

## Document Release Notice

<b>Document Number:</b>	UC-01	<b>Title:</b>	Utility Relocation Process
<b>Current Revision #:</b>	1	<b>Type of Change:</b>	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE
<b>New Revision #:</b>	2	<b>Document Type:</b>	QMS Document - UC <span style="float: right;">Choose from Drop Down Menu - left</span>
<b>Date Submitted:</b>	4/22/2010	<b>DRN Number:</b>	10142

**Summary of Proposed Changes:**

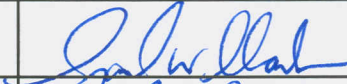
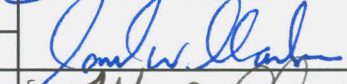
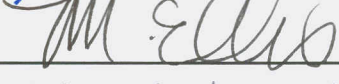
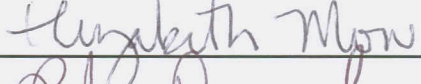
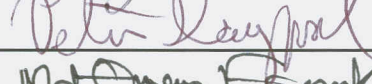
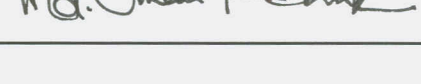
- Include paragraph numbers or other references & attach a copy of the new or revised documents)
- For new documents, indicate "Original Release"

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 references to flow chart for clarity QWC 4/26/10*

**Reason for New Release / Revision / Obsolescence:**

The flow chart defined these items above which were not included in the written procedures, so they had to be added to the written procedures.

**Required Signatures:**

Title:	Printed Name	Signature	Date:
Originator	Dave Clarke		4/22/10
Process or Content Owner	Dave Clarke		4/22/10
	(Alt - Clif Davis)		
Assistant Program Manager	Micki Ellis		4/26/10
	(Alt - Steve Knobbe)		
Department Director	Elizabeth Mow		4-29-10
	(Alt - Mark Bouma)		
Quality Manager	Peter Claypool		4/26/2010
	(Alt - Micki Ellis)		
Document Control	Md Omar Faruk		4/30/2010
	(Alt - Peter Claypool)		

Faruk, Omar

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**From:** Faruk, Omar  
**Sent:** Friday, April 30, 2010 3:56 PM  
**To:** Faruk, Omar  
**Subject:** QMS Manual Updates

The below procedure has been released to the QMS Manual:

Document #	Document Title	Rev	Originator	DRN#	Changes
UC-01	Utility Relocation Process	2	Dave Clarke	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.

The QMS Manual is available at the following location:

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

Thanks,

Md **Omar** Faruk  
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**North Texas Tollway Authority**  
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Tracking:

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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 recommend approval of all AAUs greater than \$300,000 to the Board prior to commencement of work.
- 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 Assistant Executive Director (AED) – The AED shall be responsible to review and approve or reject all AAUs less than \$100,000 and executing AAU prior to commencement of work.
- 2.5 Department Director (DD)- The DD shall be responsible to review and approve or reject all AAUs less than or equal to \$25,000 and executing AAU prior to commencement of work.
- 2.6 Corridor Manager (CM)/Project Manager – The CM or Project Manager shall be responsible for reviewing and 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 AED, for all AAUs between \$100,000 and \$300,000, the CM or Project Manager shall obtain NTTA funding approval from the DED or ED, however, for all AAUs greater than or equal to \$300,000 the CM or Project Manager shall present the AAU to the Board for approval.
- 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 on 60% plans, and reviewing all utility adjustment/relocation designs. The DSE shall incorporate designs of utilities within the roadway into the bid documents at 90%.
- 2.8 Construction Manager – The construction manager shall be responsible for reviewing all utility adjustment/relocation designs, incorporating 90% designs of utilities within the roadway into the project/section as-built documents, and performing close-out activities.
- 2.9 Utility Coordination Consultant (UCC) – The UCC shall be responsible for reviewing and approving 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 and cost estimates to utility owners for all adjustments and relocations that are eligible



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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.
- 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



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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.
- 6.10 **AAU Request** - The UCC requests an AAU from the Contract Management department for tracking and budget purposes

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- 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.
- 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 signature to the AED for approval if less than \$100,000, for all AAUs between \$100,000 and \$300,000, funding approval is required from the ED. If the AAU is greater than or equal to \$300,000, the AAU shall be presented to the ED and then the NTTA Board 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 Management 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 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 approval. The UCC shall forward copies of the payment request to the CM for review and 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 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:**

