

DeIDOT Utility Coordination Guidelines

Contents

- General Process Issues
- General Process Notes
- Concept Phase
- Survey Plans
- Preliminary Design Plans
- Semi-final Design Plans
- Final Design Plans
- Plans, Specifications and Estimate (PS&E) and Statements
- Advertisement
- Construction

General Issues

- The steps provided in this Utility Coordination Process (UCP) are based directly on the Plan Development Process (PDP), and the Utility Design Manual. Note, reference is made as to what phase in the PDP the step is applied.
- Depending on circumstances of the project, it may be necessary for portions of the PDP to be repeated to ensure all parties have the information and ability to provide input before the project progresses. The result is a revised plan submission.
- Throughout the UCP reference is made to the Project Manager. On consultant designed projects this reference can be changed to be the Consultant Project Manager or the Consultant Utility Coordinator, whichever applies.
- P6 is a Primavera comprehensive software product used by the Department to track projects from initiation through completion.

General Notes

- The Department's utility coordination process is based on some basic goals/principles:
 - Early, proactive engagement and partnership with all involved parties partners so that maintenance of and improvements to the public infrastructures can be accomplished in the most timely and cost effective manner and service the needs of the public.
 - Partnering with utilities and justifying impacts
 - Avoid utility impacts whenever feasible
 - The three C's: Communication, Cooperation, Coordination
 - Follow the saying, "Everyone Knows Where Everyone Goes"
- This is the general utility coordination process; however, it is an evolving process and is subject to change. Feel free to ask the Utility Section to verify this is still the active process throughout the design process.

Concept Phase

While the Concept Phase is not utilized for all projects, it is very much an important phase of the UCP. This phase allows the utility coordinator to make contact with utility companies, showing a proposed project location to start very early discussions and get the ball rolling on the project.

1. The Project Manager should notify the Utility Engineer when a scoping meeting has been scheduled. This notification shall include the P6 PROJECT ID NO. and the PROJECT NUMBER assigned by Finance and shall include a plan/map of the project location along with a brief scope.

DeIDOT Utility Coordination Guidelines

2. The Utility Engineer will assign a Utility Coordinator to the project at this time. He/She will notify the Project Manager, the Coordinator and the Administrative Officer of this assignment.
3. The Utility Coordinator will call in or electronically file a design ticket with Miss Utility of Delmarva (Miss Utility) to obtain a list of utility companies that potentially have facilities within the area.
4. The Utility Coordinator will attend the scoping meeting and evaluate what level of utility follow-up and information is necessary. Together with the Project Manager, they will determine if the project will rely on information obtained through Miss Utility and utility company mark-ups; by a Subsurface Utility Engineering (SUE) Consultant or if nothing more than the Miss Utility design ticket responses are required.
5. The Utility Coordinator will contact all utility companies listed in the design ticket and identified in the scoping meeting to determine if they have any facilities in the project area and if utilities have property interests that could lead to reimbursement. This is typically handled through the Utility Permits Application (UPA). A blank checklist is also provided to companies to assist with their review and response. If necessary, a site visit will be conducted. This data will be collaborated with the Project Manager.
6. When a Utility provides proof of a compensatory interest with associated documentation it will first be reviewed by the Utility Coordinator followed by the Utility Engineer. This review will reference the opinion of the Court of Chancery, State of Delaware, 1963; provisions of Title 17, Delaware Code §143; or provisions of Title 17, Delaware Code §132, (b), 5 along with any other provisions of Delaware Code and will be based on individual merit. The documents will also be forwarded to the Chief of Right-of-Way, Right-of-Way Group Engineer, and Team Support Plan Review Engineer for review and confirmation. Upon confirmation, the information shall be forwarded to the Project Manager so it can be properly incorporated into the plan set.

Note: An executed agreement shall be in place before any design or construction work begins for all or part of eligible utility adjustments. Some projects may require additional tasks to be completed in the Concept Phase due to conditions, but this shall be brought to the attention of the Utility Coordinator and Utility Engineer immediately.

Survey Plans

7. The Project Manager will notify the Utility Coordinator and Utility Engineer when the field survey begins.
8. If it has been determined to use a SUE consultant, the Utility Coordinator will notify the Administrative Officer who will obtain funds for a SUE consultant to designate the underground utility locations.

