

ADOT
UTILITY & RAILROAD
ENGINEERING

UTILITY COORDINATION GUIDE
FOR
DESIGN CONSULTANTS

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PREFACE

This manual is intended primarily to provide guidance for the design Consultants responsible for utility coordination on ADOT projects. In addition, it is intended to encourage consistency in relations with railroad and utility companies, regardless of whether coordination is the responsibility of ADOT's Utility and Railroad Engineering section or design consultants. For that reason, although it is not possible to cover all situations, an effort has been made to make the manual detailed enough to provide guidance for those not familiar with the utility coordination process. It is anticipated that revisions will be made periodically, as required by future organizational and procedural changes.

INTRODUCTION

ABBREVIATIONS

The following abbreviations are used in this manual:

ADOT	Arizona Department of Transportation
C&S	Contracts and Specifications Section
FHWA	Federal Highway Administration
SUE	Subsurface Utility Engineering
URR	Utility & Railroad Engineering Section

RESPONSIBILITIES

In general terms, ADOT's Utility and Railroad Engineering Section (URR) has two primary responsibilities. One is to administer the Federally-Funded railroad crossing safety improvement program; the other is to ensure that no unexpected delays or expenses occur during construction as a result of conflicts with utility or railroad facilities. These responsibilities are sometimes shared by others, depending on the category of project involved.

GOAL

The activities of URR in relation to highway construction projects are directed toward one goal – the production of a Utility Clearance Letter for each project, certifying that all utility-related concerns have been addressed. URR also verifies that the project plans and the specifications contain all the information needed by State and contractor forces to prevent unforeseen problems involving utility facilities. This procedural guide outlines the Design Consultant's role in helping achieve this goal.

DEFINITIONS

The definition of the term "utility" as used in this manual will be the same as that given in the GUIDE FOR ACCOMMODATING UTILITIES ON HIGHWAY RIGHT-OF-WAY, prepared by Utility & Railroad Engineering: "...an entity which transmits or distributes communication, cable television, electricity, light, heat, gas, oil, crude products, water, sewer, waste, or any similar commodity which directly or indirectly serves the public". Unless otherwise noted, references to Utility Companies shall be considered to also refer to Railroad Companies. Traffic signals and street lighting are not considered "utilities".

The ownership of utilities varies – one type is ownership by municipalities, such as cities or counties. A second type is ownership by "utility companies" such as public service corporations or utility districts. A third type is ownership of utilities by private individuals for use on their own property. For example, a rancher's water well and the supply line to his buildings, or a water supply system owned by a trailer park operator and serving only his own park.

The "Blue Stake Law," (A.R.S. Sections 40-360.21 through 40-360.32) refers to "municipal corporations", "public utilities", and "other persons" having the right to bury underground facilities. It also makes reference to "public service corporations."

Care must be taken to use terms that will be understood by everyone involved. This manual will consider the first two types of utility ownership as utilities, which serve general public, and the third type as utilities, which do not serve the public. URR considers utilities which serve the general public, whether owned by municipalities, public service corporations, irrigation districts, etc., to be essentially the same and uses similar procedures for dealing with them.

RESPONSIBILITIES

GENERAL

A utility coordinator, whether employed by a Consultant or directly by ADOT, has many responsibilities. Some of these include complying with [“The Stage Submittal Checklist”](#) and the following:

1. Send various documents to Utility Companies for their information:
 - a. Final Design Concept Reports
 - b. Stage II, III, IV (30%, 60%, 95%) Plans
 - c. Final Plans and Specifications as needed
 - d. Meeting minutes when applicable
2. Obtain information from Utility Companies and transmit it to Designer:
 - a. As-built information
 - b. Requests by Utility Companies for work to be included in ADOT contract
 - c. Contract information and requirements for Special Provisions
3. Utility Agreements:
 - a. Verify need for agreement
 - b. Verify prior rights status
 - c. Write and process agreement
4. Special Provisions:
 - a. Prepare Special Provisions for utility – related items
 - b. Verify accuracy of Special Provisions with Utility companies
5. Clearance Letter:
 - a. Prepare Utility Clearance Letter
 - b. Send Clearance Letter to C&S and others
6. Post Clearance Responsibilities

The specifics of these responsibilities will be discussed in later chapters. This chapter will concentrate on the division of responsibilities between URR and the design consultant.