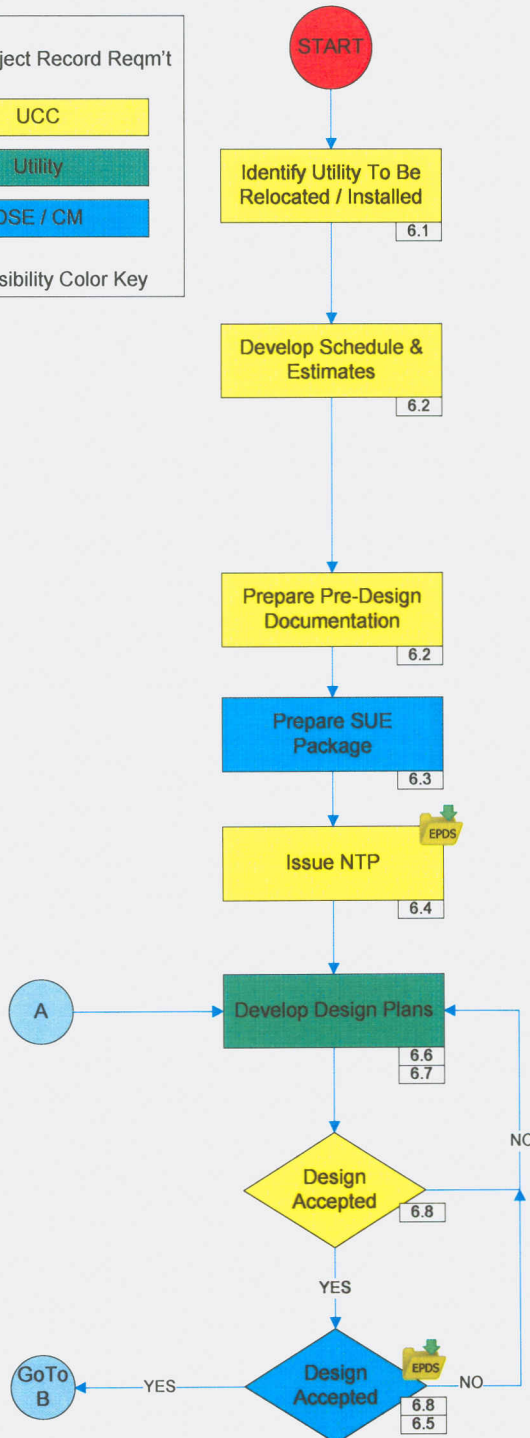
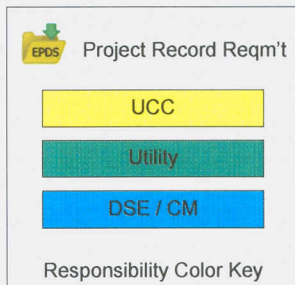
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**9.0 COMPONENT DOCUMENTS:**

