# INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To:	Counties and Cities	Date: May 2, 2016
From:	Local Systems Bureau	I.M. No. 3.640
Subject:	Utility Accommodation and Coordination	

**Contents:** This Instructional Memorandum (I.M.) provides instructions for a Local Public Agency (LPA) to accommodate utilities located on non-primary highway rights-of-way and recommended procedures for coordinating with utilities located in or adjacent to such roadways that are affected by LPA transportation projects. This I.M. also includes the following attachments:

<u>Attachment A</u> – Utility Coordination Flowchart <u>Attachment B</u> – Utility Coordination Checklist (<u>Word</u>)

## Definitions

The terms used in this I.M. have the same meaning as defined in the Iowa Department of Transportation (Iowa DOT) <u>Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System</u>, unless specifically noted otherwise.

# Primary Highways

As noted in the Contents section above, this I.M. is focused on utility accommodation and coordination for nonprimary highways. Nevertheless, because LPAs are often involved with cooperative Primary highway projects, some guidance is included here. Cooperative projects are those where both the Iowa DOT and LPA are involved, financially or otherwise, in the development and / or construction of the project. For such projects, the LPA may be responsible for some or all of the utility coordination activities, if so designated in the project agreement. In such cases, the LPA shall follow the Iowa DOT's <u>Policy for Accommodating and Adjustment of Utilities on the</u> <u>Primary Road System</u>.

For additional assistance or questions related to Primary highway utility accommodation or coordination, contact the appropriate District Utility Coordinator or utility relocation staff, as listed on the Iowa DOT <u>Utility</u> <u>Accommodation and Coordination</u> webpage.

## **Utility Accommodation**

In accordance with 23 CFR 645 B, the Iowa DOT is required to develop and implement a policy for accommodating utilities located on all Federal-aid highway rights-of-way. Federal-aid highways include roadways of all classifications, except local roads and rural minor collectors, as designated on the <u>Federal Functional</u> <u>Classification maps</u> provided by the Iowa DOT.

In response to this Federal requirement, the Iowa DOT has developed, with input from local governments and utility companies, and with the approval of the Federal Highway Administration (FHWA), a <u>Policy for</u> <u>Accommodating Utilities on the County and City Non-Primary Federal-aid Road System</u>. This policy shall be followed for all projects located on non-primary Federal-aid highways. The Iowa DOT recommends LPAs use a similar policy and / or permitting procedures for other non-primary roadways under their jurisdiction.

## **Buy America Requirements**

As amended by Section 1518 of the Moving Ahead for Progress in the 21st Century Act (MAP-21), 23 U.S.C. 313 requires the use of domestically produced iron and steel products in all contracts eligible for Federal-aid that are within the scope of the National Environmental Policy Act (NEPA) document, if at least one of those contracts uses Federal-aid. Therefore, Federal-aid eligible utility relocations that are caused by a Federal-aid project are subject to the Buy America requirements, even if no Federal-aid is actually used to reimburse the utility relocation costs. To determine if the utility relocation is eligible for Federal-aid, refer to I.M. 3.650, Federal-aid Participation in Utility Relocations.

In addition, utility work included as part of a highway construction contract let using the Iowa DOT Standard Specifications must also comply with Buy America because these provisions are included in these specifications, regardless of whether the relocation is Federal-aid eligible or not.

For additional guidance concerning the Buy America requirements, refer to FHWA's <u>Buy America Construction</u> <u>Program Guide</u>.

For additional tools and information related to Buy America requirements, refer also to the Iowa DOT Right-of-Way Bureau's <u>Buy America web site</u>. This web site describes how the Iowa DOT will address these requirements on its projects involving utility relocations, and the Iowa DOT recommends that LPAs follow similar procedures.

## Utility Coordination

#### Introduction

To effectively coordinate utility adjustments, it is critical for LPAs to work with utilities affected by their transportation projects using a pro-active, cooperative approach. This approach should have as its foundation timely and frequent communication that provides reliable information regarding the nature and schedule of proposed transportation projects. Likewise, it is critical that utility companies respond by providing timely and accurate information concerning the anticipated impacts to their facilities. Utilities should also cooperate with LPAs to adjust their facilities when needed, preferably in advance of project construction if possible. If this is not possible, utilities should work in close coordination with the LPA and / or their contractors to adjust their facilities in a timely manner. In summary, both parties are responsible to ensure effective utility coordination throughout the development and construction of transportation projects.