DESIGN CONSULTANT PROJECTS

In general, the Design consultant is responsible for utility coordination and communication. The Design consultant determines locations of potential utility conflicts. URR coordinator determines whether the utility has prior rights and writes and processes utility relocation Agreements.

1. UTILITY DETERMINATION USING A SUE CONSULTANT

- I. **Design consultant**
 - A. Provides a base map and ground control and sets utility location criteria
 - B. During the design process furnishes a list of possible conflicts to be potholed
 - C. Transmits plans to utilities and receives utility comments
 - D. Revises plans to include utility information
 - E. Investigates resolution of utility conflicts
 - F. Plots locations of claimed prior rights against roadway improvements
- II. **Utility Locating Consultant**
 - A. Identifies potentially affected utilities
 - B. Makes the initial contact with Utility Companies

- C. Determines horizontal location of existing utilities
- D. Potholes for utility elevations at locations specified by Design consultant
- E. Transmits utility information to Design consultant and sends a hard copy of the information to URR

III. URR

- A. Acts as point of contact between Design consultant and Locating Consultant
- B. Administers the Locating Consultant contract
- C. Authorizes design and construction of utility relocations

2. UTILITY DETERMINATION WITHOUT USING A SUE CONSULTANT

I. Design consultant

- A. Identifies potentially affected utilities by checking ADOT permits and making a Design Blue Stake request.
- B. Makes initial contact with Utility Companies
- C. Obtains utility location information from Utility Company as-builts and includes it on the project plans
- D. Investigates resolution of utility conflicts
- E. Sends plans to utility companies at each stage of development
- F. Incorporates utility information into plans
- G. Advises URR of the need for utility relocations and agreements due to conflicts or of work to be done for the utility company by the highway contractor
- H. Provides an estimate or confirms the utility company's estimate for work to be done for the utility company by the highway contractor or by the utility
- I. Writes utility special provisions and the clearance letter and submits them to URR for certification

II. URR

- A. Authorizes design and construction of utility relocations
- B. Requests and verifies utility's prior rights and writes and processes utility Agreements
- C. Reviews the design consultant's utility-related Special Provisions and plans for completeness and accuracy
- D. Prepares a Clearance Memo (certification) and transmits it with the consultant's Utility Clearance Letter to C&S and others

3. ADDITIONAL ACTIVITIES

I. Design Consultant

- A. Furnishes plans to URR for utility companies at each stage of development
- B. Incorporates utility information into plans
- C. Advises URR of the need for utility relocations and agreements due to conflicts

II. URR

- A. Upon notice from design consultant or utility company, requests and verifies utility's prior rights and writes and processes utility Agreements
- B. Authorizes design and construction for utility relocations
- C. Advises designer of work to be included in plans when utility company requests work to be performed by highway contractor
- D. Reviews the design consultant's utility-related Special Provisions and plans for completeness and accuracy
- E. Prepares a cover letter and submits the design consultant's Utility Clearance Letter to C&S

CORRESPONDENCE

All correspondence should include both the complete TRACS Number and the Project Number. Design, Right-of-Way and other numbers may be included as appropriate, but the TRACS number shall be the primary reference for correspondence relating to plans and specifications. In addition, when corresponding with a Utility Company, their reference number should be included. The Agreement Number should also be included on correspondence related to a Utility Agreement.

When distributing highway plans, it may be helpful to add project specific information to the standard transmittal letter for the sake of clarity. If the project location is not obvious from the plans, a few words should be included to explain the location or limits. If it is known that final plans will include such things as culvert extensions, or a detour in a certain location, those details should be mentioned. Changes made from previous plan sets should be identified in the transmittal letter so that the utility companies do not have to study a large number of sheets to determine whether changes have been made. The necessity and feasibility of this will vary from project to project, but it is a reasonable request which the utility coordinator should try to accommodate.