- 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:**

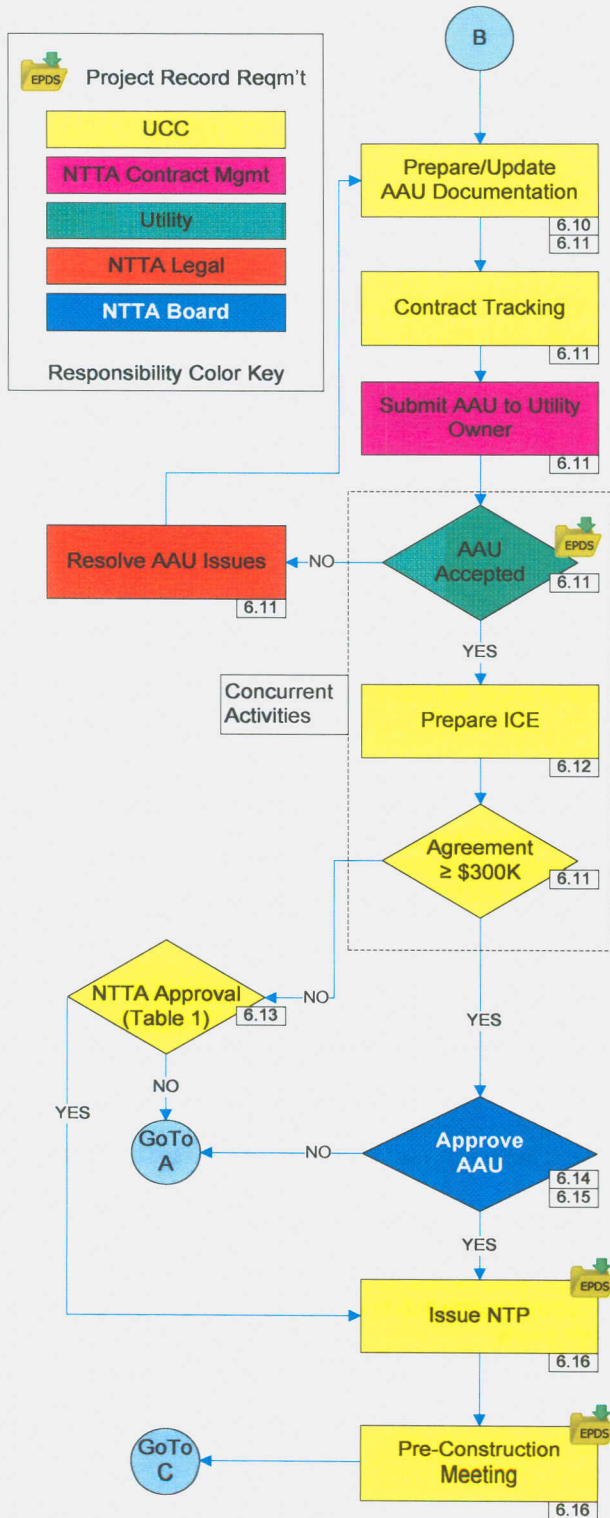
- Reviews utility design plans, profile and estimates and provides comments to Utility
- Submit plans, profile and estimates to DSE/CM for review

**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 >= 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

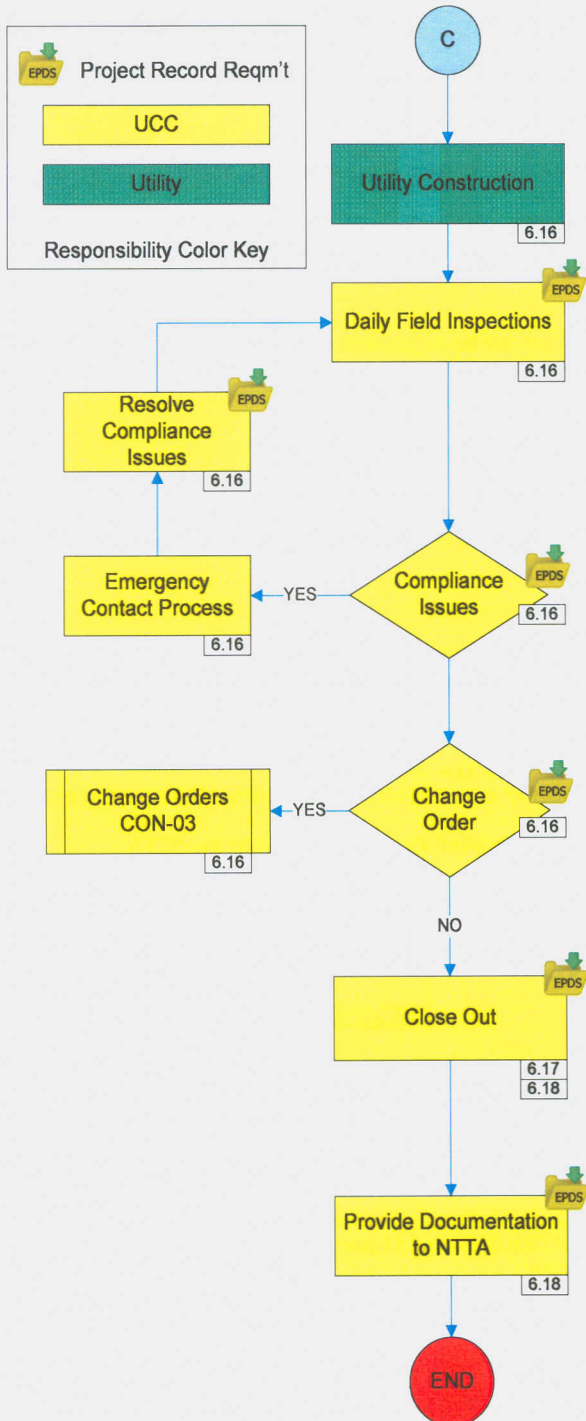
**Utility Coordination Consultant:**

- 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



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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	TBD	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.





