Texas Department of Transportation

Austin District Engineering Services Utility Section

Utility Coordination Guideline

This guideline outlines the Austin District processes and procedures for effective utility coordination communication. Most utility coordination activities are performed by consultants as part of a project team led by a TxDOT project manager. Our goal is to provide an improved process for communicating utility conflict identification, resolution, and relocation if needed. A major key to this process is utilization of the Utility Status Report (USR).

The following Guideline has been broken down into the following 5 processes:

- 1. What is the role of the utility coordinator for a TxDOT project?
- 2. Utility coordination milestones as they relate to PS&E milestones.
- 3. Utility Coordination Letter/Communication Process NOPC
 - a. 01 Notice of Utility Coordination (NOUC) letter
 - b. 02 ROW-U-NOPC letter
- 4. Notice of Utility Conflict Letters Final Conflict Notification
 - a. 03-01 Notice of Conflict (NOC) Preliminary Assessment letter
 - b. 03-02 Notice of Conflict (NOC) Follow-up Assessment letter
 - c. 03-03 Notice of Conflict (NOC) FINAL Assessment letter
- 5. Utility Relocation Confirmed –NORA Utility Clearance
 - a. 04 ROW-U-NORA letter
 - b. Austin District Utility Clearance letter

Process #1 – What is the role of the utility coordinator for a TxDOT project?

It may be important to note that these processes are not NEW or anything different than what is required for other TxDOT projects across the state of Texas. The only difference is that the Austin District has tried to define expectations and provide tools that will help project teams deliver better utility coordination efforts.

- 1. The goal of utility coordination is to identify existing utilities and any conflicts that could arise with the upcoming TxDOT roadway project. A key component to successful utility coordination is facilitating cooperation between the TxDOT project team and each utility owner.
- 2. Here are some utility coordination strategies that we have experienced in the past:
 - a. Referred to as the steamroller approach, "Here are the project plans, MOVE!"

 This was a common method of utility coordination prior to development of the ROW 100 & 101 training classes to identify a more effective process.
 - b. This was called the imaginary carrot and stick approach, "Here are the conflicts with the project MOVE.



This was an improvement because an effort was made to identify conflicts, but there was still a major disconnect from the actual utility relocation process. There was minimal effort made to develop a realistic schedule that utilities could agree with.

- c. Now we have **Utility Coordination 2.0**, this strategy is a collaborative effort kicked off at the beginning of the project with the roadway designer, utility coordination consultant, TxDOT project manager, and utility owner or representative. This effort relies on realistic schedules and effective communication efforts through the lifecycle of the project.
- 3. The utility coordinator is responsible for helping the TxDOT PM follow the AMA process as outlined below.
 - a. Avoid first step is to avoid utility conflicts if possible.
 - b. Minimizie next step is to minimize utility conflicts or re-design to allow the utility to remain in place.

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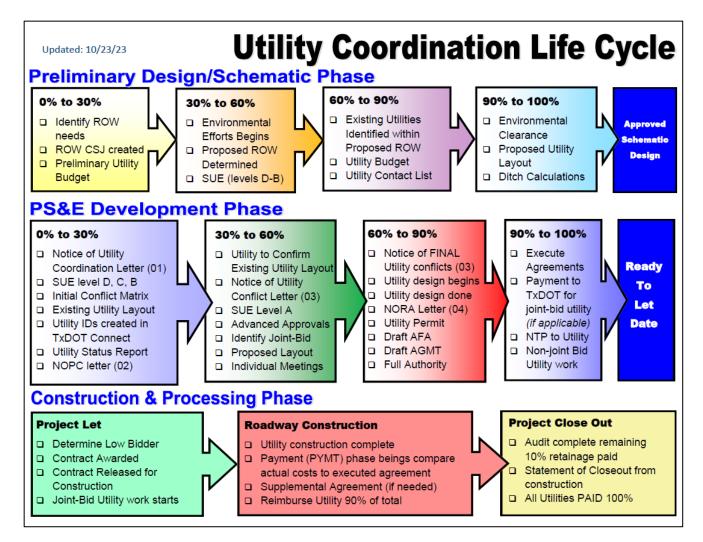
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- c. Accommodate this is the last step and includes utility relocation and/or the request and approval of Utility Accommodation Rules (UAR) Exceptions.
- 4. Both public and private utilities have a right to occupy state ROW by permit in accordance with <u>TAC Rule 21.36</u>, Rights of Utilities. For projects with ROW acquisition additional efforts may be needed.
 - a. public utility owners are allowed to install facilities both crossing TxDOT ROW and longitudinally.
 - b. private utility owners are allowed to only cross TxDOT ROW.

