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

4.0 REFERENCES:

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

5.0 DEFINITIONS & ACRONYMS:

AAU: Agreement for Adjustment of Utility

SUE: Subsurface Utility Exploration

6.0 PROCEDURES:

- 6.1 Field Verification** – Through field verification, plans from utility owners, and the DSEs 30% design submittal, the DSE or UCC shall prepare a summary of existing utilities within the project ROW. 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”. The DSE will investigate all options to minimize or avoid the utility in conflict.
- 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, utility owner, the type of line crossed, and all other pertinent data visible in the field or obtainable from local residents, SUE records, and utility representatives.
- 6.4 Request for Utility Design** – The UCC or CM/PM shall issue a formal request for utility relocation design and cost estimate to the responsible Utility Owners 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 Consultant, and with the Construction Manager, as necessary, to meet established project schedules and to avoid construction conflicts.
- 6.5 Non-Reimbursable Relocations** – The UCC or CM/PM 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.

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 3 of 8
Title: Utility Relocation Process		

- 6.6 Utility Plan Submittal** – The utility owner shall prepare and submit a utility relocation 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 or CM/PM and ROW/Utility Manager for review of the utility adjustment/relocation design and the estimated utility adjustment/relocation cost and schedule. For cost estimates greater than \$300,000, approval is required by the NTTA Board prior to authorizing the AAU for construction (see 6.12).
- 6.8 Design Review** – The UCC or CM/PM 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.
- 6.9 AAU Contract Request** – The ROW/Utility Manager requests an AAU Contract number from the Contract Management department for tracking and budget purposes.
- 6.10 Agreement Preparation** – The ROW/Utility Manager, with input from the UCC or CM/PM shall investigate all review comments, and if the design and/or cost estimate is unacceptable, shall notify the utility owner and to request a design re-submittal. Upon receipt of approved engineering and estimate, the UCC or CM/PM shall prepare 2 copies of the AAU, draft a letter requesting utility owner agreement signature, send to the Utility Owner for signature recommend for funding approval.
- 6.11 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 or CM/PM shall forward the approved utility adjustment/relocation design drawings to the DSE for incorporation into the bid documents. The DSE shall modify the design plans to show the proposed utility adjustments and/or relocation(s).
- 6.12** The UCC or CM/PM shall prepare an Independent Cost Estimate (ICE) in accordance with CA-08 for any AAU's exceeding \$300,000.
- 6.13 NTTA Funding Approval** – Once funding approval has been attained, 2 original copies of the AAU shall be sent to the utility owner for signature and then returned for NTTA final execution.
- 6.14 Utility Relocation Verification** – The UCC or CM/PM will be responsible for preparing and conducting a preconstruction meeting with the utility, assistance with prioritization of utility construction activities,

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 4 of 8
Title: Utility Relocation Process		

verification that construction concurs with approved plans, and recording locations of new lines with GPS coordinates.

6.15 Utility Billing Verification – Utility owner payment requests shall be forwarded to the UCC or CM/PM for review and recommendation of approval. The UCC shall forward copies of the payment request to the ROW/Utility Manager for review and recommendation of approval. After review, the UCC or CM/PM shall forward the payment request to the Invoice Manager with recommendations for processing.

6.16 Close-out Activities and As-Built Documentation – The UCC or CM/PM shall coordinate the collection of red-lined drawings, CAD files (if available), SUE data and as-built documentation from the utility owners.

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:

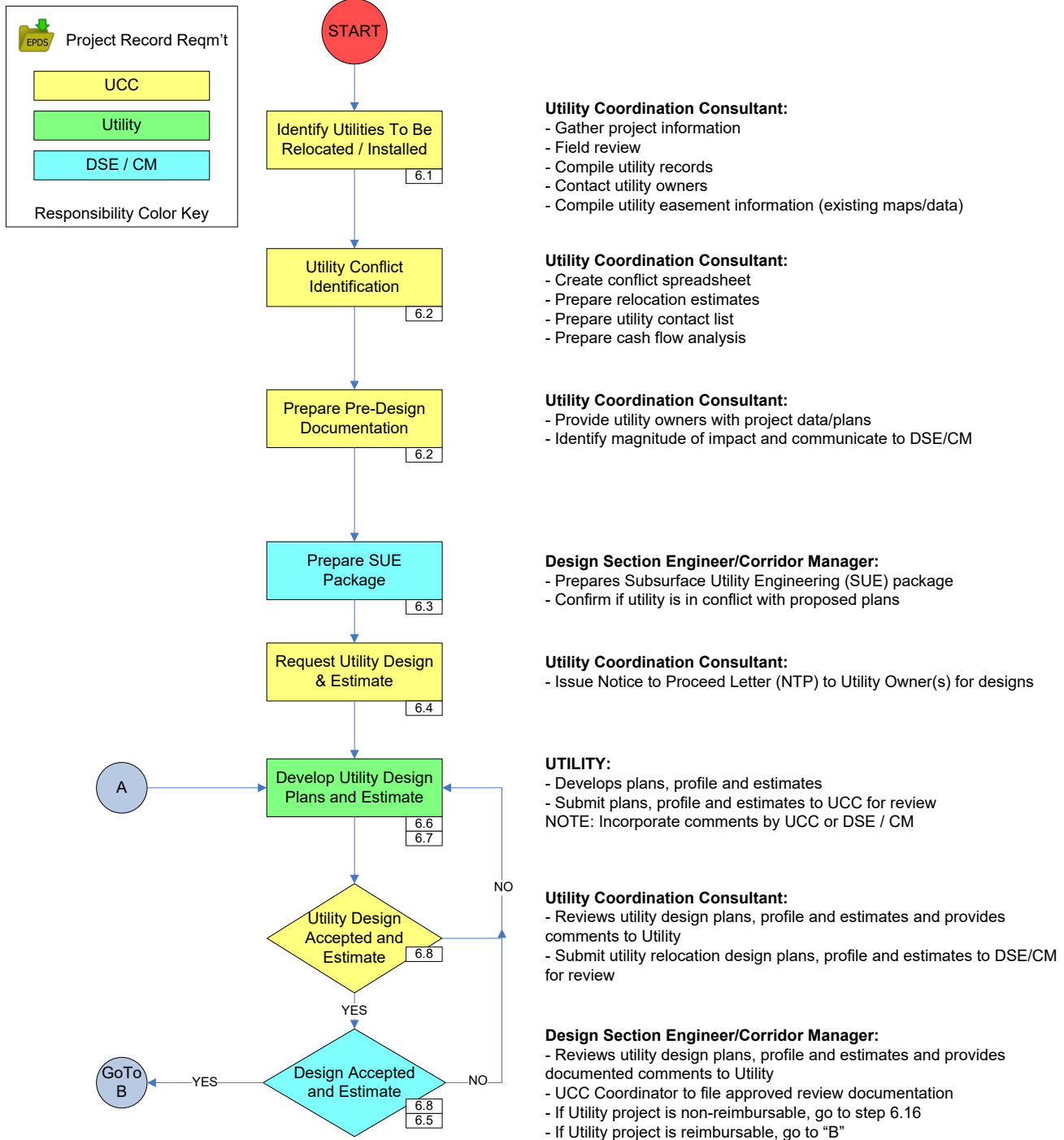
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9.0 COMPONENT DOCUMENTS:

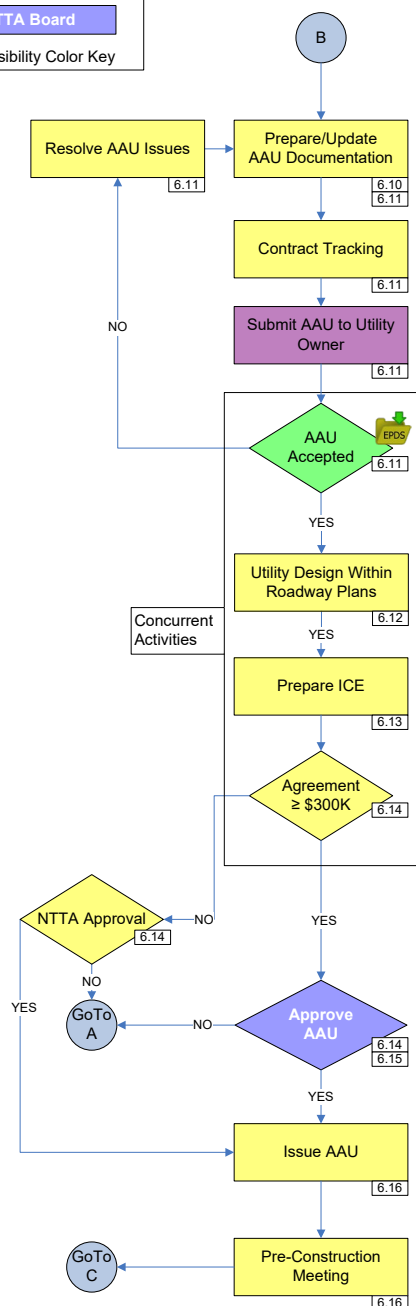
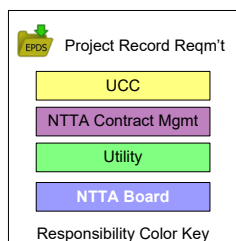
UC-01-F6 AAU Template