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- 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.
- 6.10 **AAU Request** - The UCC requests an AAU from the Contract Management department for tracking and budget purposes

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- 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.
- 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 signature to the AED for approval if less than \$100,000, for all AAUs between \$100,000 and \$300,000, funding approval is required from the ED. If the AAU is greater than or equal to \$300,000, the AAU shall be presented to the ED and then the NTTA Board 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 Management 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 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 approval. The UCC shall forward copies of the payment request to the CM for review and 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 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.

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**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:**

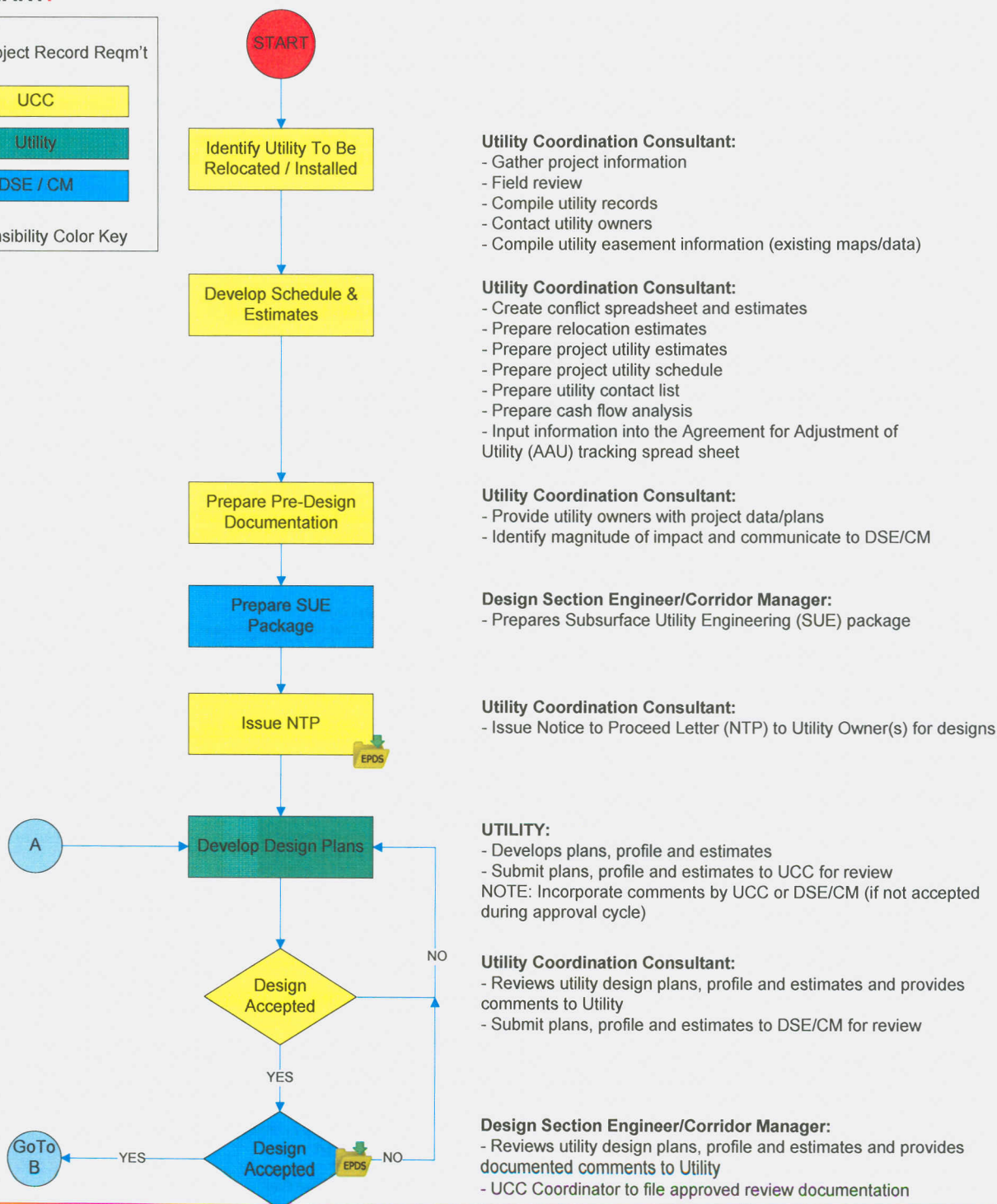
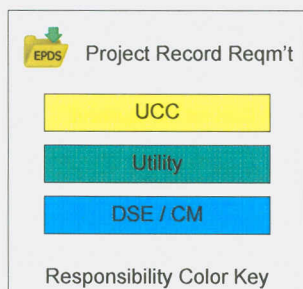
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**9.0 COMPONENT DOCUMENTS:**