Note: In order for SUE consultants to perform designation, the following information must be provided:

- A PDF set of plans showing proposed test holes and anticipated utilities at the requested site locations.
- A PDF of the survey control sheet.
- FS File (dgn of Existing Topo).
- HV File (dgn of Horizontal & Vertical Control)
- UT File (dgn of Utilities)
- AL File (dgn of Project Alignment)
- PC File (dgn of Proposed Improvements/Construction Features)

In addition, it may take up to two months to get funds set up.

DeIDOT Utility Coordination Guidelines

Test holes may also be requested for some situations at this stage. The SUE consultant will provide the designated utility locations to the Utility Coordinator via the UPA and shall upload files under “DeIDOT Documents”. The Utility Coordinator will notify the Project Manager (typically through email) to let them know the files are available on the UPA with a copy to the Administrative Officer for file purposes.

9. There are agreements between DeIDOT Project Managers and Design Consultants that include SUE services. The Project Manager may select to use these services and would initiate designation in those cases. All designated utility information shall be uploaded to the UPA and shared with the Utility Coordinator and the Administrative Officer.
10. If not performed previously or if there has been a two (2) year or longer lapse of time, the Utility Coordinator will call in a Miss Utility Design Ticket for the project. The ticket description should request as-builts and/or facility maps be submitted by the utility companies. This work may also be done by a design consultant. This data will be provided to the Project Manager and, if performed by a consultant, the Utility Coordinator. The design ticket number shall be recorded in the UPA under “Shared Discussion”. Any information submitted by utility companies in response to the design ticket shall be uploaded to the UPA under “Utility Company Documents”.
11. The survey plans will be completed by the Project Manager in accordance with the Plan Development Process. The Project Manager will give the Utility Coordinator one (1) hard copy and the electronic (PDF) set of survey plans. The electronic plans will be uploaded to the UPA and sent to each Utility for review, if necessary. The survey plans will contain all the data as required by the Plan Development Process including the right-of-way data as prepared by in-house research (this includes depiction of existing utility easements) and any at or above-grade utility features within the project limits. It may also include utility designation and test hole data, if available at this stage. The Administrative Officer will coordinate update of related Primavera activity upon plans and survey checklist being uploaded to the UPA for distribution to utility companies.
12. When reimbursable utility work is involved, the Survey Plans will be used to prepare an estimate for the Preliminary Engineering (PE) for the Utility Company to design the adjustment and/or relocation.
13. The Administrative Officer will request funding and when approved the Utility Engineer will provide a Notice to Proceed (NTP) to the Utility for PE work.
Note: All costs claimed are subject to final audit.
14. Survey plans marked by the utility company showing existing facilities and the utility company completed survey checklist will be returned to the Utility Coordinator through the UPA by the Utility Companies. They are then forwarded to the Project Manager for review. Note, the Project Manager can review projects in the UPA at any time throughout the coordination process to see the progress of utility responses and uploads.
15. The Project Manager reviews the mark-ups and incorporates them into the design. In instances where designation and test holes were performed, SUE information will hold as accurate. Should there be discrepancies; the Utility Coordinator will consult with the Utility Company and SUE Consultant for further clarification. Neither Project Managers nor Designers shall change information provided by SUE Consultants.
16. After thirty (30) days, if the marked survey plans have not been received from the Utility, the Utility Coordinator will call the Utility to request the status and continue this periodically until responses are received.
17. If marked plans are not received after sixty (60) days, the Utility Engineer will be notified, and the Utility will be contacted for a status update.

DeIDOT Utility Coordination Guidelines

18. The Utility Engineer will notify the Chief of Right-of-Way and Chief Engineer, if the marked plans are not received after seventy-five (75) days.

Note: If there are any outstanding items that we not able to be completed within the Concept Phase, they are to be completed with this phase. And if the project did not have a Concept Phase, then those items need to be completed during the Survey Plan phase.