Process #2 – Utility Coordination Milestones as they relate to PS&E milestones.

Below is the Austin District Utility Coordination Life Cycle milestone guideline. The current version is available on-line on the TxDOT Austin District standards and guidance web page. <u>Austin District standards and guidance (txdot.gov)</u>
Here are a few key take aways from this guide:

- 1. Not all projects have a schematic phase; however, some of those milestones may need to be addressed by the project team at project kick-off and resolved by the 30% PS&E (Plans, Specifications & Estimates) deliverable.
- 2. It is important to note that utility coordination deliverables are typically due on a different timeline than the PS&E milestones. For example, final conflicts cannot be determined until after the 60% PS&E roadway plans are complete. Typically, the utility coordination team needs an additional 30 days to finalize all conflicts.



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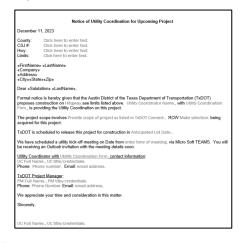
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- 3. Good utility data is very important to TxDOT; therefore, utility IDs including a complete anticipated utility relocation schedule is required around the 30% PS&E milestone.
- 4. There are separate guidelines available for <u>utility ID request forms</u>, used by the Austin District utility team to enter utility data into TxDOT Connect. TxDOT Connect is the software used by TxDOT to manage project data.
- 5. In addition to utility ID request forms a first draft of a complete <u>Utility Status Report</u> (USR) is due at the 30% PS&E milestone. There are <u>separate guidelines</u> available for the USR available on the Austin District standards web page. *In most cases the first draft of the USR is based on industry knowledge with minimal utility input.*

Process #3 - Utility Coordination Letter/Communication Process - NOPC

On the utility coordination life cycle guideline, you may have noticed a few numbers behind various letters required as part of the utility coordination communication process. The Austin District has tried to provide a more efficient process for utility coordination consultants working on behalf of TxDOT. We are calling it Utility Coordination 2.0.

- 1. The first letter is the <u>01 Notice of Utility Coordination letter</u> (link); it will come from the utility coordination consultant on consultant company letterhead. The goal of this letter is to invite the utility representatives to the utility kick-off meeting for the project and introduce both the TxDOT PM and the consultant that will be responsible for utility coordination.
- 2. In the past this letter was referred to as the Notice of Proposed Construction (NOPC) letter, but the NOPC letter is a ROW form letter that will be sent after the utility kick-off meeting (letter #2).
- 3. This letter is set-up to mail merge with the full contact list of utility owners identified to be potentially within the limits of the TxDOT project.
- 4. The utility list used should be provided to and verified by the TxDOT PM prior to sending this letter to ensure no known utilities are being excluded.
- 5. This letter can be sent via email and should encourage utility representatives to attend the utility kick-off meeting. Additional follow-up by the utility coordination consultant may be appropriate to ensure good participation. *Don't just send the letter and hope they show up.*
- 6. The next letter in the process is the <u>02 ROW-U-NOPC letter</u>. This letter should be sent within 30 days of the utility kick-off meeting and include all information needed for utility representatives to verify if their facilties are potentially within the limits of this project. This letter is available from the <u>TxDOT ROW Division</u> Utility Accommodations toolkit.
- 7. The purpose of the NOPC letter is to provide official notice to the appropriate utility owner representatives that an upcoming project may impact their utility facility.
- 8. Another goal of this letter is to confirm that the existing utility layout is correct and that all utility facilities are shown.
- 9. This letter also allows the project team to provide a Ready to Let date for this project. This is a great opportunity to provide the utility a realistic schedule not a date that cannot be met.
- 10. This letter will be signed by the TXDOT PM, but can include name, phone number and email address of the utility coordination consultant supporting the TxDOT PM.