- 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

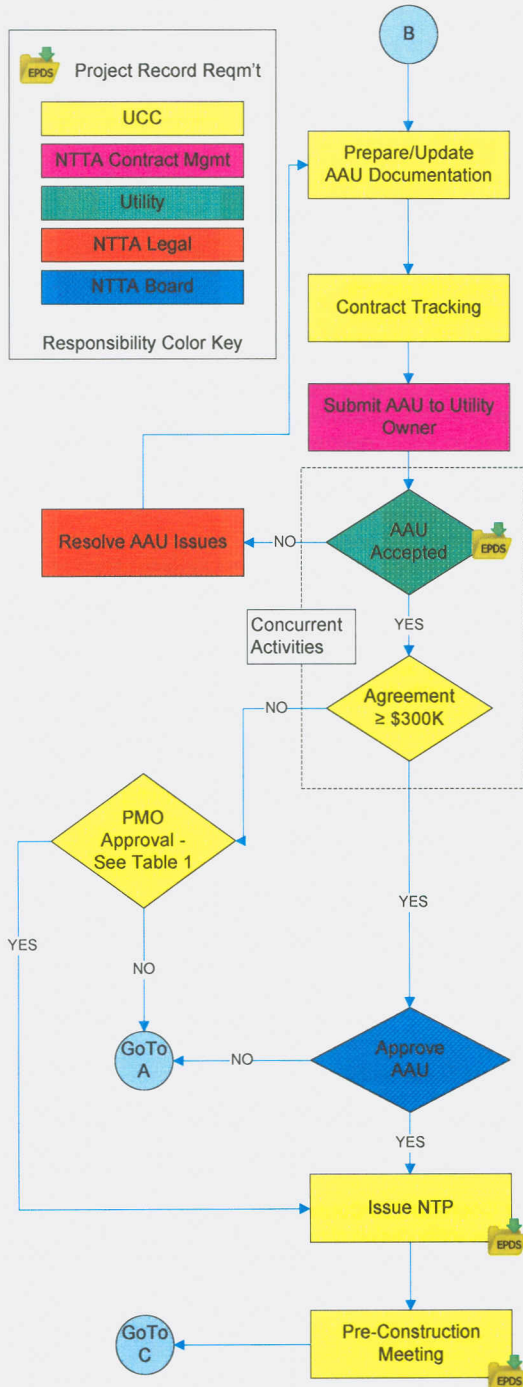
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**10.0 FLOWCHART:**





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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:**

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

NOTE: Only required for relocation paid by the NTTA

**PMO 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) Or Executive Director (ED)
$\geq$ \$300,000.00	Executive Director (ED) NTTA Board of Directors

