

INDIANA DEPARTMENT OF TRANSPORTATION

**INTER-DEPARTMENT COMMUNICATION
Standards Section -- Room N642**

July 15, 1998

**DESIGN MEMORANDUM No. 98-05
TECHNICAL ADVISORY**

TO: All Design, Operations, and District Personnel, and Consultants

**FROM: /s/ Richard VanCleave
Richard VanCleave
Design Policy Engineer
Technical Services Division**

SUBJECT: Utility Coordination Process

EFFECTIVE: Process to be effective immediately. Implementation shall begin at the next logical step in the process based on the current phase of project development. Contracts scheduled for letting after May 1999 will not be advertised without a fully executed Utility Coordination Certification form.

Introduction. The purpose of this document is to provide guidance on what level of effort is expected for coordinating utilities under the new utility coordination process for the design phase. There are many factors that dictate the level of effort required to coordinate a specific utility relocation. Among these factors are the type and condition of utility facility, potential impact to project, and exactness of known location.

With the many factors involved and the potential uniqueness of projects and their impacts to utilities it would not be practical to try and provide exact definitions of the level of effort required. Instead, this document will provide a general guideline as to what is expected. In this way, individuals responsible for utility coordination will have the guidance they need to fulfill the intent of the new coordination process, which is to resolve all utility issues during the design phase and, therefore, provide a better product for the contractors to work with.

Responsiveness received from utility companies with regards to highway projects vary considerably. Overall, most utilities will respond without having to repeatedly contact them. However, utilities have their own priorities and unfortunately sometimes it becomes necessary to contact a utility several times in order to receive the response required from them. Part of the intent of these guidelines is to establish general benchmarks as to what is reasonably expected when one is faced with an "unresponsive" utility.

Discussion of Factors. As mentioned above some of the factors of concern are the type and condition of utility facility, impact to the project, and knowledge of location. The usual types of utility facilities encountered are electric, water, sanitary sewer, gas and petroleum (and other product lines), and communication (telephone, cable TV, etc.). Each utility type can present unique situations or conflicts.

There are many types of potential utility impacts to a project because of poor coordination. There is the impact to the project schedule if a utility ends up being in conflict with construction and the project is delayed because of this. There is the impact to construction workers who might strike a buried utility line. There is the impact to the users of the utility if a line is struck. Environmental consequences and disruption to essential (national defense, airport, etc.) communication links are among other potential impacts.

The exactness with which the location of an underground utility is known has a direct correlation to the potential impact of that facility on the project. Actually, it is apparent that the factors of type of facility, potential impact, and knowledge of location are closely inter-related and the combination of these factors are an indication of what level of effort is required to properly coordinate utilities.

Utility Coordinators. The utility coordinator for each type of work will be as follows:

1. State-route projects developed in house and by consultants: Design Division's Utilities Unit.
2. District-developed projects: District Development's Design Engineer.
3. State-route traffic work in a separate contract from road or bridge work: Design engineer.
4. All local agency federal-aid projects: Design consultant.

Utility Coordination Process, Design Timeframe of 12 Months or Longer -- Design Phase. The following coordination process must be used for all Department-let contracts, unless a waiver is approved for use of the process for short-term projects as described on Pages 4 and 5, or a complete waiver of process is approved as described on Page 5.

For a state-route project, the typical assignment of responsibility for the steps listed below is as follows:

- Step 1: Party preparing project scope
- Step 2: Surveyor
- Steps 3 – 6: Designer. The INDOT Utilities Unit will participate in meetings and assist with follow-up
- Steps 7 – 11: INDOT Utilities Unit

For a federal-aid LPA project, the design consultant is responsible for all steps. The INDOT Utilities Unit will be available for advice.

The steps are as follows:

1. A complete list of all affected utilities shall be identified and included in preliminary project reports, such as engineers' reports. The locations of the utilities and all significant impacts shall be included in the report. If the owner of the utility is evident from field investigation, then this information shall also be included in the report.
2. Prior to conducting a field survey, the surveyor shall prepare a list of all existing utilities including name, address, and phone number. The surveyor shall then contact these utilities and request that they field-locate their facilities. The field-located facilities shall be picked up on the survey and shown on the plans. Every effort will be made to ensure that each utility has, in fact, field-located their facilities.
3. Grade review plans (25% complete) are sent to each utility for the purpose of requesting verification that their facilities are accurately shown. Utility locations, types, and sizes should be shown and verified. See the sample transmittal letter on Page 13.
4. A coordination meeting between the designer and utilities shall occur early in the design phase (approximately 25% complete). Utilities and designers shall develop alternatives on conflicts to find the most cost-effective solution for all parties.
5. Distribute preliminary field check plans (43% complete) to the utilities and invite them to attend the field check. See the sample letter on Page 14.
6. Conduct field check with utilities participating. Discuss right-of-way needs.
7. Distribute plans, after design approval, with tentative project schedule to utilities, requesting submittal of relocation plans with estimated relocation schedule. See the sample letters on Page 15 and Pages 16-20. All revisions affecting utilities must be sent to the affected utilities.
8. Written documentation is required for all utilities whether relocations are required or not.
9. Review relocation plans and schedules to verify that all conflicts are resolved. At appropriate time, the LPA or INDOT provides written notice for utility to proceed. Hold meeting, if necessary, to resolve location or constructability issues. See the sample letters on Pages 21 and 22.
10. Distribute two copies of utility written notice to proceed with approved utility relocation plans to the appropriate INDOT District.

11. Items a., b., and c., shown below, for all utilities within the project limits, along with a Utility Coordination Certification must be provided to the Technical Services Division's Contracts Section along with contract documents no later than 90 days prior to the contract letting. The Utility Coordination Certification, signed by the designer, or other person responsible for utility coordination, shall state that all utilities within the project limits have been contacted and that the included relocation plans address the relocation of all facilities known to be in conflict with the project. See the sample contract special provisions on Pages 25-26 and Utility Coordination Certification on Page 27.
 - a. Utility contact with phone number.
 - b. Utility relocation plans, and/or verbal description of relocation if relocation is necessary.
 - c. Total schedule for relocation, if relocation is necessary, shall include material delivery, weather restraints, pre-work requirements, coordination issues, need for right-of-way staking and construction time.