Therefore, the Iowa DOT strongly recommends both LPAs and utilities implement the following procedures for utility coordination on all transportation projects that require utility adjustments. These procedures are presented in a recommended sequence, beginning with the project concept and continuing through construction. Refer to <u>Attachment A</u>, Utility Coordination Flowchart, for a graphical summary of these procedures. Refer also to <u>Attachment B</u>, Utility Coordination Checklist, (<u>Word</u>) which may be used to track and document completion of the major milestones in the utility coordination process.

When considering the utility coordination procedures outlined below, please note the following:

- These procedures are presented as "best practices" of utility coordination. They do not represent a legislative or regulatory requirement, except where indicated otherwise.
- These procedures are not intended to supersede the requirements of the LPA's existing utility accommodation policy and / or utility permit process.
- The timeframes included below are intended to serve as general guidelines. Because the circumstances of each project may vary significantly, it is not possible to specify timeframes that will fit every situation. Some projects may require significantly more time than what is suggested; others may require significantly less. When planning a project's schedule, the following items are especially important to consider:
  - Lead times for delivery of certain materials can greatly extend the time required to complete the utility adjustments. Examples include steel poles, fiber optic cable, high pressure pipelines, and certain types of conduits or manholes. Some of these materials may require up to 6 months lead time.
  - If replacement property or easements must be acquired for utilities, this should be factored into the project schedule.
- These procedures are not intended for use in emergency situations. Emergency work involving
  utilities also requires close coordination, but it may be neither possible nor prudent to follow all these
  procedures.
- These procedures rely heavily upon proper notice and communications. Both LPAs and utilities may want to consider the use of registered mail to ensure that notices or other critical communications have been received.
- If a utility fails to respond or participate, it does not affect the LPA's ability to proceed with the project. In such cases, the LPA should carefully document its efforts to contact the potentially affected utilities.

## Project Concept

During this stage of project development, the LPA develops the general scope and type of work. For Federalaid projects, the project concept shall be documented using the Concept Statement for Local Systems Federal-aid Projects (<u>Form 517001</u>), in accordance with <u>I.M. 3.020</u>, Concept Statement Instructions. For nonFederal-aid projects, the project concept can be documented using a letter or e-mail. In either case, as a minimum, the project concept should include the following:

- 1. A general description of the proposed work.
- 2. The proposed project limits. If possible, the physical limits should be designated by a specific route or street name with approximate beginning and ending points. If several routes or alternatives will be considered, the LPA should identify a general corridor in which the project will likely be constructed.
- 3. A location map showing the proposed project limits or corridor.
- 4. If available, the proposed roadway or street typical section.

#### Initial Utility Research

During this stage of project development, the LPA should research available records to determine if any utilities may exist within the project limits or corridor, as defined by the project concept. Possible sources of information may include previously approved utility permits or agreements, field investigations or surveys, or the Design Request System provided by the <u>lowa One Call</u> service.

The LPA should also prepare a preliminary list of utility contacts for the project. Contact information may be obtained using the Iowa One Call Design Request System, the Iowa DOT's <u>Utility Company Contact Report</u>, or from previous utility company contacts.

At this point, it is not necessary to determine if utilities will be affected. Utilities should indicate whether or not they are affected in response to the Initial Utility Notification or at the Utility Coordination Meeting.

#### Initial Utility Notification

All utilities that may be within the project limits or corridor should be notified as early as possible. As required by Iowa Code Section <u>318.9</u>, utilities in the highway right-of-way that must be adjusted shall be provided a minimum of 90 days notice. However, in order to allow adequate time for the utility coordination activities outlined in this I.M., the LPA should send the Initial Utility Notification approximately 4 to 6 months prior to when utility adjustments need to begin.