**RESPONSIBILITY CHART: (DESIGNED BY CONSULTANT
WITH LOCATING (POTHOLE) CONSULTANT)**

ITEM	DES CONS	UTIL CO	LOCAT CONS	URR
Send Final DCR to Utilities	*			*
Prepare 15% plans for base map	X			
Assign designating to locating consultant				X
Determine Utilities in area			X	
Request as-builts			X	
Place exst. utility info. on plans	X			
Send 30% plans to Utilities	X			**
Receive utility comments on 30%	X			**
Verify utility locations on plans		X		
Determine possible conflicts	X	X		
Prepare pothole request list	X			
Assign potholing to locating consult.				X
Place elev. info. on plans	X			
Determine actual conflicts	X	X		
Draft prelim. des. & reloc. sched.		X		
Requests prior rights documents				X
Verify prior rights docs cover correct area	X			
Verify prior rights				X
Send 60% plans to Utilities	X			**
Receive utility comments on 60%	X			**
Authorize preliminary engineering				X
Prepare relocation plan & estimate		X		
Verify relocation plan is acceptable	X			X
Advise R/W of requirements	X			X
Prepare & process Agreement				X
Obtain FHWA authorization for reloc.				X
Authorize relocation work				X
Hold pre-relocation meeting	X			
Write Utility Special Provisions	X			
Write Utility Clearance Letter	X			
Send 95% plans to Utilities	X			**
Receive utility comments on 95%	X			**
Send bid advertisement to Utilities				X

*DCR is distributed by Design Consultant if prepared by him. It is distributed by URR if prepared by ADOT.

**URR, not consultant, is contact for RR Companies.

**RESPONSIBILITY CHART: (DESIGNED BY CONSULTANT
WITHOUT LOCATING (POTHOLE) CONSULTANT)**

ITEM	DES CONS	UTIL CO	LOCAT CONS	URR
Send Final DCR to Utilities	*			*
Prepare 15% plans or base map	X			
Determine Utilities in area	X			
Request as-builts	X			
Send 15% plans to Utilities	X			**
Receive util. comments on 15%	X			**
Place as-built info. on plans	X			
Send 30% plans to Utilities	X			**
Verify utility locations on plans		X		
Determine possible conflicts	X	X		
Request elev. info. from Util. Company	X			
Determine actual conflicts	X	X		
Draft prelim. des. & reloc. sched.		X		
Receive utility comments on 30%	X			**
Request prior rights documents				X
Verify prior right docs include correct area	X			
Verify prior rights				X
Send 60% plans to Utilities	X			**
Receive utility comments on 60%	X			**
Authorize preliminary engineering				X
Prepare relocation plan & estimate		X		
Verify relocation plan is acceptable		X		X
Advise R/W of requirements	X			X
Prepare & process Agreement				X
Obtain FHWA authorization for reloc.				X
Authorize relocation work				X
Hold pre-relocation meeting	X			
Write Utility Special Provisions	X			
Write Utility Clearance Letter	X			
Send 95% plans to Utilities	X			**
Send bid advertisement to Utilities	X			X

*DCR is distributed by Design Consultant if prepared by him.
 It is distributed by URR if prepared by ADOT.

**URR, not Consultant, is contact for RR Companies.

UTILITY COORDINATION PROCEDURE

When a discrepancy exists in procedure, the consultant is to follow the unabridged sections 430 through 435 of the [“Dictionary of Standardized Work Tasks”](#) and seek advice from the URR coordinator.

STEP I: PREPARE STAGE I (15%) PLANS

When preparing Stage I plans, the designer will establish contact with Utility Companies. The PA or the DCR should indicate what facilities are in the area. The permit log may be required to determine the name of the Utility Company. A copy of the permit log may be obtained by contacting ADOT’s Central Permits or the respective District Permits office. The request should state that you are working on an ADOT project and should include the Route, Beginning MP, Ending MP, Tracs Number and the name of the Project Manager or URR Coordinator. Also, the Blue Stake Center can provide the names of local utility companies throughout the state in the area of the project. Use these and utility company as-built plans to determine a utility’s general location and indicate the utility locations on the project plans.

A [Utility Report](#) will be prepared by the consultant at the earliest stages of development using information received from utility companies. The report will be a developing, growing, document as more fully described in section 431 of the “Dictionary of Standardized Work Tasks”.