Utility Coordination Process, Design Timeframe of Shorter than 12 Months (Short-Term Project) -- Design Phase. This process may only be used for projects which are granted a waiver stating the reasons for it to be granted, and signed for approval by the District Development Engineer, the Design Division's Specialty Projects Group Manager, or the Highway-Utility Manager. See the Utility Coordination Certification for Short-Term Project on Page 28.

The typical assignment of responsibility for the steps listed below is as follows:

Step 1: Party preparing project scope

Step 2: Surveyor or designer

Steps 3 – 8: Designer. INDOT Utilities Unit will be available for advice

(Utilities Unit is responsible for Steps 3-8 on INDOT bridge rehabilitation projects.)

The steps are as follows:

1. A complete list of all affected utilities shall be identified by district personnel and included in the project data sheets and preliminary project reports. The locations of the utilities and all significant impacts shall be included in the report. If the owner of the utility is evident from field investigation, then this information shall also be included in the report.

2. At the time the field survey is being conducted, the designer or surveyor shall prepare a list of all existing utilities including name, address, and phone number. The designer or surveyor shall then contact these utilities and request that they field-locate their facilities. The field-located facilities shall be picked up on the survey and shown in the contract documents. Every effort will be made to ensure that each utility has in fact field-located their facilities. If a field survey is not conducted, then utility locations should be discussed and verified during the field check (Step 4.) Verified locations should be added to the plans as appropriate. Calling the Indiana Underground Plant Protection Service and local utilities for locations prior to the field check may also be desirable when no field survey is conducted.
3. Distribute field check plans to the utilities and invite them to attend the field check(s). See the sample letter on Page 14 and Notes for INDOT Bridge Rehabilitation Projects.
4. Conduct field check with the utilities participating. At this time discuss possible conflicts, relocation and right-of-way needs. See Notes for INDOT Bridge Rehabilitation Projects.
5. Distribute plans, after design approval, with tentative project schedule to utilities, requesting submittal of relocation plans with estimated relocation schedule. See the sample letters on Page 15 and Pages 16-20 and Notes for INDOT Bridge Rehabilitation Projects. All revisions affecting utilities must be sent to the affected utilities.
6. Written documentation is required for all utilities whether relocations are required or not.
7. Review relocation plans and issue notice for utility to proceed. See the sample letters on Pages 21 and 22.
8. Items a., b., and c., shown below, for all utilities within the project limits, along with a Utility Coordination Certification must be provided to the Technical Services Division's Contracts Section along with contract documents prior to the contract letting. The Utility Coordination Certification, signed by the designer, or other responsible person responsible for utility coordination, will state that all utilities within the project limits have been contacted and that relocation plans have been requested for all facilities known to be in conflict with the project. See the sample contract special provisions on Pages 25-26 and Utility Coordination Certification for Short-Term Project on Page 28.
 - a. Utility contact with phone number.
 - b. Utility relocation plans, or verbal description of relocation if relocation is necessary.
 - c. Total schedule for relocation, if relocation is necessary, shall include material delivery, weather restraints, pre-work requirements, coordination issues, need for right-of-way staking and construction time.

Notes for INDOT Bridge Rehabilitation Projects

Bridge rehabilitation projects have unique qualities and benchmarks that prevent them from exactly conforming to the sequence of steps for this process. For bridge rehabilitation projects, there is a field check held for the purpose of preparing an inspection report and there is a field check held near the very end of the plan development process. Neither of these meetings are appropriate times to do the utility coordination outlined in Steps 3 and 4. Once preliminary plans are developed, these plans should be transmitted to the INDOT Utilities Unit. The number of copies of plans sent for utility coordination must equal the number of utilities plus one copy for the INDOT Utilities Unit. The INDOT Utilities Unit will then set up a field check to be attended by the utility companies, the designer, and a representative from the INDOT Utilities Unit. The preliminary plans distributed for the field check are also to be used by the utilities for development of relocation plans and schedule as outlined in Step 5. A second distribution of plans to utilities as is indicated in Step 5 will not be done.

Utility Coordination Process, Design Timeframe of Shorter than 12 Months (Short-Term Project) -- Traffic Signal Project Design Phase. Traffic signal projects also have unique qualities and benchmarks that prevent them from exactly conforming to the sequence of steps for the Utility Coordination Process for Short Term Project. Therefore, the following coordination process must be used for traffic signal projects. The Utility Coordination Certification for Short Term Project shall be used for traffic signal projects. The Design Division's Specialty Projects Group Manager shall sign the waiver.

1. A complete list of all affected utilities and the owners of the utilities shall be identified by the District and included in the project data sheets and preliminary project reports. The location of the utilities and all significant impacts shall be included in the report.
2. The designer will contact the Indiana Underground Plant Protection Service and local utilities at least once before the preliminary field inspection for locating utilities prior to the field inspection. All existing utilities shall field-locate their facilities and every effort must be made to ensure that this happens. All utilities shall be shown on the preliminary field inspection plans. If, in the preliminary field inspection, a utility does not locate its facilities, location of said facilities should be discussed and verified at the final field inspection.
3. The designer will invite all utilities to attend the final field inspection. The letter of invitation should be sent at least two, and preferably three weeks before the final field inspection. Design plans shall be made available to all utilities before or at the final field inspection. See sample letters on Page 14, Page 15, and Pages 16-20.
4. Conduct final field inspection with utilities participating. At this time, discuss possible conflicts and relocations and verify locations of utilities. Utilities must verify the location of their facilities and submit revisions to the designer no later than three weeks after the final field inspection.