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 5 of 8
Title: Utility Relocation Process		

10.0 FLOWCHART:



NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 6 of 8
Title: Utility Relocation Process		



Utility Coordination Consultant:

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

PD Program Support Staff:

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

NTТА 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:

- UCC shall forward the approved utility adjustment/relocation design drawings to the DSE for incorporation into the bid documents

Utility Coordination Consultant:

- Prepares Independent Cost Estimate in accordance with CA-08

Utility Coordination Consultant:

- If agreement is \geq to \$300K dollars, then NTТА board approval is required
- NOTE: Only required for relocation paid by the NTТА

NTТА Approval:

- Obtain approvals

NTТА Board:

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

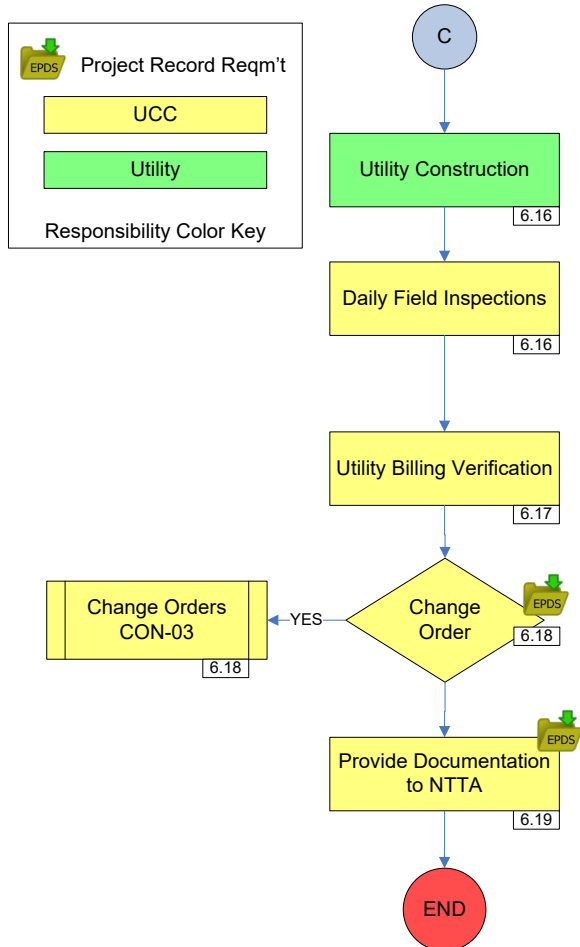
Utility Coordination Consultant:

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

Utility Coordination Consultant:

- Conduct pre-construction meeting to review AAU requirements

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 7 of 8
Title: Utility Relocation Process		



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:

- Review utility owner's request for approval

Utility Coordination Consultant:

- Submits change order requirements for modification

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

NOTE: New or Betterment relocations are not reimbursed by the NTTA

NTTA Projects	Original Issue Date: 06/05/2008	UC-01
Resource: Utility Coordination	Revision: 6 Issue Date: 07/09/2025	Page 8 of 8
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.
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.
4	Dave Clarke	10/11/2011	10361	Change "PMO" to "PD" and "Right-of-Way Acquisition Team (RAT)" to "Right-of-Way (ROW) Team". Delete "SPOC".
5	Dave Clarke	12/17/2012	10432	The Utility Relocation process needed to be revised to reflect current roles and responsibilities, adding the role of the change order process and other minor revisions to the utility relocation process. The flowchart was changed to reflect these changes. Obsolete UC-01-F7 and UC-01-F8.
6	Kelly Johnson	07/09/2025	11125	Update the current Utility Relocation Procedure to reflect actual NTTA titles and responsibilities for approval of utility relocations