NOTICE OF PROPOSED CONSTRUCTION
(NOPC)

Date

Contact Person
Address

Country
Highway
Limits Form:
Limits Form
Limits Form
Limits Form
Limits Form
Highway
Limits Form
Limits Form
Limits To
COST.

Form an notice is hereby given that the Texas Department of Transportation proposes construction on Halfy to Stoppe of Project. The limits and location of this project are indicated in the enclosed Schematio, Plans, Location Map, Right of Way Map, etc.

Presently, this project is scheduled to be ready to let by RELIDIBE. We ask that you send us the following information or show it on the enclosed layout and return to this office by Request Date

1. All of your facilities that might be encountered during construction of this project.
2. Approximate boundaries of easements or other interest in lands that you hold along and/or across this route;
3. Name and phone number of the company representative that we should conduct regarding this project.

If it is determined that your facilities will not be in conflict with this project, please notify this office in writing.

If additional information is needed, or if you have any questions, please contact point of contact at email address or phone number. I appreciate your cooperation in this matter.

Sincerely,
Sender
Title
Enclosure

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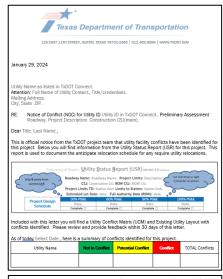
- 11. If a utility responds to this official notice that they are not within the limits of this project a <u>clearance letter</u> can be sent and received to document this utility is clear of this project.
- 12. More details regarding the clearance letter are provided in process #5.

Process #4 - Notice of Utility Conflict Letters - Final Conflict Notification

This letter template was developed to help bridge the gap in utility coordination between the NOPC and NORA letters. There are 3 different letter templates that can be utilized throughout the utility coordination process to communicate project schedule, utility conflicts, and anticipated utility schedule all at the same time. The final goal of this process is to notify the utility that a final conflict list has been developed and verified by the TxDOT PM. At this point the utility and their design engineer can begin final relocation design efforts.

1. The first letter in this process is called the <u>03-01 Notice of Conflict (NOC) Preliminary Assessment letter</u>. This letter is designed to be sent 30-90 days after the NOPC letter (02) to keep the utility owner engaged in the project.

- 2. You will notice this letter requires the following:
 - a. Utility ID to be created in TxDOT Connect
 - b. <u>Utility Status Report</u> to be complete
 - c. Utility Conflict Matrix (UCM) conflict summary table
- 3. This letter is on TxDOT letterhead; therefore, it must be signed by the TxDOT Project Manager.
- 4. This first letter is an important part of the Utility Coordination 2.0 process. Here is where the TxDOT project manager can summarize the path forward for this specific utility by providing:
 - a. PS&E milestones schedule;
 - b. Verification of preliminary utility conflict list; and
 - c. A realistic schedule that the utility can agree with.
- 5. At this point many of the conflicts may be considered Potential Conflicts and may require additional coordination or SUE (level A) to determine if they are in conflict or can be cleared.
- 6. Next is the <u>03-02 Notice of Conflict (NOC) Follow-up Assessment letter</u>. The format of this letter is very similar to the Preliminary letter; however, all the snips from the USR and UCM should reflect updated information.
 - a. This letter may or may not be needed depending on the complex nature of the project and the roadway design schedule.
 - b. However, if it has been 3-4 months since the 03-01 letter was sent and the final letter is not anticipated for another 45 days it may be appropriate to send this letter.
 - c. This letter can help re-engage the utility representatives and verify the anticipated schedule is still realistic.
- 7. At each point in this process the TxDOT PM can ensure that reliable information is being provided to all stakeholders for the project. This includes making sure that any design changes are provided to the utility coordination team so that the UCM can be updated as needed.
- 8. Every effort should be made to verify design will not change after the final conflict letter (03-03) is sent.