5. The designer shall request that all utilities needing to relocate facilities submit a utility relocation plan and estimated relocation schedule. The utility should be given at least 30 days to do this. All revisions affecting utilities will be sent to the affected utilities.
6. Written documentation is required for all utilities whether relocations are required or not.
7. Review relocation plans and issue notice for utility to proceed. See sample letter on Pages 21-22.
8. Items a., b., and c. shown below, for all utilities within the project limits, along with a Utility Coordination Certification will be provided to the Technical Services Division's Contracts Section along with contract documents prior to the contract letting. The Utility Coordination Certification, signed by the designer, will state that all utilities within the project limits have been contacted and that relocation plans have been requested for all facilities known to be in conflict with the project. See sample contract special provisions on pages 25-26 and Utility Coordination Certification for Short Term Projects on page 28.
 - a. Utility contact with phone number.
 - b. Utility relocation plans, or verbal description of relocation if relocation is necessary.
 - c. Total schedule for relocation, if relocation is necessary, shall include material delivery, weather restraints, pre-work requirements, coordination issues, need for right-of-way staking and construction time.

Complete Waiver of Process. Projects for work such as herbicide, mowing, raised pavement markers, traffic striping, sweeping, etc., which normally have no utility involvement may be granted a complete waiver from the utility coordination processes. This waiver must be signed for approval by the District Development Engineer, the Design Division's Specialty Projects Group Manager, or the Highway-Utility Manager. See the Utility Coordination Certification Waiver on Page 29.

Utility Relocation Process -- Construction Phase. The following coordination process must be used for all Department-let contracts. The project engineer or supervisor must oversee this process. The steps are as follows:

1. Initiate right-of-way staking, if applicable. In cases where early staking would be beneficial, the owner may choose to accomplish this as follows:
 - a. Use its own survey crew
 - b. Contract the staking out
 - c. Include a provision in the contract requiring the Contractor to stake within two weeks of notice to proceed.

2. Preconstruction Conference. Agenda must address utility coordination and need for individual utility meetings. Contractor and utility schedules shall be shared, reviewed, and modified as necessary.
3. Individual utility meetings for major concerns, if necessary.
4. Contractor performs clearing, right-of-way staking, etc., required by the contract special provisions for utility relocations, within ___ days after the preconstruction conference. (The number of days is determined by the special provisions and/or at the preconstruction conference.)
5. Plan changes during construction, including changes in phasing, must be coordinated with affected utilities before implementation.
6. Utilities relocate in a timely manner.
 - a. Utility progress meetings are held when appropriate.
 - b. Utility notifies owner and contractor of relocation plans changes.

Encourage utilities' participation in partnering.

Level of Effort. The listed step number corresponds to the step number of the Utility Coordination Process for the Design Phase described on Pages 2-3. The level of effort required for each step is described.

Step 1. A general description of the location of all visible utilities must be given in the report. If the owner of the utility facility is evident in the field then this must also be included in the report. Also, it might be obvious that there are other utilities in an area but there might not be visible appurtenances. In this case, a phone call to a local government unit, the appropriate District Office, or the INDOT Highway-Utility Manager shall be made in order to obtain the name of the utility so that a description of the location of the facilities can be given in the report. All significant impacts or concerns involving utilities must be described. Research required beyond what can be done in the field to obtain utility locations and names should be kept to a reasonable minimum. The intent of this is not to have the writer of the report spend a significant amount of office time doing utility research.

Step 2. All utility facilities must be located and shown on the plans. A list of all existing utilities including name, address, and phone number shall be compiled. The list of utility owners supplied in the preliminary project report should be used as a starting point for this step. The Underground Plant Protection Service (Holey Moley) shall be contacted for a list of underground utilities in the area. Not all utilities subscribe to this service so the records at the County Courthouse must be checked also. All underground utilities are listed with the County Recorder. This listing is arranged by civil townships.

All utilities identified must be contacted to field locate their facilities in order that they be picked up by the survey crew. If, upon arrival at the site, it is discovered that a utility has not responded to the request, the utility should be contacted immediately at least one more time to provide this service. If the utility does come out and mark their facilities prior to the survey crew leaving the site, then the survey crew should pick up these markings. If the utility does not come out and mark their facilities prior to the survey crew leaving the site, then there is nothing else the survey crew needs to do. They have fulfilled their obligations. Unresponsive and uncooperative utilities or location providers should be documented.

Steps 3 and 4. These steps are fairly self-explanatory. All utilities must be sent plans and invited to attend the coordination meeting. It is up to the utility to attend or not. It is recommended, however, to contact by phone and advise each utility that will have significant involvement in the project to attend the meeting.

Steps 5 and 6. These steps are also fairly self-explanatory. All utilities should be sent plans and invited to attend the preliminary field check. It is up to the utility to attend or not. Once again, it is recommended to contact by phone and advise each utility that will have significant involvement.

Steps 7 through 10. These steps are the most “critical” in that a response from each utility is “required.” Likewise, the effort required for these steps is thus the hardest to define in terms of what is required to comply with the intent of the coordination process when you have an “unresponsive utility.” The level of effort required for coordination depends upon the factors as listed above. Since each situation can be unique, no specific guidelines will be established. Instead, some examples are being provided to show what the intent is.

Example 1. Several power poles are located within the project limits. From field observations it is apparent that neither the poles nor the lines attached to them should conflict with the project. In this case, all facilities are visible and a reasonably accurate decision may be made that no conflict exists. Thus, if the utility does not respond to the letter sent, it would not be productive to try to contact them more than 2 or 3 times to get them to send a reply. If no response is ever received from the utility, a letter should be sent to the utility notifying them that the assumption is being made that there is no conflict with their facilities and that they will be liable for any delay to the project if there is a conflict. Or, at a minimum, documentation of the attempted communication should be kept in case a problem later develops.

Example 2. A cable TV line is attached to poles owned by an electric company. The electric company will be moving their poles to accommodate construction of the project. The cable TV company has not provided relocation plans even though they have been contacted twice after the letter requesting relocation plans was sent. In this case, it appears fairly obvious that the cable company will have to move with the electric company, but they just will not respond to the request to submit a letter that this is what they intend to do. A notice to proceed with relocation should be sent to the utility. In this notice should be a statement that the utility will be liable for any delay to the project if they do not relocate in a timely manner.