After determining which utilities may be present, the LPA should notify those utilities in writing and request them to confirm if they have facilities in the project area. If so, the LPA should request utilities to provide available information regarding the location of their facilities. At a minimum, the LPA's written notice should include the following:

- 1. Date of the notice.
- 2. Project concept information (as described above).
- 3. LPA contact information (name, address, phone number, and e-mail of LPA or consultant staff person responsible for utility coordination).
- 4. Date the requested utility information should be provided (should allow at least 30 days from receipt of notification).
- 5. A request to confirm the name and contact information of the appropriate utility contact person for the proposed project.
- 6. If known, the anticipated project schedule (approximate letting date and / or beginning of construction).
- 7. If scheduled, the date, time, and location of the Utility Coordination Meeting.

Utilities should acknowledge the Initial Utility Notification within 14 calendar days of receipt. Within 30 calendar days of receipt, utilities should respond by either confirming they do not have any facilities within the proposed project limits or by providing available information concerning their facilities. This information should include a general description of the type of facilities present and their location. The location may be indicated by providing utility system or plant maps, Geographic Information System (GIS) data, or other available data.

#### Utility Coordination Meeting

In accordance with Section 1 of House File 2651, 82<sup>nd</sup> General Assembly (Iowa Code Section <u>306.47</u>), the LPA is required to meet with affected utilities during the design phase of the project. To comply with this requirement, the LPA shall invite all utilities within the project limits or corridor to at least one Utility Coordination Meeting. Additional meetings may be necessary, depending on the impacts to utilities and the

complexity of the project. This meeting may be combined with other site visits and / or project design meetings, but adequate time must be allowed for discussion of utilities.

Notice of the Utility Coordination Meeting may be provided separately or in combination with the Initial Utility Notification. In either case, notice of the meeting should be provided at least 14 calendar days in advance. Use of certified mail is recommended. The notice should include the following:

- 1. The date, time, and location of the meeting.
- 2. The anticipated project schedule (approximate letting date and / or beginning of construction).

The Utility Coordination Meeting has several objectives:

- Provide an opportunity to confirm or establish the appropriate contact persons for both the LPA and the utility companies.
- Review the project concept.
- Review the proposed schedules of both the transportation project and possible utility adjustments; including anticipated lead times for delivery of materials.
- Communicate the goals and objectives of the project.
- Help identify the location of existing utility facilities.
- Clarify the status of utilities facilities (i.e., whether they are active; abandoned; or planned for removal, relocation, or abandonment in the near future).
- Discuss options that would limit the impact of the project construction on utility facilities.
- Provide an opportunity for the affected utilities to discuss and coordinate adjustments of their facilities with one another.
- Discuss Buy America requirements for utility work, if applicable.

In order to allow meaningful input from the utilities, the Utility Coordination Meeting should be held early in the design phase of the project. If held too late, it may be difficult to adjust the project plans without incurring additional costs and / or delays. Therefore, the Utility Coordination Meeting should be held approximately 3 to 5 months prior to when utility adjustments need to begin.

The Utility Coordination Meeting should be well documented, including an attendance list and a written summary of the issues discussed and / or decisions reached. After the meeting, the LPA should prepare and distribute the meeting notes to all attendees and retain a copy for their project file. Copies of the meeting notes should also be sent to all invited utilities that did not attend.

#### Preliminary Plan Submittal

For projects that will be let through the lowa DOT, the preliminary plans shall be developed in accordance with <u>I.M. 3.400</u>, Preliminary Plans. If available, the information provided by the utilities should be used by the LPA's designer to minimize impacts to utility facilities, even for those utilities that are required to move at their own expense. This does not mean LPA designers should attempt to avoid utility facilities at all cost, but simply that designers should strive to minimize the overall cost of the project to the general public, taking into consideration the potential costs to both the LPA and the utilities.

Preliminary plans should be complete enough to allow utilities to determine possible impacts to their facilities and begin preparing their work plan, including design of any necessary facility adjustments. As a minimum, preliminary plans submitted to utilities should include the following information:

- 1. Title sheet, including a location map, type of work, project number, and other general project information.
- 2. Typical sections.
- 3. Horizontal and vertical geometry, such as plan and profile sheets, elevations, or grading plans.
- 4. Existing and proposed right-of-way and easements.
- 5. Cross sections.
- 6. If available, the locations of existing utility facilities.
- 7. Utility contact information.