Preliminary Plans

19. The Project Manager will prepare preliminary plans and a Utility Conflict Matrix (UCM) in accordance with the Plan Development Process and will supply the Utility Coordinator with one (1) complete set upon completion.
20. The Utility Coordinator will distribute the complete, electronic set of the preliminary plans, the UCM, and the preliminary checklist to each Utility via the UPA. The date of plan distribution shall be entered in Primavera in the appropriate activity.
Note: the Utility Coordinator shall review the plans and UCM prior to sending to companies. Any comments on the documents shall be forwarded to the PM. Submission of documents to utility companies could be delayed depending on the severity of the comments. This goes for all plan phases.
21. The Utilities will be asked to mark the preliminary plans and UCM with any test hole needs, proposed relocations and additional right-of-way needed for their relocation work, including both underground and aboveground, and to return the completed checklist along with a draft utility statement.
22. After thirty (30) days, if the response and information have not been received from the Utility, the Utility Coordinator will call the Utility to request the status. The Utility Coordinator will continue to periodically call until responses are received.
23. If not received after sixty (60) days, the Utility Engineer will be notified, and the Utility will be contacted for a status update.
24. The Utility Engineer will notify the Chief of Right-of-Way and Chief Engineer if the response and information are not received after seventy-five (75) days.
25. In addition, when reimbursable Utility work is involved, the Utility will supply the Utility PS&E package with marked color plans. These will indicate existing facilities to remain, existing facilities to be removed, proposed reimbursable relocations and proposed non-reimbursable relocations. Existing real property interest (RPI) documentation if not previously provided.
26. The Utility Engineer will review the Utility PS&E package and provide a copy to the Project Manager. After approval funding will be requested from Finance by the Administrative Officer.
27. The Project Manager and the Utility Coordinator will determine if a meeting with all Utilities is required for coordination. If so, a meeting will be scheduled by the Utility Coordinator.
28. The Utilities will be asked to return marked up preliminary plans, UCM, checklist and draft statement within two (2) weeks after the meeting, if one is held. The marked preliminary plans will be returned to the Utility Coordinator via the UPA. Non-responsiveness will be escalated as previously mentioned.
29. The Utility Coordinator will provide the utility company response and information to the Project Manager via the UPA.
30. After receiving markups and following discussions with Utilities, the Project Manager and Utility Coordinator will determine if and where test holes are needed.
31. The Project Manager will prepare a plan depicting proposed test hole locations and submit to the Utility Coordinator.

DeIDOT Utility Coordination Guidelines

32. The Utility Coordinator will supply this information to the Administrative Officer who will obtain funds for a SUE consultant to complete the test holes if not performed under a previous phase. Following the Notice to Proceed, the SUE consultant will provide the field data recorded to the Utility Coordinator via the UPA
33. The Utility Coordinator shall email the Project Manager to let them know files are available on the UPA and copy the Administrative Officer for file purposes.
34. The Project Manager will add the test hole data to the plans for distribution with the next plan set.
35. The Utility Coordinator will develop a Draft Utility Statement based on preliminary plan mark-ups, utility company statements and coordination, if enough information is available.

Semi-Final Plans

36. The Project Manager will complete the semi-final plans and update the UCM in accordance with the Plan Development Process and provide the Utility Coordinator with one (1) complete set of documents. Test hole data will have been incorporated into this plan set.
37. The Utility Coordinator shall provide the semi-final plans, updated UCM, semi-final checklist and the Draft utility statement to each Utility electronically through the UPA. The date of plan distribution shall be entered in Primavera in the appropriate activity.
38. The Utilities will review the plans and draft utility statement for concurrence. The Project Manager will incorporate the statement into a bar chart showing the road construction sequencing, how it coordinates with the utility relocation sequencing and any other known construction timing restrictions for both the roadway/bridge work and utility work.
39. A coordination meeting may be scheduled with the affected Utilities by the Utility Coordinator to review the draft utility statement and the sequencing bar chart. The Project Manager shall attend this meeting along with necessary design and construction team members.
40. Plans, the UCM, and/or the draft utility statement may be modified based upon the coordination meeting. Finalized information will be submitted by each Utility Company along with the completed semi-final checklist. Submissions from each Utility Company must be received by the Utility Coordinator within thirty (30) days of the meeting.
41. After thirty (30) days, if the response and information have not been received from the Utility, the Utility Coordinator will call the Utility to request the status. The Utility Coordinator will continue to periodically call until responses are received.
42. If not received after sixty (60) days, the Utility Engineer will be notified, and the Utility will be contacted for a status update.
43. The Utility Engineer will notify the Chief of Right-of-Way and Chief Engineer if the response and information are not received after seventy-five (75) days.
44. The Utility Coordinator shall review the data provided by each Utility Company and provide it to the Project Manager via the UPA. Reimbursable utility work will be identified separately and verified. Utility Companies are required to submit estimates for all reimbursable work at this stage if not previously provided.
45. The Utility Coordinator will finalize the utility statement based on input received from companies. The statement shall include an outline of existing utility facilities, proposed relocations and shall also outline accommodations for DeIDOT traffic signal and lighting. See DeIDOT 10/19/2011 memo regarding processing of requests for electric power service for roadway lighting, traffic signals and ITS equipment for more information.
46. The Project Manager will modify the project bar chart and shall provide to the Utility Coordinator to incorporate into the final utility statement and relocation bar chart. A disclaimer for utility work sequencing and duration will be placed on the bar chart for utility work (The