Example 3. An overhead telephone line is present within the project limits. It is apparent that the poles will be in conflict with the project. The utility has not submitted their relocation plans by the date requested. The utility has been called twice since that date and they have not responded back with plans or reason as to why their submission is late.

Since a conflict is evident, every effort should be made to contact the utility by phone or other means. If after trying to contact the utility up to four or five more times over a period of a month, and a response has still not been received, a letter from the highway agency that owns the project should be sent putting the utility on notice that their facilities are in conflict with the project and that action will be taken against the utility if they do not proceed with developing their plans and relocating their facilities. See the Sample Letter on Pages 23-24.

If no response is received after this, then the matter should be turned over to the highway agency (project owner) to pursue with their attorneys or however they deem necessary. At this point, the utility coordinator has fulfilled their obligations in this matter. The only further obligation would be if the utility does respond and send in plans. Then the coordinator would have to resume his or her coordination per normal procedures. The INDOT Highway-Utility Manager may also be contacted for advice in such matters.

Example 4. A water main exists within the project limits of a road project with a length of 1 km. The line is known to run the length of the project either under or near where new pavement will be placed. No other details of location of the main or service lines are known. In this case, it is not known if there is a conflict or not. Whether there is a conflict or not would depend on the location and condition of the main and the service lines.

The utility has not submitted their relocation plans by the date requested. The utility coordinator has contacted the utility and was told that the utility “would get right on it and have plans submitted within two weeks.” Three weeks have passed and relocation plans have still not been received. During the next three weeks, five phone messages have been left with the utility, but none of the calls have been returned.

In this case, it is necessary to obtain a response from the utility due to the possible consequences if a conflict exists. A letter from the highway agency that owns the project must be sent notifying the utility that they are likely in conflict with the project and action will be taken against the utility if they do not proceed with developing their plans and relocating their facilities. If no response is received, then the utility coordinator has fulfilled their obligation and this matter should be turned over to the highway agency (project owner) to pursue.

Example 5. A high-pressure gas transmission line crosses under the road at one location within the limits of a road project with a length of 2 km. It appears that there might not be a conflict since only minimal work is being done above the pipeline. However, there will be a need for heavy construction machinery to traverse over top of the area where these lines are during construction.

The utility has been contacted but has indicated that they are too busy to spend the time to review the project plans and make an assessment of the situation. They have indicated that it will be at least 6 months before they will have a chance to do a review. Unfortunately, this is not in accordance with the schedule for the highway project.

Even though the utility is only present at a spot location, due to the type of utility facility involved, a response would be necessary from this utility. Also, gas transmission and other pipeline utilities have some rather stringent regulations that sometimes result in relocations where it might not be readily apparent that there would need to be one. Pipeline relocations can also tend to be costly, take a considerable amount of time and be subject to seasonal constraints. Thus, it would be beneficial to receive an early response from such a utility.

In this case, the utility is “communicating” but they aren’t willing to meet the highway project schedule due to their own priorities. In a case such as this, it would be best to inform the utility why it is to their advantage to spend some time to at least do an analysis to see if a conflict exists or not. For instance, if a conflict is identified early enough, then the project plans or special provisions could be altered to accommodate the utility without the utility having to make any adjustment to their facilities. If the utility waits until the last minute there will be much less flexibility to make changes. Therefore, a little amount of time spent now could save a large amount of time and hassle later. It is always best to try to demonstrate to the utility the advantages of coordinating in a timely manner. Giving the utility (or anyone for that matter) an incentive to do something is the best way to get cooperation.

If the “incentive method” doesn’t work then more forceful methods would need to be pursued as listed in the Examples 3 and 4.

Once again, due to the many different possible scenarios, it is not the intent here to provide exact rules to follow. If an unresponsive utility is encountered, it will be up to the utility coordinator to assess the situation and determine what level of effort and what steps should be taken to meet the intent of these guidelines.

Note: If you are unable to make contact with a utility make sure that you are indeed contacting the proper person and that the phone number is correct.

Note: If you know someone else at the utility with whom you get cooperation from, you may try talking to that person to try to find out how to get cooperation from the person you are dealing with.

Note: Reasonable time frames must be used for relocation plan return dates if you expect cooperation from a utility. For large road projects or other projects with major utility involvement, utilities should be sent plans to develop their relocation plans at least a year in advance of the ready-for-letting date. For all other projects (excluding short-term projects) plans should be sent at least six months in advance of the ready-for-letting date when asking for relocation plans. For short-term projects, since it is not possible to give the utilities as long an advance notice, every effort must be made to provide the utility with a reasonable amount of time to respond to your request.

Step 11. The information to complete this step should have been obtained in the previous steps, so it is just a matter of supplying this information to the proper personnel.

RVC:JAS:nsc

Memorandum developed by Jeff A. Sowers, Highway-Utility Manager, Design Division.

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ACME ENGINEERING, INC.

May 30, 1997

Utility Company ABC
100 Main Street
Anytown, IN 99999

Attention: Ralph Kramden
Govt. Liaison Rep.

UTILITY ADJUSTMENT

Project: ST-999-9()
Des. No.: 9999999
SR 29 from 1st Street to 25th Street

Dear Mr. Kramden:

Transmitted with this letter is a set of grade review plans (25 percent complete) for the above captioned project. This project is being designed by this firm for the Indiana Department of Transportation and includes major reconstruction of the pavement, curbs, sidewalk, drainage, and traffic signals.

The enclosed plans are intended to show your utility facilities based upon the best available information. You are requested to review these plans and verify the location, sizes, and types of your facilities and advise us promptly of any incorrect or missing information.