The LPA should submit preliminary plans to all utilities within the project limits or corridor. The submittal should be accompanied by a cover letter that includes the following:

- 1. The anticipated project schedule (proposed letting date and / or beginning of construction).
- 2. A request that all affected utilities prepare a Utility Work Plan and submit it to the LPA for review.

#### Utility Work Plan

If its facilities need to be adjusted, the utility should prepare and submit a Utility Work Plan to the LPA within 30 calendar days after the receipt of the preliminary plans. If submittal within 30 days is not possible, the utility should notify the LPA and provide an approximate date when the Utility Work Plan will be submitted. As a minimum, the Utility Work Plan should include the following information:

- 1. A narrative description of the work to be performed.
- 2. A drawing showing the existing and proposed locations of the utility facilities in relation to the transportation project improvements, including the existing and proposed rights-of-way.
- 3. If the proposed utility adjustments are dependent on another utility owner or require coordination with other entities.
- 4. If the proposed utility adjustments can be accomplished prior to beginning construction of the transportation project or if work must be coordinated with the transportation project contractor.
- 5. The estimated number of working days to complete the utility adjustments, including the anticipated lead time for delivery of materials.
- 6. If permits or approvals from other agencies are required to complete the utility adjustments, a list of such permits or approvals and the estimated date such approvals will be obtained.
- If the utility adjustment is reimbursable, copies of documents that verify the utility has a property interest in its current location, and a detailed cost estimate for the utility adjustments (for more information see the "Utility Compensation" section below).

<u>Note</u>: If some or all of the above information is required as part of LPA's utility permit request or application form, and such a permit is required by the LPA, the permit request or application form, along with other information as appropriate, may be used to document the Utility Work Plan.

Within 14 calendar days of receipt, the LPA should review the Utility Work Plan and provide comments to the utility. If the LPA's review will require more than 14 days, the LPA should notify the utility and provide an approximate date when comments will be provided. The LPA should review each Utility Work Plan for compatibility with the following:

- The appropriate utility accommodation policy, if any.
- The project requirements, such as design or environmental restrictions.
- The project schedule.
- Other Utility Work Plans (if multiple utilities are involved).

If the Utility Work Plan is acceptable, the LPA should promptly notify the utility. If the Utility Work Plan is not acceptable, the utility should revise and resubmit its Utility Work Plan within 14 calendar days of receiving notice from the LPA.

#### **Utility Compensation and Agreements**

Utilities may or may not be entitled to receive compensation for the cost of adjusting their facilities, depending on the terms of the applicable utility accommodation policy and / or utility permit. Utilities located on existing rights-of-way for Primary highways and non-primary Federal-aid highways must adjust their facilities at their own expense. Typically, this is also true for utilities located in the rights-of-way of other roadways; however, the LPA should verify the terms of its policies and / or permits for such roadways.

If a utility is entitled to compensation, the LPA and utility should work together to draft an agreement. Most utilities have a standard form of agreement that may be used. A sample form of agreement used by the Iowa DOT is also available upon request. The agreement shall include the following as a minimum:

- 1. A description of the work to be performed by the utility.
- 2. A detailed cost estimate.
- 3. The method by which the work will be performed (e.g., utility forces, LPA forces, or by contract).
- 4. The method of compensation (e.g., actual cost, unit cost, lump sum, etc.).
- 5. Procedures for determining and applying credit for betterments and salvaged materials.
- 6. Buy America provisions; if applicable (see below).

A mutually acceptable compensation agreement should be executed before notice to proceed with utility adjustments is given to the utility. For all projects let through the lowa DOT, a fully executed compensation agreement is required before a project may enter the letting process.

If Federal-aid reimbursement of the utility compensation costs will be sought, the LPA shall follow the procedures in <u>I.M. 3.650</u>, Federal-aid Participation in Utility Relocations, which include submitting a draft agreement to the Iowa DOT for review and FHWA authorization.