Table 1

**NTTA/SPOC Board:**

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

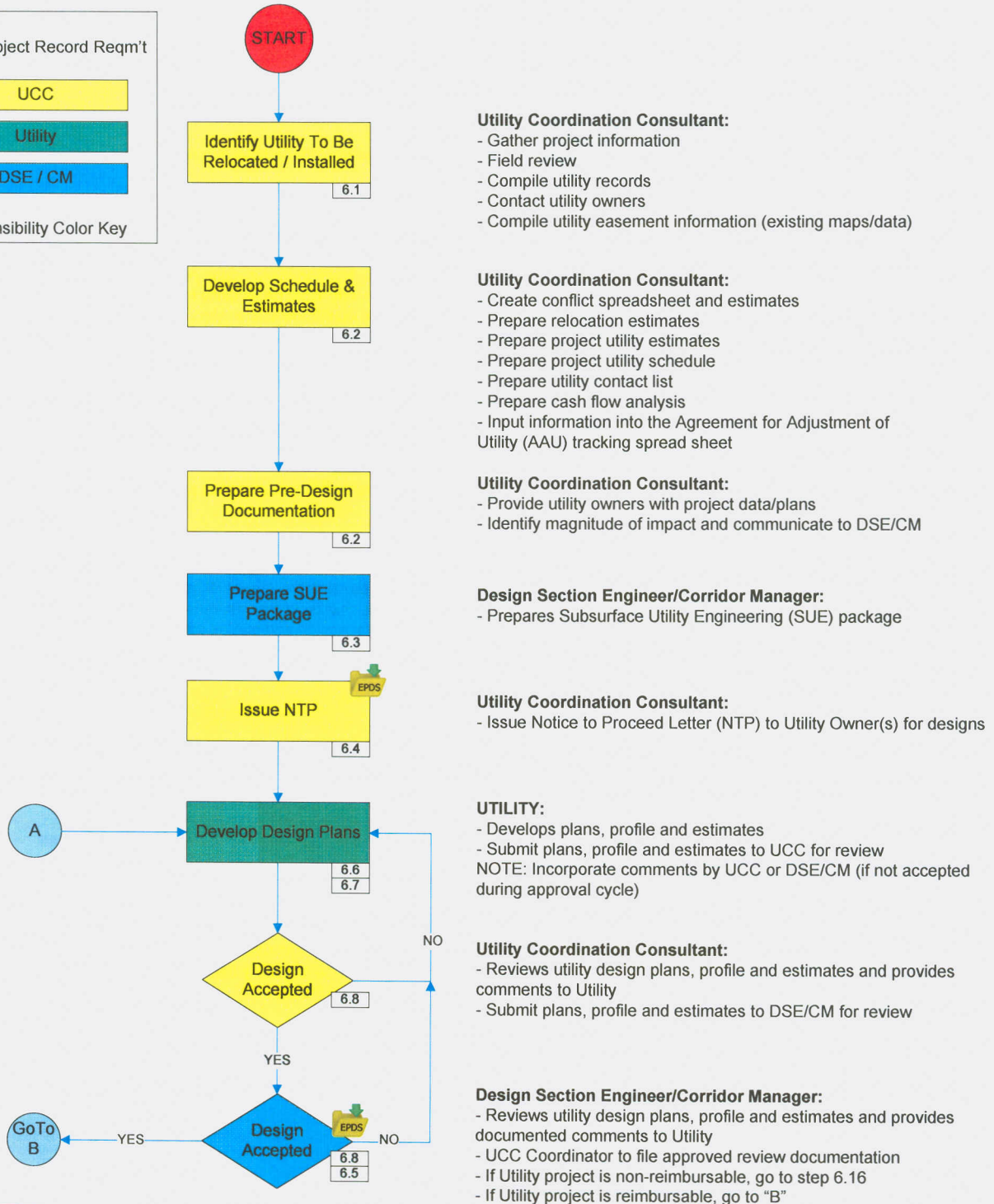
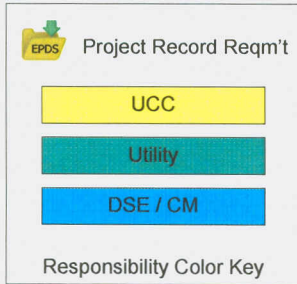
**Utility Coordination Consultant:**

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

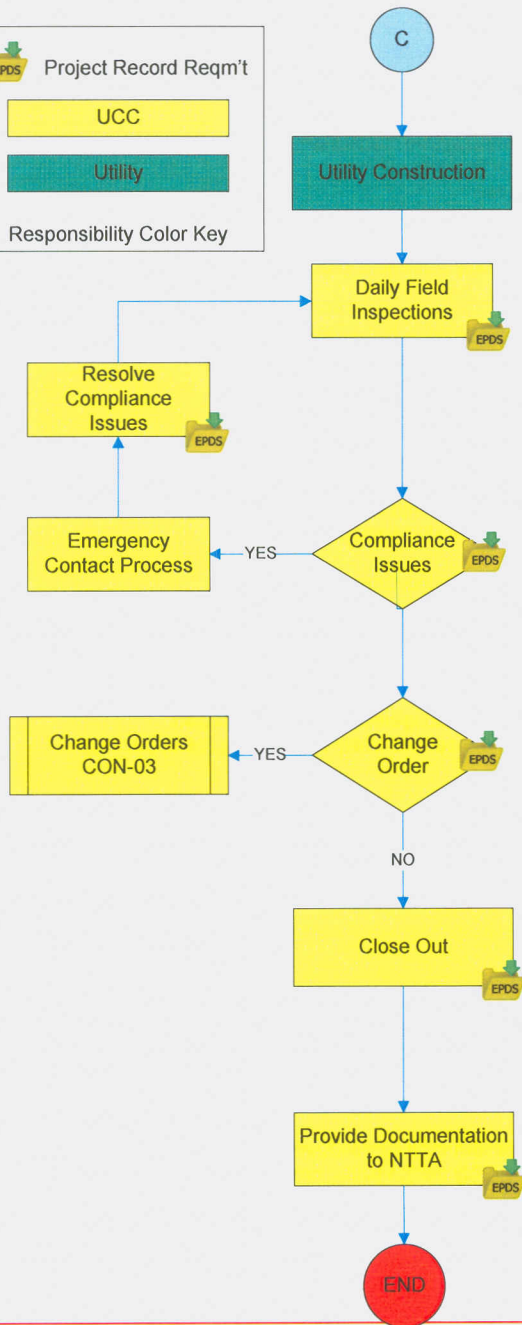
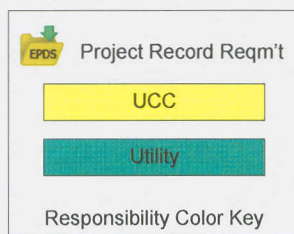
**Utility Coordination Consultant:**