A meeting has been scheduled for 00:00 p.m. on _____, 19____, at City Hall, 120 Main Street, Anytown, Indiana, in the City Engineer's Conference Room. The purpose of this meeting is to review in detail any apparent conflicts between the proposed project and your existing utility facilities. The meeting will focus on alternative solutions to resolve any conflicts with the most cost effective solution for all parties. This could be your opportunity to avoid a costly utility relocation at a later date when the project is under construction. Attendance at this meeting is optional. All utilities will be contacted one week prior to the meeting date. If there is no interest then the meeting will be canceled.

If we do not hear from you, we shall assume that the enclosed plans accurately show your facilities. We shall proceed based upon this assumption with the final design and construction. All conflicts with your utility resulting from your lack of response will be totally your responsibility.

We thank you for your cooperation in the design of this important project. We believe by working together, we can reduce project costs and better serve the public.

Sincerely,

John Brown, P.E.
Project Engineer

ACME ENGINEERING, INC.

February 6, 1999

(Preliminary) (Final) Field Check Notification

RE: Bridge Replacement
SR 99 over Colt Crk., 2.3 miles E of
US 22, in Pacer County
Des No. 2199999
Structure No. 99-99-9999
PE Proj. No. STP-9999(97)
R/W Proj. No. STP-9999(98)
CN Proj. No. STP-9999(99)

Our firm is under contract with the Indiana Department of Transportation for the design of the referenced project. A (Preliminary) (Final) Field Check for this project has been scheduled for February 26, 1999. The meeting will be held at 9:00AM at the project site. Anyone wishing to provide input into the design of this project should plan to attend.

Utilities with facilities within the limits of this contract should review the plans to determine if their existing facilities are accurately shown. Utilities that believe that their facilities will need to be adjusted should attend this meeting. This meeting could provide opportunities for design changes that could eliminate some utility conflicts. Utilities will be contacted by the INDOT Utility Unit at a later date concerning the project schedule and relocation coordination. The INDOT Utility Unit may be contacted at (317)232-5300.

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Minimum Distribution List for INDOT Projects

Janie Marks, INDOT Design Division, Records Section, (letter only)
Kathy Caplinger, INDOT Design Division Program Coordinator, (letter only)
INDOT Design Division Project Manager, (w/plans & x-secs.), (letter only if plans do not change fr initial submittal)
Jeff Sowers, INDOT Design Division, Utility Unit, (PFC-plans w/x-sects.)
Larry Shaw, INDOT Design Division, Railroad Unit, (PFC w/plans)
Jim Juricic, INDOT Environmental Assessment Section (w/plans not req'd for interstate rehab proj.)
Jim Poturalski, INDOT Design Division, Specialty Projects Section, (w/plans if signing, lighting, signals or pavement markings included)
Greg Curson, INDOT Land Acquisition Division, (letter only)
Ken Hasselkus, INDOT Land Acquisition Division, Abstracting Section (PFC 2 sets if add'l R/W req'd)
Jill Reed, INDOT Land Acquisition Division, Appraising Section (w/plans if add'l R/W req'd)
INDOT Operations Support Division Construction Field Engineer, (PFC-letter only)
Athar Khan, Materials and Tests Division, (PFC-2 sets w/ x-sects., FFC-1 set), (120 S. Shortridge Rd., Indpls. 46219)
INDOT District Director, Attn: District Development Engineer, (letter only)
INDOT District Bridge Inspection Engineer, (letter only)
INDOT District Construction Engineer, (2 sets plans)
INDOT District Traffic Engineer, (w/plans if signing, lighting, signals, or pavement markings included)
INDOT District Operations Engineer, (letter only)
Dave Hudak, US Fish & Wildlife, (620 S. Walker St., Bloomington, IN 47403-2121), (letter only)
FHWA Area Engineer, (w/plans when not exempt fr FHWA oversight), (575 N. Pennsylvania, Rm 254, Indpls., IN 46204)
Utilities, (PFC-w/plans & x-secs.)
County Surveyor and/or Highway Engineer, (letter only, unless legal drains, etc. involved)
City Officials, (letter only, if metropolitan area is affected)

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**Current Distribution List
Available on Internet**



INDIANA DEPARTMENT OF TRANSPORTATION
100 North Senate Avenue
Room N755
Indianapolis, Indiana 46204-2249
(317)232-5533 FAX:(317)232-0238

FRANK O'BANNON, Governor
CURTIS A. WILEY, Commissioner

Writer's Direct Line
(317)232-5500

January 31, 1999

Utility Company ABC
100 Main Street
Anytown, IN 99999

ATTENTION: Ralph Kramden
Government Liaison Representative

UTILITY ADJUSTMENT
Project: ST-999-9()
Des. No.: 9999999
SR 29 from 1st Street to 25th Street

Dear Mr. Kramden:

Enclosed are plans for construction of the referenced project. This project is scheduled to be Ready-For-Letting by January 31, 2000.

We believe no adjustment of your _____ facilities will be required to accommodate our proposed construction. We request that you review the attached plans to determine that your facilities are correctly shown and to concur with our opinion that no adjustment of your facilities will be required, by June 31, 1999.

Please advise us if the plans do not show your facilities properly, if the facilities are owned by another company, or if you anticipate adjustment of your facilities. If you have any questions please contact Joe Engineer of this office at (317) 232-_____.

Sincerely,

Jeff A. Sowers, P.E.
Highway – Utility Manager

JAS:nsc
Enclosure



INDIANA DEPARTMENT OF TRANSPORTATION
100 North Senate Avenue
Room N755
Indianapolis, Indiana 46204-2249
(317)232-5533 FAX:(317)232-0238

FRANK O'BANNON, Governor
CURTIS A. WILEY, Commissioner

January 31, 1999

Writer's Direct Line
(317)232-5300

Utility Company ABC
100 Main Street
Anytown, IN 99999

Attention: Ralph Kramden
Government Liaison Representative

UTILITY ADJUSTMENT

Project: ST-999-9()
Des. No.: 9999999
SR 29 from 1st Street to 25th Street

Dear Mr. Kramden:

Enclosed are plans for construction of the referenced project. This project is scheduled to be Ready-For-Letting by January 31, 2000. It is anticipated that construction will begin during the month of May, 2000.