Utility Name - Utility ID # U

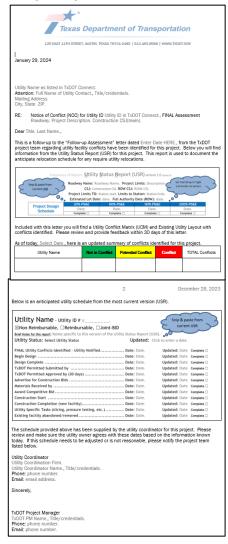
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- 9. The final letter in this process is the <u>03-03 Notice of Conflict (NOC) FINAL Assessment letter</u> (<u>link</u>). This letter will serve as official notice to the utility owner that all conflicts have been identified and that final utility relocation design can begin or be completed. Any new conflicts identified after this letter is created would require an update to the utility relocation schedule. *This letter is required for any utility that must relocate*.
 - a. This letter should serve as Final Conflict Assessment and could be considered a Notice to Proceed with Utility Relocation Design.
 - b. Similar to the other versions of this letter snips from both the USR and the UCM are included in the letter.
 - c. The first sentence of this letter can be modified to reference the last letter sent. It could be either the:
 - i. Follow-up Assessment letter;
 - ii. Notice of Prelimianry Conflict letter; or
 - iii. The NOPC letter (in some cases).
 - d. Although the utility coordination consultant may be assembling this letter for each utility, the TxDOT PM is responsible to ensure all information is accurate.
 - e. We do not recommend using a version from another utility and revising. Instead, start each letter using the <u>document template</u> to minimize errors.
 - f. At this point in the process the final conflict matrix (<u>UCM</u>) should only have green or red conflicts. All <u>potential conflicts</u> should be either "Not in Conflict" or "Conflict".
 - g. We cannot stress how important the utility status report (<u>USR</u>) is at this stage of the utility coordination life cycle. This is when the primary level of effort shifts from the project team to the utility owner and their team.
 - i. From this point forward the utility is taking the lead on the design and the construction efforts.
 - ii. It is important that the utility owner representative agrees that the schedule in this letter is REALISTIC and represents milestones that can be met.



- h. As mentioned earlier there are <u>separate guidelines</u> for how to utilize the utility status report, but this letter should serve as official notice from the TxDOT project manager that all conflicts are FINAL.
- i. In the past the Notice of Required Accommodation letter (ROW-U-NORA) was used to notify utility owners of final conflict assessment; however, we feel this may be a more efficient process.
 - The NORA letter is still issued to the utility, but now it should be sent after the utility has completed their relocation design and the project team has verified the design mitigates all conflicts with the project.
 - ii. For this process to be successful effective partnership between the project team and the utility owner representatives are a must.
 - iii. A key to this effective partnership is a REALISTIC Utility Status Report.

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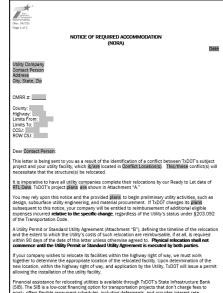
Process #5 - Utility Relocation Confirmed - NORA - Utility Clearance

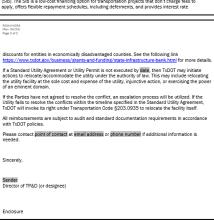
As stated earlier, the NORA letter should now be issued after the utility relocation design is complete and has been reviewed by the TxDOT project team. We understand this may be different then what most utility coordination consultants and utility owner representatives are used to for TxDOT projects. It is the Austin District's expectation that this will help improve the collaborative utility coordination culture that we are encouraging.