UTILITY LOCATING (SUE) CONSULTANT

A (SUE) Consultant may be utilized for earlier recognition and resolution of utility conflicts. The goal is for the stage II (30%) plans to contain the existing utility locations and enough information so the Utility Companies will begin preliminary relocation plans. The final relocation plans can then be based on the stage III (60%) plans, and utility relocation can begin prior to the stage IV (95%) plans. If a utility locating consultant is being considered, contact the URR Coordinator assigned to the project to initiate the process.

The Consultant will have to depend on the Utility Companies’ horizontal and vertical information if a (SUE) Consultant is not used.

ADOT has contracted with certain (SUE) Consultant firms to provide on call service in researching and locating existing utilities. (The cost for this service is paid by ADOT, not the design consultant.) This is a two-step process. The first step, termed “designating” provides the type of utility and its horizontal location. The second step provides vertical location, size, etc., by potholing in selected locations. The (SUE) Consultant will only pothole facilities for which they performed the designating.

STEP 2: PREPARE STAGE II (30%) Plans

The designer will continue to upgrade the quality of the utility information on the Stage II (30%) and all following stages of the plans. The designer will send the Stage II plans to the utility companies and receive comments from the utility companies. A copy of the transmittal letter and one set of plans shall be sent to URR.

If a railroad is involved plans should also be sent to the URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads.

STEP 3: DETERMINE POSSIBLE CONFLICTS

The time between Stage II and Stage III plans should be used to determine possible utility conflicts. Comments from the utility companies and the existing utility locations should be evaluated by the designer and compared to the new roadway design. If existing utility elevations are required, the (SUE) Consultant can be utilized. If a (SUE) Consultant is not used, the designer must get existing elevations from the utility companies.

The designer will include the existing utility information on the project plans and determine if actual conflicts exist and if utility relocations are required. It is sometimes appropriate to modify the roadway design to avoid conflicts. At this time the designer is to discuss preliminary relocation plans and schedules with the utility companies and URR.

If relocation is likely, URR will send an authorization letter to the utility company to begin its preliminary engineering relocation design and request prior rights documents. If the utility company has prior rights, URR will start the agreement process to pay for the relocation. URR will notify the utility company to relocate at its own expense if the utility company does not have prior rights.

URR is responsible for verifying the prior rights. The right-of way width should be evaluated by the Consultant with respect to the proposed utility relocations. If the right-of-way width is inadequate, the designer shall advise URR and ADOT's Right-of-Way Group.

Consultant is to inquire of all utilities in the project area as to any desire to have the future ADOT Contractor install sleeves or do other work for the Utility. Any request of this type is to be brought to the attention of the URR coordinator for further discussion and future agreement procedure.

STEP 4: PREPARE STAGE III (60%) PLANS

The designer will continue to upgrade the quality of the utility information on the Stage III (60%) plans. The designer will send the Stage III plans to the utility companies and receive comments from the utility companies. Designer is to point out to Utility companies' areas of change which could affect utilities such as RW, cut and fill, slope conditions or structure changes.

A copy of the transmittal letter and one set of plans shall also be sent to URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads

STEP 5: UTILITY CONFLICT RESOLUTION: RELOCATION PLANS, ESTIMATE, SCHEDULE AND AGREEMENTS

The time between Stage III and Stage IV plans should be used to fully define how utility conflicts will be resolved, who is doing the work and who is paying for the work. The designer shall request relocation plans and schedules from all utilities that must relocate, regardless of prior rights.

The designer will ensure that the relocation plan is compatible with the roadway design and construction sequencing and that the schedule will not delay ADOT's contractor. URR may require the designer's help getting relocation plans and cost estimates from utility companies so Utility Agreements can be processed by URR in a timely manner. After the Utility Agreement is

executed, RW acquisition is completed (if required), and environmental issues, if any, are resolved, URR will send an authorization letter to the utility company to begin its relocation.

The designer should hold a relocation meeting with affected utility companies. This is a good opportunity to discuss schedules and construction sequencing. This is information the designer will use to prepare the utility clearance letter and utility special provisions.