Please review the plans to determine if adjustment of your facilities will be required to accommodate the proposed construction. If adjustment of your facilities is necessary, please submit four copies of your relocation plan to us for review by September 31, 1999. Upon approval of your relocation plan, we will issue all necessary highway permits.

When submitting your relocation plans, please also fill out and return the attached Utility Special Provision Data Sheet. The estimated number of work days required to complete your work after approval is given, or the date your work will be complete, must be included in the Schedule part. A description of all work which the Department, the contractor, or other utilities must do prior to your relocation must also be included. All activities which the schedule is subject to, such as obtaining environmental permits, availability of materials, or weather constraints must also be included.

If no adjustment of your facilities will be required please notify us in writing. Also notify us if the plans do not show your facilities properly or if the facilities at this location are owned by another utility company.

Mr. Kramden

Page 2

Where your facilities exist on private property by virtue of a compensable land right, the cost of relocation is eligible for reimbursement. To secure reimbursement of all relocation costs, a formal reimbursement agreement must be developed and be approved by all parties. To prepare a formal reimbursement agreement we require that a complete relocation plan (four copies), an itemized estimate (four copies), and documentation of the compensable land right (one copy) be sent to the INDOT Utilities Unit.

If you are eligible for reimbursement, this letter is your authorization to incur up to \$2000 in preliminary engineering expenses to develop a relocation plan and cost estimate as we have requested. The use of a consultant to provide preliminary engineering must be authorized by us. This authorization is subject to proof and documentation of the compensable land right. All costs above and beyond this must be authorized in writing by this office. Relocation costs incurred prior to written authorization cannot be reimbursed.

If there is a valid reason you cannot complete your relocation by the date requested or if you will not be able to complete the necessary relocations prior to our construction phase please notify this office as quickly as possible.

Also, please review any attachments to this letter for other information and assistance in the preparation of your relocation plans. If you need additional information, such as examples of estimate forms, policy memorandums or cross sections, please contact me at (317) 232-_____. Thank you in advance for your cooperation.

Sincerely,

Joe Engineer

For: Jeff A. Sowers, P.E.
Highway – Utility Manager

JAS:JE:nsc

Enclosure/Attachments

Mr. Kramden

Page 3

Page _____ of _____
Special Provision Data

Contract # _____

Utility Special Provision Data for Contract # _____

Utility: _____

Contact: _____

Phone: _(____)_____

Work Description: _____

Schedule: _____

Do you want to be invited to pre-construction meeting? Yes _____ No _____

PROJECT SPECIFIC INFORMATION

(ONLY THE ITEMS MARKED WITH AN "X" APPLY FOR THIS PROJECT)

- _____ This project involves limited access right-of-way. Utility facilities may not occupy limited access right-of-way except for permitted crossings. Please review the plans for locations of the limited access right-of-way and plan to remove any facilities that are located longitudinally within this right-of-way.
- _____ Your company is eligible for reimbursement of relocation expenses due to the fact that this is an Interstate Route project. This reimbursement applies only to facilities placed before July 1, 1991. To secure reimbursement of any relocation costs, a formal reimbursement agreement must be developed and be approved by all parties. To prepare a formal reimbursement agreement we require a complete relocation plan (four copies) and an itemized estimate (four copies.) As of the date of the attached letter you are hereby authorized to incur up to \$2000 in preliminary engineering expenses in order to develop a relocation plan and cost estimate as we have requested. The use of a consultant to provide preliminary engineering services must be approved by us. All costs above and beyond this must be authorized in writing by us. Relocation costs incurred prior to written authorization cannot be reimbursed.
- _____ The anticipated location of your relocated facilities will be included in our plans. Thus, the return date for your plans has been set far enough in advance so we can add this important information to our plans. Adding this information to our plans should benefit both your utility and our contractor.
- _____ It appears that your existing facilities are attached to an existing highway structure involved in this project. It also appears that your facilities will need to be relocated to accommodate this project. If you feel it is necessary that the relocated facilities be located on the newly constructed (or rehabilitated) structure, then a new attachment must be applied for and justified. Prior attachment shall not be a basis for reattachment. Send this information with your relocation plan to us.

INSTRUCTIONS FOR PREPARING RELOCATION PLANS

The following is a checklist in order to assist you in the preparation of your relocation plans. All of the items listed are expected to be shown on your plans, if applicable. Much of the information required on your relocation plans is found on the construction plans. Therefore, feel free to use the construction plans as a background for your plans (either drawing electronically or by hand directly on our plans.) To obtain disks for plans prepared by one of our consultants, please contact that consultant. If the consultant is unwilling to furnish a copy of the project disks, please contact our office. Plans prepared by the Department are done in MOSS/GDS CADD format. If you do not use this format it still may be possible for us to translate our data into some form that would be usable for you. Contact our office for further information.

- _____ Name of utility and name, address, and telephone number of utility engineer responsible for design
- _____ Name, address, and telephone number of consultant
- _____ Project number, Des. number, and route number or road name
- _____ Sheet numbers and total number of plan sheets
- _____ Scale
- _____ North arrow
- _____ Legend of symbols
- _____ All centerlines and survey lines, including stationing
- _____ Existing and proposed right-of-way lines or property lines
- _____ Construction limits
- _____ Locations of all existing facilities to be left in place, abandoned, adjusted, relocated, or removed; and locations of all proposed facilities within and adjacent to right of way. (Both horizontal and vertical locations should be given for facilities that are not to be removed. It is preferred that vertical location be given by specifying elevations as opposed to specifying cover. If plan is schematically drawn, please note.)
- _____ Locations of all involved facilities (Includes pedestals, service lines, guys, manholes, underground structures, valves, meters, vents, etc.)
- _____ Definite limits of facilities being abandoned, removed, or left in place (station to station.)
- _____ Size and type of facilities.
- _____ Vertical clearances over roads.
- _____ Foreign utilities located near your facilities.
- _____ Method of pavement crossing (bore, push, etc.)
- _____ Backfill method, material, and limits.
- _____ All other pertinent information such as voltage, type of product, pressure of carrier, etc.
- _____ All drainage structures in the area of your facilities (buried utilities only.)