If the project requires utility work that is eligible for Federal participation, regardless of whether Federal funds are actually used or not, the agreement shall include provisions that require the utility to certify compliance with the Buy America law at 23 U.S.C. 313 and its implementing regulations at 23 CFR 635.410. The agreement shall also require the utility to maintain records to support its certification(s). A sample agreement provision, where "COMPANY" is the utility and the "AGENCY" is the LPA, is provided below:

"All portions of the project performed by the COMPANY shall be in compliance with the Buy America Requirements, as set forth in 23 CFR 635.410 and 23 USC 313, as amended by Section 1518 of P.L. 112-141. Before incorporating any iron or steel products into the work, the COMPANY shall provide the AGENCY with manufacturer's certifications indicating that all manufacturing processes for iron and steel, including the application of coatings, have occurred in the United States, unless granted a waiver pursuant to 23 CFR 635.410."

The lowa DOT recommends the utility agreement require the utility company to use a step-certification process, whereby each corporate entity involved in the manufacturing process (from melting to fabrication) on transfer of the intermediate product, certify that its product complies with Buy America. This process produces a "chain of custody" documentation trail that can be used to verify compliance.

Regardless of the type of certification process used, the LPA shall retain the certifications provided by the utility as part of its Federal-aid project file.

#### Acquisition of Utility Property Rights

If acquisition of utility property interests is required by the transportation project, the LPA must secure the necessary property interests in the same way as other private property required for the project. Typically, this occurs when the utility is located in its own easement or property outside the existing highway right-of-way.

In such cases, after the utility property interests have been acquired, the LPA should send the utility a Disclaimer of Interest for the affected utility properties. After execution by both the utility and the LPA, the LPA should file the Disclaimer of Interest with the appropriate County Recorder. To obtain an example Disclaimer of Interest form, contact the appropriate District Utility Coordinator (see "Contact Information" section below). The compensation agreement should also contain a provision requiring the utility to execute a Disclaimer of Interest, as described above.

If the utility elects to relocate to a new easement or property outside of the proposed highway right-of-way, the cost of such replacement property rights should be included in the compensation agreement. Either the LPA or the utility may be responsible for acquiring the replacement utility easement or property, as specified in the compensation agreement. If the LPA is responsible for obtaining a new easement, it should coordinate closely with the utility to ensure the necessary restrictions are included (e.g., limits on placement of trees or other landscaping items by the property owner).

#### **Utility Permits**

For any utility facilities that will be located within the highway right-of-way, the LPA should require the utility to obtain a permit. A permit review and approval process is important because it helps effectively manage and coordinate the use of the highway right-of-way by utilities. This is important for both new installations (i.e., facilities not currently located within the right-of-way) and adjustments of existing utility facilities (i.e., facilities already located within the right-of-way).

In either case, the LPA should be careful to review permit applications for potential conflicts with upcoming highway projects. As a minimum, this should include all projects that are currently programmed, and any others not programmed but anticipated within the foreseeable future. If a permit request may be affected by an upcoming transportation project, the LPA should consider delaying issuance of the utility permit until the transportation project design has been finalized. This reduces the possibility that new utility installations or utility relocations will be affected by the proposed transportation project.

The level of review performed by the LPA will depend on the stage of development of the proposed project(s). If a project is still in the planning or conceptual stage, the exact type and limits of construction are not known; therefore, the reviewer may only be able to check for obvious conflicts with the proposed highway improvements. If the proposed project is in the preliminary or final design stage, a more detailed review can be performed. The following items, as applicable, should be reviewed for utility permit requests:

- 1. Compliance with the appropriate utility accommodation policy.
- 2. Check locations of proposed utility facilities with respect to the proposed highway improvements including slope intercept lines, fill heights, driveways, culvert or sewer installations, bridge locations, construction staging, and areas for storage of materials and / or equipment. Any conflicts should be resolved before granting a permit.
- 3. Determine if above-ground installations will conflict with the recommended clear zone. If so, the facilities should be redesigned to be located outside the recommended clear zone if possible. For additional guidance, refer to I.M. 3.240, Clear Zone Guidelines.
- 4. Determine if above-ground installations may conflict with aerial clearances required for construction cranes. If so, they should be redesigned to allow adequate room for construction operations.
- 5. Determine if above-ground installations will interfere with the desirable sight distance. If so, they should be redesigned to eliminate or minimize sight distance restrictions.
- 6. If the utility's plan includes proposed future expansion of utility facilities, check the proposed future expansions for possible conflicts.
- 7. Determine if the utility's plan contains appropriate erosion control measures.