STEP 6: PREPARE THE UTILITY SPECIAL PROVISIONS

The designer is responsible for preparing the utility special provisions and clearance letter. These are addressed to the URR coordinator and ADOT Project Manager for review. Utility Special Provisions contain several types of information as shown in samples attached to this document, some of which include:

1. Statement that there are no utilities in conflict or
2. List of Utility Companies in area and contact persons
3. Statement of Utilities in conflict
 - a. Description
 - b. Status
 - c. Anticipated date that relocation will be completed
4. Work by Utility Companies during highway construction
 - a. Description
 - b. Dates or time required
5. Work to be done for Utility Company by ADOT contractor
 - a. Description
 - b. Materials available or specifications
6. Utility license, permit, or right-of-entry required
7. Railroad insurance required and contractor relations with railroad
 - a. (Obtain railroad special provisions from the URR Railroad Liaison)

In many cases there are no anticipated conflicts between the construction project and existing utilities. However, the statement that there are “no utilities in conflict with construction” should be used only if there are, in fact, no utilities which might require adjustment, or if all utility relocations already have been completed at the same time the special provisions are drafted.

Special Provisions shall contain a list of those Companies which have facilities within the limits of the construction project, whether or not they are anticipated to be in conflict, and shall instruct the contractor to contact those Companies a specified number of days prior to start of construction. The list shall include the name and telephone number of the contact person for each Utility Company. This is the contact person specified by the Utility Company for construction purposes, not necessarily the person with whom the designer or utility coordinator has been corresponding. It is not necessary to list all Utility Companies that have been contacted if they do not have any facilities in the area. The Special Provisions must make a clear distinction between Utility Companies, which are in conflict and those, which are in the area but are not in conflict.

Give a brief description of the required adjustment or relocation. Make clear whether utility relocation is expected to be completed prior to construction or if it will occur during construction. The estimated completion date or duration shall be given. If the utility work will occur during highway construction that fact must be clearly stated, as well as whether the relocation work will be performed by the Utility Company or by the highway contractor.

If the Utility Company will perform work during the construction project, give a brief description of the work. Give the estimated date of completion, or the length of time required. Give any special requirements, such as notice from highway contractor to Utility Company, time during which contractor’s access to site will be restricted, etc.

The highway contractor may be required to perform some utility adjustments, or to do work for the benefit of the Utility Company. In these cases, the work is included in the plans and specifications. Include in the Special Provisions any special requirements, such as notification to the Utility Company for inspection, to provide access to the facility, to turn a utility on or off, etc. If the Utility Company is furnishing any materials, state their location, the contact person, and how much notice is required. If the highway contractor is to provide any materials include the Utility Company's special requirements and specifications.

It may be necessary to obtain a license, permit, or right-of-entry from a Utility Company or Railroad before the highway contractor can enter upon its property. This is most often the case with the Railroad and irrigation districts. The designer shall contact the URR Railroad Liaison for information regarding Railroad licenses. The Special Provisions should state the requirements. State whether ADOT or the contractor is responsible for obtaining the document. If ADOT is responsible, state whether the document has been obtained prior to the start of construction, or the estimated date by which the document will be obtained. If the contractor is to obtain the document, or if it is dependent upon some action of the contractor, such as obtaining insurance or making an application, give the facts and the name and address of the appropriate contact person.

STEP 7: PREPARE STAGE IV (95%) PLANS

The designer will send the Stage IV plans to the utility companies and receive comments from the utility companies. A copy of the transmittal letter and one set of plans should be sent to URR.

If a railroad is within the project limits, plans should also be sent to URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads.

STEP 8: PREPARE THE UTILITY CLEARANCE LETTER

The designer is responsible for writing the Utility Clearance letter and submitting it with backup documents to URR for approval. A copy should be submitted to the ADOT Project Manager for review. URR will verify and forward the Utility Clearance letter to ADOT'S Contracts & Specifications Section and other appropriate parties. The construction project will not be advertised for bid until C&S receives the Utility Clearance Letter Certification.

URR will handle the post-clearance activities; however, if conflicts do arise during construction, URR may require the design consultant's assistance.