INDIANA DEPARTMENT OF TRANSPORTATION
100 North Senate Avenue
Room N755
Indianapolis, Indiana 46204-2249
(317)232-5533 FAX:(317)232-0238

FRANK O'BANNON, Governor
CURTIS A. WILEY, Commissioner

November 31, 1999

Writer's Direct Line
(317)232-5300

Utility Company ABC
100 Main Street
Anytown, IN 99999

ATTENTION: Ralph Kramden
Government Liaison Representative

UTILITY ADJUSTMENT

Project: ST-999-9()
Des. No.: 9999999
SR 29 from 1st Street to 25th Street
Relocation Permit #U-9999

Dear Mr. Kramden:

We have reviewed the relocation plan submitted with your letter dated August 31, 1999 and we have found it to be satisfactory. You are hereby authorized to proceed with work as shown on the attached plan. You are reminded that it is your work crew's responsibility to establish temporary traffic control in accordance with the Indiana Manual on Uniform Traffic Control Devices for Streets and Highways.

Please note that we do not have all of the right-of-way secured yet. Please check with our office or with district personnel to verify the status of specific parcels.

This project is scheduled to have contract proposal bids opened on April 15, 2000. We require that you contact Mr. Jim Smith of our Fort Wayne District Office (219-999-9999) at least five working days before starting work.

Sincerely,

Jeff A. Sowers, P.E.
Highway – Utility Manager

JAS:JE:nsc

Enclosure



INDIANA DEPARTMENT OF TRANSPORTATION
100 North Senate Avenue
Room N755
Indianapolis, Indiana 46204-2249
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FRANK O'BANNON, Governor
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November 31, 1999

Writer's Direct Line
(317)232-5300

Utility Company ABC
100 Main Street
Anytown, IN 99999

Attention: Ralph Kramden
Government Liaison Representative

UTILITY ADJUSTMENT
Project: ST-999-9()
Des. No.: 9999999
SR 29 from 1st Street to 25th Street
Relocation Permit #U-9999

Dear Mr. Kramden:

We are returning your copy of the fully executed Standard Highway Utility Agreement dated October 31, 1999.

This letter is your authorization to proceed with the relocation of your facilities. Expenses incurred will be reimbursed subject to the terms of the approved agreement. You are reminded that it is your work crew's responsibility to establish temporary traffic control in accordance with the Indiana Manual on Uniform Traffic Control Devices for Streets and Highways.

If you intend to use a contractor for any portion of your work, such contractor must be either selected by competitive bidding or must be a contractor with which you have an existing written continuing contract. If a competitive bidding process is used, the lowest eligible bidder must be selected. We require that a bid tabulation be submitted to our office for approval prior to the start of construction.

If a continuing contractor is to be used we require that you submit a copy of the existing contract, including the schedule of rates, for our approval. Failure to obtain approval of a contractor prior to the start of construction could mean a loss of reimbursement!

This project is scheduled to have contract proposal bids opened on April 15, 2000. We require that you contact Mr. Jim Smith of our Fort Wayne District Office (219-999-9999) at least five working days before starting work.

Sincerely,

Jeff A. Sowers, P.E.
Highway – Utility Manager

JAS:JE:nsc
Enclosure

Sample Letter

<date>

Burns' Communications
100 Smithers Drive
Springfield, IN 00059

Attention: Montgomery Burns
President
<advisable to address or cc: someone of importance>

UTILITY ADJUSTMENT
Project: ST-999-9()
Des. No.: 9999999
SR29 from 1st Street to 25th Street

Dear Mr. Burns:

The City of Springfield is preparing for construction of the referenced highway project. We have secured the services of the consulting firm Ned Flanders Engineers & Architects, Inc. (NFEA), to develop construction plans for this project. In order to develop an efficient design, NFEA is coordinating this project with all affected utility companies.

It has been brought to our attention that your company has not submitted relocation plans to NFEA as was requested by them. NFEA have also indicated that they have repeatedly attempted to contact your company regarding this matter, but have never received any response.

At this time we are asking that you submit your relocation plans to NFEA within two weeks of receipt of this letter. It is apparent that the majority of your facilities are in conflict with this project. It is only to your company's advantage to submit your plans at this time.

At some point you will need to prepare your relocation plans and move your facilities. By preparing your plans now, any concerns you may have can be addressed. For instance, if there are small design changes NFEA can make to lessen the impact on your facilities, we can look into that. Also, if you need our contractor to perform certain tasks or schedule work in a certain sequence to assist your relocation efforts, we can look into that and add the appropriate information into our contract. However, if your company does not submit plans as we are requesting, you will lose these opportunities (and any others) to save your company time and money.

Also, if your company doesn't submit plans within two weeks, the City will be forced to address these matters through the City Attorney. The City will take appropriate action against Burns' Communications if your company delays or inconveniences our contractor in any way.

We hope that the situation does not worsen to where we would have to take such measures. If you have any questions, please contact me.

Sincerely,

D. Joe Quimby
Mayor

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**STATEMENTS ABOUT EXISTING CONDITIONS OF UTILITIES,
ADDITIONAL RIGHT-OF-WAY, AND ENCROACHMENTS**

The Standard Specifications are revised as follows:

SECTION 107, AFTER LINE 597, INSERT AS FOLLOWS:

107.25 Existing Conditions of Utilities, Additional Right-of-Way, and Encroachments.
Such existing conditions are as described below.

(a) Utilities. The status of all utility companies and organizations potentially involved with the work to be performed are described below.

The facilities of Spartan Water Co. exist within the project limits, but are not expected to be affected by the proposed construction. The utility has a 150 mm water line crossing under SR 1001 at Station 2+000. If questions arise, Dan Tanna of the utility may be contacted at 800-111-1111.