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

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**UTILITY:**

- Construction proceeds as planned

**Utility Coordination Consultant:**

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

**Utility Coordination Consultant/Utility/NTTA:**

- If a compliance issue arises, utilize the emergency contact list to communicate
- Document all issues and their resolution

**Utility Coordination Consultant:**

- Submits change order requirements for modifications
- Update schedule and budget estimates

**Utility Coordination Consultant:**

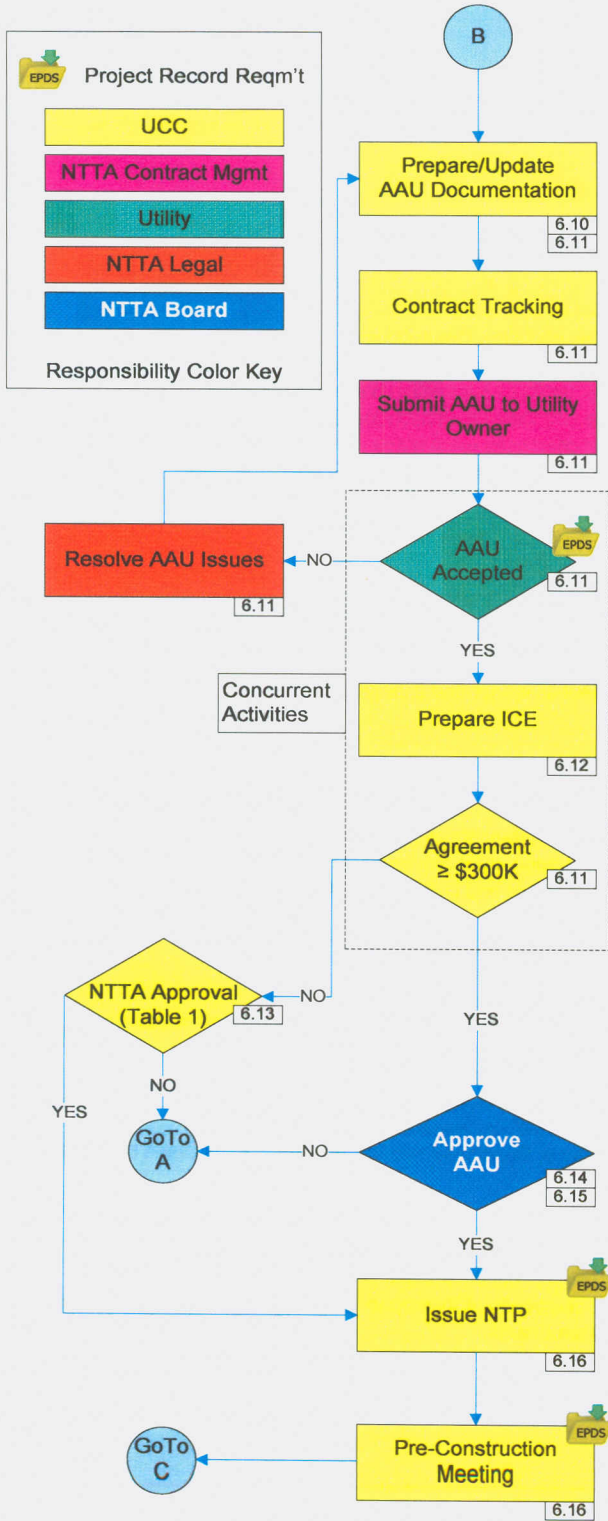
- Use Contract Close Out form UC-01-F7 to document activity
  - Perform final inspection of entire utility relocation
  - Review and approve relocation invoices
  - Submit relocation invoices to Program Support Staff
  - Obtain "as-built" documentation from Utility Owners
- NOTE: New or Betterment relocations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