- 1. The <u>04 ROW-U-NORA letter</u> was designed to be used by all TxDOT project teams in the state of Texas, and is available from the TxDOT ROW Division Utility Accommodations toolkit.
- 2. For the Austin District we rely on good partnership and a collaborative working relationships with each of our

utility partners. The NORA letter should be more of a formality of effective utility coordination *instead* of a notice required accommodation.

- 3. In many cases the ready to let (RTL) date in paragraph number two can alarm some utility coordinators and utility owners. The ready to let date is typically 4 months prior to the let date.
 - a. In some cases, utility clearance date may be later than the RTL date or even past the actual let date of the project.
 - b. Although this is not be an ideal situation; if we have a <u>confirmed</u> relocation schedule that shows the utility conflicts to be clear of construction, we should be good to proceed. A management plan will be required.
 - c. The TxDOT PM should be prepared to communicate with the utility owner regarding the RTL date and verify the schedule.
- The third paragraph of the NORA letter refers to reimbursement of eligible expenses subsequent to this notice; however, this is commonly misunderstood.
 - a. In order for a utillity to be reimbursable the change would have to be an existing conflict that has either been relocated or relocation design is complete.
 - This would not apply to utility coordination failures and identification of new conflicts not previously discovered.
 - c. A standard utility agreement would be required.
 - d. A master utility agreement may be required.
- 5. The fourth paragraph requires a utility permit or standard utility agreement within 90 days from the date of this letter.
 - a. This is not a realistic request if utility relocation design is not already complete.
 - b. By having the relocation design completed and reviewed by the project team the 90 day requirement is more realistic.
- 6. The seventh paragraph lists a date that the utility must either have a standard utility agreement or a utility permit. This date can be taken directly from the Utility Status Report schedule that has been provided to the utility through the coordination process.
- 7. The last step in this process is the <u>Utility Clearance letter</u>. This is an Austin District fillable form that is available on the Austin District standards and guideance web page.





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- 8. This form should be filled out by the utility coordinator prior to sending to the utility. All of the information required to complete this form can be provided by the TxDOT PM.
- 9. This letter may have been completed in Process #3 after the NOPC letter if the utility responded that they did not have any facilities within the project limits.
 - a. That is checkbox #1.
 - b. NOTE that is important to verify that the project team agrees that the utility does not have facilities within the project limits.
 - c. In some cases, where ROW is aquired for a project a utility will report they are clear of the project, because their facility is in an easement. The utility may not be aware of the ROW acquistion.
- 10. The next checkbox #2 is for unique situations where the project team has determined the facility can remain in place and will be protected during construction efforts.
 - a. In many cases this may require notes on the plans to notify the roadway contractor that special consideration is required when excavating in this area.
 - b. A name and phone number is provided for a utility owner representative that will be available to meet the contractor in the field if needed.
 - c. This is a good example to effective collaboration to minimize utility relocations.
- 11. The last checkbox #3 is when the a utility has conflicts that require relocation.
 - a. The dates on this form should not be blank when this form is sent to the utility owner.
 - b. Anticipated dates should be filled out based on the most recent Utility Status Report (USR).

If you have any questions regarding this process or any of the forms referenced in this guideline, please reach out via email to AUS_Utilities@txdot.gov.

USINy Clearance Letter

U-Number or Usity ID

Construction

U-Number or Usity ID

Construction

Construction CDL

Institute

From

Propered Highway Letting Date

From

Not certified with the proposed highway improvements

Not certified with Place. Because ID is contact present for the utility to contract during construction if needed.

Notice In Place. Because ID is contact present for the utility to contract during construction if needed.

Notice ID is a second to utility Construction ID is an advantage of the utility facility in the State has expanded unlined and intelliging charges recessabiliting realized utility facility receiping do not occur.

Usility Company Name:

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