APPENDIX 1

UTILITY AND RAILROAD ENGINEERING SECTION

STAGE SUBMITTAL CHECKLIST

For

TRACS #:

Project #:

Project Name:

Form will be filled out by URR at each stage submittal

Complete submittal (Y/N/NA)	CONTRACT DOCUMENT ITEM	Stage I	Stage II	Stage III	Stage IV	Stage V PS&E
	Face Sheet P: To include: project area map, Township and Range, North arrow TRACS #, Project Name F: Project Limits on Area Map all per ADOT Drafting Guideline		P	F	F	S
	Special Detail Drawings P: Show utility locations in plan view and vertical elevation of utilities in profile or section view F: Station and offset call outs, vertical elevation of improvements			P	F	S
	Existing Conditions and Removals/ Utility Adjustment Sheets P: Include utility designation and checked against As built, and Topographic mapping F: Final disposition of all utilities and those in conflict		P	F	F	S
	Roadway Plan and Profile sheets to contain the following:					S
	F: All topographic features included and checked against available as-built records	F	F	F	F	F
	P: Preliminary stationed geometric centerline of all proposed roadways F: Final fixed stationed geometric centerline of all proposed roadways tied to monumentation and on state plane coordinates	P	F	F	F	F

	<p>P: Preliminary edges of new pavement including limits of bridges F: Final edges of pavement and curb and gutter including limits of all other project improvements including box culverts and guardrail plus cut & fill limit lines</p>	P	F	F	F	F
	<p>I: Existing right of way P: Existing and proposed right of way F: Final right of way</p>	I	P	F	F	F
	<p>F: All existing underground and overhead utilities identified to ASCE quality level B standards</p>		F	F	F	F
	<p>F: Untraceable utilities shall be identified to ASCE quality level C standards</p>		F	F	F	F
	<p>Detour Sheets P: Include existing utility locations and preliminary geometry and edge of pavement F: Include Final geometry and pavement edges plus profile, cut & fill limit lines, drainage improvements</p>		P	F	F	S
	<p>Drainage Plans and Details P: Include proposed pipe and existing utilities; topographic mapping, proposed roadway improvements F: Final location of pipe, inlets, box culverts and end treatments plus existing utilities; also include improvements to natural drainage features and cut and fill limit lines</p>		P	F	F	S
	<p>Major Structural Plans and Details P: Preliminary foundation, pier and existing utility locations F: Final foundation, pier and existing utility locations</p>			P	F	S
	<p>Traffic Signal Plans I: Initial location of proposed signal poles, location of existing utilities, proposed and existing storm drains; topo graphic mapping, proposed roadway improvements P: Preliminary location of signal poles, switching cabinet, J-boxes, pull boxes F: Final location of signal poles, switching cabinet, J-boxes, pull boxes</p>		I	P	F	S

	Lighting Plans and Details P: Proposed lighting plans including existing utility locations F: Final location of all lighting, control cabinets and J-boxes			P	F	S
	Landscape Plans and Details P: Include existing and relocated utility locations F: Final planting and irrigation design			P	F	S
	Project Utility Relocation Plans and Details P: Draft utility relocation plan and profile include existing and relocated utilities F: Final utility relocation plan and profile include existing and relocated utilities; all callouts, and special details as necessary			P	F	S
	Structure Selection Report P: Initial horizontal and vertical clearance plus initial pier and abutment location in relation to Railroad tracks when spanning tracks F: Final horizontal and vertical clearance plus final piers and abutment location in relation to Railroad tracks when spanning tracks		P	F		
	Pothole Data Incorporated Into Plan Sheets			F	-----	-----
	Utility Prior Rights Documentation F: Receive all prior right documentation			F	-----	-----
	Utility Report	I	P	P	F	-----
	Utility Special Provisions P: Draft special provisions containing Utilities listing with contact person and phone and basic situation F: Final special provision containing Utilities listing with contact person; detail situation on relocation schedule, special instruction to follow during construction, and fines due to damage of utilities etc.			P	F	S
	Project Cost Estimate P: Draft project cost estimate F: Final project cost estimate		P	P	F	S
	Utility Relocation Cost Estimates P: Draft utility cost estimate F: Final utility cost estimate		P	P	F	-----