**Utility Coordination Consultant:**

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



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**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

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> \$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

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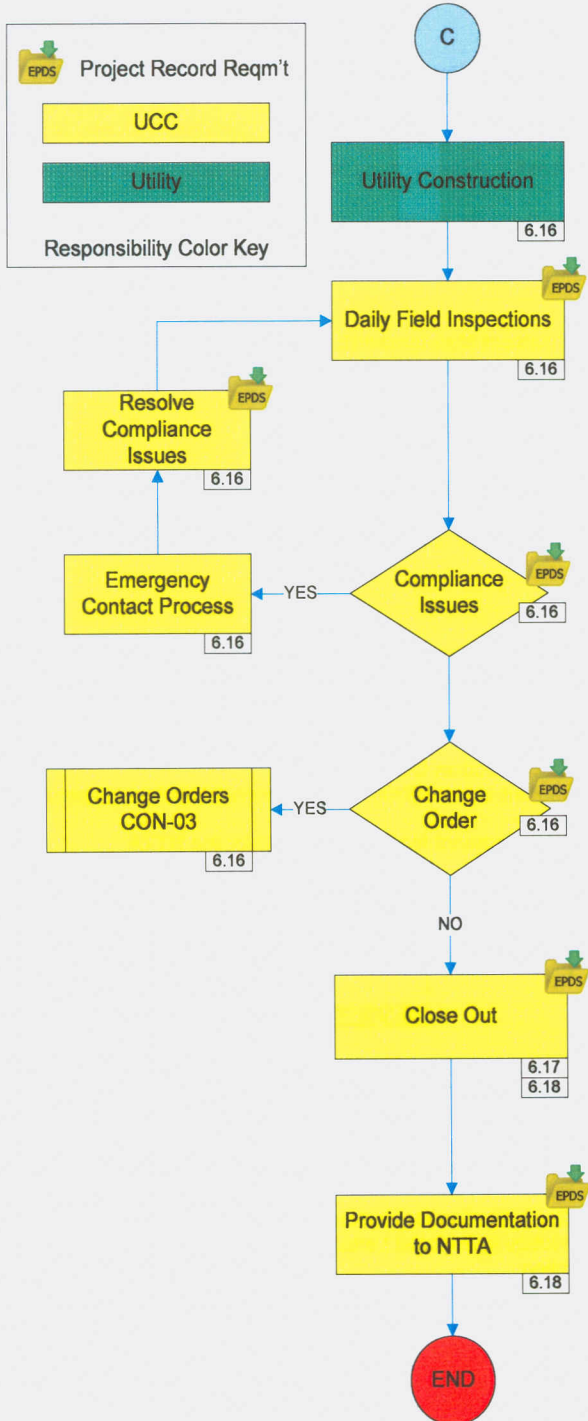
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**Utility Coordination Consultant:**

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- Prepare meeting agenda and documentation
- Review construction methodologies
  - Safety Plan
  - Schedule
  - Traffic Control Plan
  - Address Environmental Requirements/Plans

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**Project Record Req'm't**

UCC

Utility

Responsibility Color Key

**UTILITY:**  
- Construction proceeds as planned

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

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

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

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

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

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**11.0 REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Dave Clarke	06/05/2008		Original Issue
1	Dave Clarke	02/19/2010	10104	Added flowchart. Added closeout checklist (UC-01-F7). Added Franchise Agreements AAU (UC-01-F1/F6). Move SUE data from 7.1 to 6.3. Added 6.15, Utility Relocation Verification. Added reference links.
<del>2</del>	<del>Dave Clarke</del>	<del>TBD</del>	<del>10142</del>	<del>Added Department Director responsibilities to 2.5</del> <del>Added UCC responsibilities to 2.9 and 2.16 for change orders</del> <del>Added Preconstruction Meeting requirement to 6.16</del> <del>Added Department Director responsibilities to 2.5</del> <del>Added change order requirements to 2.9, 6.16</del> <del>Made paragraph number references to flowchart for clarify.</del>