DeIDOT Utility Coordination Guidelines

purpose of the utility work sequencing and duration is to assist the Contractor in planning his work. The intent is not to provide a source for construction claims.) This bar chart will be included with the final executed utility statement.

47. The Utility Coordinator will provide the executed statement to the Administrative Officer who will update the respective activity and will upload the statement in Primavera.
48. The utility statement will be emailed to the PSE Coordinator with copies being sent to the Project Manager, Utility Engineer, Utility Coordinator and Administrative Officer at a minimum.
49. If not done already, the Utility Coordinator will notify the Administrative Officer of any reimbursable utility work associated with the project. The Administrative Officer will generate agreements and distribute for execution.
50. The Project Manager and Utility Coordinator will prepare Utility Relocation Checklists for each individual utility associated with the project to document impacts to each company even if there are no anticipated impacts. The checklist is an internal document and it is also used to justify and obtain approval for advanced relocation work when sought.

Final Plans

51. The Project Manager will provide the Utility Engineer with one (1) complete set of final plans and UCM outlining all conflict resolutions.
52. The Utility Coordinator will forward the final plans, UCM, final utility statement and final checklist to Utility Companies electronically via the UPA.
53. After thirty (30) days, if there is outstanding information needed from companies and the response and information have not been received from the Utility, the Utility Coordinator will call the Utility to request the status. The Utility Coordinator will continue to periodically call until responses are received.
54. If not received after sixty (60) days, the Utility Engineer will be notified, and the Utility will be contacted for a status update.
55. The Utility Engineer will notify the Chief of Right-of-Way and Chief Engineer if the response and information are not received after seventy-five (75) days.
56. The Utility Engineer will give the Utility Company Notice to Proceed (NTP) with reimbursable and non-reimbursable utility work when appropriate. Fully executed Utility Relocation Checklists must be in place and funding set-up, if applicable, prior to reimbursable NTP's being sent. All costs claimed will be based on actual costs and will be subject to a final audit. No NTP's will be sent if right-of-way is outstanding.
57. A copy of the final UCM shall be provided to the DeIDOT Construction Project Manager for their reference.

Plans, Specifications and Estimate (PS&E) and Statements

- Final Plans
- Final Specifications
- Final Cost Estimate
- Right-of-Way Statement
- Traffic Statement
- Utility Statement
- Environmental Statement
- Contract Time

DeIDOT Utility Coordination Guidelines

58. PSE plans will be uploaded to the UPA and distributed to Utility Companies by the Utility Coordinator if the Project Manager provides the Utility Engineer with a PSE submission.

Advertisement

59. If the plans and information are supplied, the Utility Engineer will distribute one (1) set of Advertised plans to each Utility involved with notice of the advertised date and bid opening date.
60. The Project Manager will provide the Utility Coordinator with any addenda and an updated UCM to the project plans prior to the date of bid opening. The Utility Coordinator will submit the addenda and UCM to each Utility involved in the project.

Construction

61. During construction, the Construction Project Manager will provide the Utility Coordinator with any project modifications resulting in plan revisions as part of the project. Although these will be submitted directly to Utility Companies by the Construction Project Manager, it is important that the Utility Coordinator be sent a copy of the transmittal letter to maintain a record of the revisions.
62. All billings from Utilities for reimbursable work, including the final invoice, shall be reviewed and approved by the project Construction Engineer prior to payment being made.
63. Utility documents shall be completed, accepted and all payments made and closed out within one (1) year of the last chargeable day of the project.
64. The Administrative Officer will notify Finance for Utility work audit needs.

Note: Please refer to the DeIDOT Utility Manual for more details.