	Utility Clearance Letter Package P: Draft letter contains company listing with contact person and phone; utility relocation schedule, and special clauses for construction F: Final letter of contacts, schedules, and special provisions			P	F	-----
	- Utility Service Request Letters include Service address, billing receipt address, power requirements for POS. - Force Account established for Utility Service Connection and/or Line Extension Agreement executed for lighting, signals, irrigation controllers, pump stations, and FMS				F	F
	Roadway, Drainage and Detour Cross Sections F: To include utilities plotted at correct elevation, right of way limits			F	F	F
	Project Construction Schedule P: Initial attempt at defining utility work schedule F: Final detailed work schedule of all utility work			P	F	S

- LEGEND:**
- I Denotes initial concepts
 - P Preliminary plans are to include north arrow, Stationing, Mileposts on all applicable sheets, existing and proposed structures, and any other surface penetrating structures which may impact utility locations.
 - F Denotes final, checked, all details and quantities
 - S Denotes sealed in accordance with technical registration requirements

URR Submittal Acceptance/ Rejection Criteria:

1. Not all submittal items listed are applicable to every project. For instance, a pavement preservation project will not require a Bridge Selection Report, etc. At or around the time of the “Kick-Off” meeting the URR coordinator will inform the designer what elements, of this checklist, will be required for his submittals.
2. If any required bold item is determined to be incomplete by the URR utility coordinator, the entire submittal will be rejected as incomplete.
3. Of the remaining required submittal items 90% of them must be determined to be complete by the URR coordinator to render the entire submittal acceptable. At stage IV all items must be determined as complete for the entire submittal to be accepted as complete and not rejected.

Note to the Designer: Should any of the work items shown as final (“F”) on this checklist change as a result of a change in scope or by an identified design error and URR must perform additional work activities previously completed or change work previously completed, the project schedule must be reexamined for impacts to URR deliverables to the project.

APPENDIX 2

SUGGESTED STATEMENTS FOR SPECIAL PROVISIONS

UTILITIES NOT WITHIN PROJECT LIMITS

If no utilities are believed to be located within the limits of the project the Special Provisions might read: "No conflicts are anticipated with utilities. However, the contractor shall determine the exact location of any utilities prior to commencing construction operations."

UTILITIES ARE WITHIN PROJECT LIMITS

If utilities exist within the project limits one or more of the following statements would be appropriate:

1. "The following utility companies have facilities in the area but are not anticipated to be in conflict:

Company #1	Contact Person	Telephone
Company #2	Contact Person	Telephone

It shall be the contractor's responsibility to determine the exact location of the utilities prior to any construction operations and to notify the above utility companies at least two (2) working days prior to commencing any work on the project."

2. "The following utilities have facilities in conflict and are to be relocated prior to commencement of construction. It shall be the contractor's responsibility to determine the exact location of the utilities prior to commencing construction.

Company Name	Contact Person	Telephone
--------------	----------------	-----------

[Include a description of the conflict and the estimated date of relocation and other pertinent facts]."

3. "The following utilities have facilities in conflict which are to be relocated during construction of this project. The contractor shall coordinate his work to facilitate the work performed by the utility companies and to avoid delays or conflicts.

Company Name	Contact Person	Telephone
--------------	----------------	-----------

[Include a description of the conflict and the estimated date of relocation and other pertinent facts]."

APPENDIX 3

SUGGESTED WORDING FOR UTILITY CLEARANCE LETTERS

COMPANIES IN AREA; NO CONFLICT

"The following utility companies have facilities within the project limits, but are not anticipated to be in conflict:

Company Name	Contact Person	Phone Number

CONFLICTS WITH RELOCATION EXPECTED PRIOR TO CONSTRUCTION

"The following utility companies have facilities in conflict with the proposed construction and anticipate certain adjustments and relocations before construction commences:

Company Name	Contact Person	Phone Number	Brief Description of Facilities in Conflict	Location by Station and Off-Set	Anticipated Completion Date

CONFLICTS WITH RELOCATION EXPECTED DURING CONSTRUCTION

"The following utility companies have facilities in conflict with the proposed construction and anticipate certain adjustments and relocations during construction:

Company Name	Contact Person	Phone Number	Brief Description of Facilities in Conflict	Location by Station and Off-Set	Anticipated Completion Date

WORK TO BE PERFORMED BY ADOT’S CONTRACTOR

"The following utility companies have adjustments or other work which are part of this project. The contractor shall perform the work in accordance with the specifications on the plans and these Special Provisions.