The facilities of Hawkeye Pipeline Co. exist within the project limits. Their facilities have been adjusted to accommodate construction. The utility has a 300 mm product pipeline crossing SR 1001 at Station 3+000 which has been lowered in place to eliminate any conflict with the construction of the underdrains. If questions arise, Thurston Howell III of the utility may be contacted at 800-222-2222.

The facilities of Golden Gopher Sewer Co. exist within the project limits. The utility has a 300mm sewer main running parallel to SR 1001 on the north side of the road for the entire length of the project. This sewer main will be relocated to within 2 m of the new north right-of-way line for the entire length of the project. It is anticipated that they will adjust their facilities for construction on or before March 31, 1997. This date is dependent on the utility receiving their environmental permit prior to March 1, 1997. If questions arise, Jamie Sommers of the utility may be contacted at 800-333-3333.

The facilities of Boilermaker Electric Co. exist within the project limits. The utility has power poles along the existing north right-of-way line for the entire length of the project. The utility will relocate its facilities to the new north right-of-way line for the entire length of the project except from Station 45+000 to Station 50+000 where the poles will remain in place. Where the poles will remain in place the utility will support these poles when the Contractor places the storm sewer in this area. It is anticipated that the utility will take approximately 20 work days to adjust its facilities once the Contractor has staked and cleared the right-of-way along the north side of SR 1001. If questions arise, Norm Petersen of the utility may be contacted at 800-444-4444.

107-R-169

1 of 2

The facilities of Nittany Lion Gas Co. exist within the project limits. The utility has a 400 mm gas line outside of the existing right-of-way on the south side of SR 1001 for the entire length of the project. The gas line will be relocated as follows:

- *From Station 1+000 to Station 10+000 the line will remain in place.*
- *From Station 10+000 to Station 40+000 the line will be relocated to within 1 m of the new south right-of-way line.*
- *From Station 40+000 to Station 50+000 the line will remain in place. In the areas where drainage structures shall be placed, the utility will locate and expose their main. The gas main shall not be disturbed during the placement of these structures.*

Once the contractor has staked and cleared the right-of-way between Station 10+000 and Station 40+000 along the south side of SR 1001 and placed Structure No. 10, the utility will take approximately 30 work days to adjust its facilities. This line cannot be worked on until after May 1 and anytime the temperature is below freezing. The utility's schedule is also dependent on the availability of 400 mm steel gas line. Supply of this is scarce and may not be able to be delivered to the site until May 15. If questions arise, Mary Richards of WJM Contract Services can be contacted at 800-555-5555.

The facilities of Bearcat Communications exist within the project limits. The utility has two fiber optic cables on poles owned by Boilermaker Electric Co. The utility will be relocating their facilities on the new power poles to be placed by Boilermaker Electric Co. The utility cannot begin their relocation until Boilermaker Electric Co. has completed the majority of their work. It is anticipated that the utility will take approximately 10 work days to complete their relocation. Once the utility relocates, they will work with Boilermaker Electric Co. to remove the existing poles. This will take approximately an additional 3 work days. If questions arise, Herb Tarlick of the utility can be contacted at 800-777-7777.

Utility Coordination Certification

Contract No. _____ Des No. _____

Project Description: _____

The undersigned certifies they have made a diligent effort, consistent with INDOT guidelines, to identify and show all known utilities within the limits of this contract. All known utility companies have been provided with plans or other information that clearly identifies the scope of this contract. Utility relocation plans and schedules, where provided, for all utilities expected to be in the way of construction in this contract have been reviewed, coordinated, and approved or forwarded to the Owner for approval. The "Existing Conditions of Utilities" statements included in this contract include utility names, contact persons' names and phone numbers, and relocation descriptions and schedules, where provided, for all utilities found to be within the limits of this right-of-way.

The Utility Coordinator is not responsible for utility companies who have failed to cooperate, respond, and/or provide information needed. Further, Utility Coordinator does not guarantee or warrant in any way the accuracy of information supplied by utility companies.

UTILITY COORDINATOR

Signed

Date: _____

Printed

This project was in _____ phase when this process was implemented in June 1998, therefore, the coordination process was started at Step No. _____.

Utility Coordination Certification for Short-Term Project

Contract No. _____ Des No. _____

Project Description: _____

The undersigned certifies they have made a diligent effort, consistent with INDOT guidelines for coordination of short-term projects, to identify and show all known utilities within the limits of this contract. All known utility companies have been provided with plans or other information that clearly identifies the scope of this contract. Utility relocation plans and schedules, where provided, for all utilities expected to be in the way of construction in this contract have been reviewed, coordinated, and approved or forwarded to the Owner for approval. The "Existing Conditions of Utilities" statements included in this contract include utility names, contact persons' names and phone numbers, and relocation descriptions and schedules, where provided, for all utilities found to be within the limits of this right-of-way.

The Utility Coordinator is not responsible for utility companies who have failed to cooperate, respond, and/or provide information needed. Further, Utility Coordinator does not guarantee or warrant in any way the accuracy of information supplied by utility companies.

UTILITY COORDINATOR

_____ Date: _____
Signed

Printed

This project was in _____ phase when this process was implemented in June 1998, therefore, the coordination process was started at Step No. _____.

Waiver to use Short-Term Utility Coordination Process

Reason for Waiver: _____

The undersigned approves of the use of the Utility Coordination Process for Short-Term Project for this contract.

DISTRICT DEVELOPMENT ENGINEER, SPECIALITY PROJECTS GROUP MANAGER, or
HIGHWAY-UTILITY MANAGER

_____ Date: _____
Signed

Printed

Utility Coordination Certification Waiver

Contract No. _____ Des No. _____

Project Description: _____

The undersigned agrees that the type of work included in this contract does not normally affect utility facilities and hereby approves this contract for a waiver from the need to follow utility coordination guidelines.

DISTRICT DEVELOPMENT ENGINEER, SPECIALTY PROJECTS GROUP MANAGER, or
HIGHWAY-UTILITY MANAGER

Signed Date: _____

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