Upon receipt of a utility permit request, the LPA should review and provide a response within 14 calendar days. If acceptable, the LPA should document the permit approval by signing the permit application form, or if a form is not used, by sending a letter of approval to the utility. If the request is not acceptable, the LPA should explain the reasons why. The utility should then revise their permit request as needed and resubmit.

#### Final Plan Submittal

For projects that will be let through the lowa DOT, the final plans shall be developed in accordance with <u>I.M.</u> <u>3.700</u>, Check and Final Plans. For locally let projects, the final plans shall include all of the information normally included in the bid documents for local lettings. In either case, the plans should also include the contact information for all utilities with facilities located on the project.

In addition, if some or all of the utility adjustments will occur during construction of the transportation project, the final plans should explain the type of coordination that will be required. This information may be included on the plans and / or as an attachment to the bid documents. At a minimum, this information should include:

- 1. The names of affected utilities.
- 2. The type and size of the affected facilities.
- 3. The approximate location of utility facilities and any known utility conflicts.
- 4. A summary of the work to be completed by the utilities, as specified in their approved Utility Work Plans.

When final plans are complete, the LPA should send a copy to all utilities with facilities within the project limits. The LPA's final plan submittal should be accompanied by a cover letter that includes the following:

- 1. The anticipated project schedule (proposed letting date, anticipated beginning of construction, and contract period, if known).
- 2. If scheduled, the time, date, and location of the pre-construction meeting.

If significant changes to the type or location of the transportation improvements have been made since the preliminary plan submittal, these should be identified. If easily described, this information can be included in the cover letter. If the changes are more complex, the plans should be marked-up to indicate the changes using highlighter, clouding, or other visible means.

#### Work Plan Revisions

If changes to the plans require changes to a previously submitted or approved Utility Work Plan, the utility should notify the LPA and submit a revised Utility Work Plan for review and approval within 14 calendar days of receipt of the final plans. Within 14 calendar days of receipt from the utility, the LPA should review the revised work plan and provide comments or notification of approval.

If the utility has already completed adjustments to its facilities after receipt of notice to proceed from the LPA, and the changes to the final plans will require the facilities to be adjusted again, the utility should be entitled to compensation for the costs of such adjustments.

#### Notice to Proceed

After the Utility Work Plan has been approved, and after the compensation agreements and utility permits have been approved, as applicable, the LPA should provide written notice to proceed to each affected utility. Such notice should be provided at least 14 calendar days prior to when the utility adjustments must begin.

<u>Please Note</u>: For Federal-aid projects, Environmental Concurrence and, if Federal reimbursement is desired, FHWA Authorization of utility costs, must be obtained prior to beginning construction of any utility adjustments. For more information, refer to <u>I.M. 3.650</u>, Federal-aid Participation in Utility Relocations.

#### **Pre-Construction Meeting**

The LPA should invite all affected utilities to the pre-construction meeting. Notice of this meeting should be provided at least 14 calendar days in advance. The pre-construction meeting provides an excellent opportunity to coordinate any utility adjustments that will be concurrent with the transportation project construction. At a minimum, the following items should be discussed at the pre-construction meeting:

- 1. Updates to either LPA or utility contact information (changes may have occurred since the plans were developed)
- 2. If the necessary utility adjustments are not complete, the current status and the proposed schedule for completion.
- 3. Whether or not any utility adjustments are dependent on transportation project construction, or vice-versa.
- 4. Whether or not any utility adjustments may impact environmentally sensitive areas, and if so, the project constraints for working in or around those areas.
- 5. Installation and maintenance of erosion control measures for utility adjustment work.
- 6. Buy America provisions and certification procedures, if applicable.

The pre-construction meeting should be well documented, including an attendance list and a written summary of the issues discussed and / or decisions reached. After the meeting, the LPA should prepare and distribute the meeting notes to all attendees and retain a copy for their project file. Copies of the meeting notes should also be sent to all invited utilities that did not attend.

#### Construction

If utility adjustments will be concurrent with construction of the transportation project, close coordination between the LPA, the utilities, and the contractor will be required. The LPA should invite utility representatives to regularly scheduled construction progress meetings as appropriate. Maintaining close communication during this phase of the project is essential in order to avoid delays and added expense for all parties involved.

If the utility's work is dependent upon the contractor's work, the contractor should provide at least 48 hours notice to the utility before beginning and after completing its work. Likewise, if the contractor's work is dependent upon utility relocations, the utility should provide at least 48 hours notice to the contractor and the LPA before beginning and after completing its work. If the contractor has fulfilled its utility coordination obligations in accordance with the contract documents, but is not able to work on the controlling item of work because of delays caused by a utility, the contractor should not be charged working days.

If unexpected utility conflicts arise during construction, the LPA, utility, and the contractor should work together to obtain a mutually agreeable solution.

If Buy America applies to a utility relocation, the LPA shall obtain certifications from the utility prior to incorporating iron or steel products into the work and retain these records in its Federal-aid project file for which the utility relocation was eligible. These records shall be retained for at least 3 years after FHWA approval of the final amendment / modification document for the project, as described in Section 9.3 of the Federal-aid Project Development Guide.

For utility relocations related to a Federal-aid project, the Iowa DOT will review these records during field inspections and as part of the project close-out process.

## Utility Coordination Schedule

The schedule shown below is intended to illustrate the relationship between the utility coordination activities outlined in this I.M. and indicate the approximate lead time required for adequate utility coordination on most LPA transportation projects. The recommended time frames included in the preceding text are based on the schedule shown below.

<u>Please Note</u>: This schedule is presented as a general guide and should only be used as a starting point for setting a project-specific utility coordination schedule. Substantially more or less time may be required, depending on the complexity of the project, the number of utilities affected, and other project development requirements, especially for Federal-aid projects.

ID	Task Name	Duration	2008 2009								
	rask Name		Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
1	1 LPA Provides Initial Utility Notification			<u> </u>							
2	2 LPA Provides Notice of Utility Coordination Meeting (UCM)		►								
3	LPA and Utilities conduct UCM	0d		Ļ <b>∳</b>	7						
4	Utility Provides Location Information										
5	LPA Prepares Preliminary Plans	30d			┝						
6	LPA Submits Preliminary Plans and Requests Work Plan	0d				•					
7	7 Utility Prepares and Submits Work Plan 30d					Ŀ►					
8	Work Plan Review and Approval Process	14d						→────			
9	Compensation Agreement Review and Approval Process (if needed)	60d						→			ן
10	Permit Review and Approval Process (if needed)	14d						•—			
11	LPA Finishes Final Plans	14d						┝			
12	LPA Submits Final Plans	0d							L,		
13	Work Plan (if needed)										
14	LPA Reviews and Approves Revised Work Plan (if needed)	14d							[	<b>≻</b>	
15	LPA Provides Notice to Proceed	14d								+(	
16	Utility Begins Work*	0d									•

# **Utility Coordination Schedule**

\* Depending on the lead times required for certain material deliveries, the utility may not be able to begin work within 14 days of notice to proceed. LPAs and utilities should discuss the impact of lead times early in the project development process and adjust the project schedule as needed.

## **Additional Resources**

**Reference Information** 

- <u>Policy for Accommodating and Adjustment of Utilities on the Primary Road System</u> (for Primary highways only)
- Iowa Guide to Utility Coordination (for Primary highways only)
- lowa One Call website
- Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System
- <u>Program Guide Utility Relocation and Accommodation on Federal-aid Projects</u> (provides guidance and interpretation of applicable Federal laws and regulations)

**Contact Information** 

- <u>Utility accommodation and coordination</u> (includes the Iowa DOT central complex staff. Select the "Coordination" tab to view the Iowa DOT District Utility Coordinators)
- <u>Utility Company Contact Report</u> (Iowa DOT database of utility contact information)