Company Name	Contact Person	Phone Number	Brief Description Of Conflict Or Other Work To Be Performed

APPENDIX 4

Sample Letters by URR Utility Coordinators

(Stage Submittal Transmittal Letter)

Name
Company
Address
City, State Zip code

Re: TRACS No.
Project No.
Highway
Location

Dear _____:

Attached for your information and review, is one set of ADOT's _ percent design stage plans on the above referenced project. After reviewing the plans, you may use this letter as a means to reply. Please check the appropriate response and complete item (4).

- 1) No facilities within the project limits _____
- 2) Have facilities, but no conflict _____
- 3) Have facilities – must relocate _____
- Facilities in place via: Permit _____ Easement _____
- 4) Company contact:
Name: _____ Phone: _____ Email: _____

If items 2 or 3 are marked, we will need to know where your facilities are located so we can place them on the plans. If your facilities are already shown on the plans, please check their location. If shown incorrectly, please mark the proper location on the attached plans.

Please be aware that the project is to be advertised for bid in _____;
Therefore, your expedient response will be appreciated. Please return to:

(Design Consultant's Address)

If you have any questions or require additional information, please contact this office at _____.

Sincerely,

CC: URR Coordinator
ADOT Project Manager

APPENDIX 5

(Master Utility Clearance Letter Template)

<DESIGN CONSULTANT LETTERHEAD>

<DATE>

To: **<Utility Coordinator Name>**
Utility and Railroad Engineering
Arizona Department of Transportation
205 S 17th Avenue, MD 618E
Phoenix, Arizona 85007

Re: UTILITY CLEARANCE LETTER
TRACS No.
Project No.
LOCATION:

The work proposed for this project involves **<Describe the project Scope of Work as stated in the available ADOT documents >**.

All utilities within the project limits have been addressed, and we do not anticipate any utility conflicts with construction of the above referenced project.

In addition to your stored specifications under section 107.15, please include the following in the Project Special Provisions:

(107UTIL, 11/01/16)

SECTION 107 LEGAL RELATIONS AND RESPONSIBILITY TO PUBLIC:

107.15 Contractor's Responsibility for Utility Property and Services: of the Standard Specifications is modified to add:

The contractor shall be ADOT's underground utility field locator, and perform all requirements as prescribed in A.R.S. 40-360.21 through .29, for all underground facilities that have been installed by the contractor on the current project, until the project is accepted by ADOT.

At least two working days prior but no more than 15 working days prior to commencing excavation, the contractor shall contact ARIZONA 811, between the hours of 6:00 a.m. and 5:00 p.m., Monday through Friday, excluding holidays, for information relative to the location of buried utilities. The contractor can call 811 from anywhere in Arizona or can contact ARIZONA 811 at the number below:

- Projects In Maricopa County (602) 263-1100
- Projects Outside Maricopa County (800) 782-5348

Contactors can also create and manage utility locate tickets online by using the Arizona 811 E-Stake tool at www.Arizona811.com.

Copies of existing ADOT permits, subject to availability, may be obtained from the ADOT Area Permit Supervisor as listed below:

**** DELETE DISTRICT OFFICES NOT INVOLVED WITH THIS PROJECT ****
(Ensure all contact info is up-to-date)

CENTRAL DISTRICT

(602) 712-7522 2140 W. Hilton Avenue
(602) 712-6954 Phoenix, AZ 85009

NORTHWEST DISTRICT

Prescott Area:
(928) 777-5874 1109 E. Commerce Drive
(928) 777-5861 Prescott, AZ 86305

Kingman Area:
(928) 681-6019 3660 E. Andy Devine Ave.
(928) 681-6010 Kingman, AZ 86401

NORTHCENTRAL DISTRICT

(928) 779-7520 1801 S. Milton Rd.
(928) 774-1491 Flagstaff, AZ 86001

NORTHEAST DISTRICT

(928) 524-5455 2407 E. Navajo Blvd.
(928) 524-5400 Holbrook, AZ 86025

SOUTHWEST DISTRICT

(928) 317-2106 2243 E. Gila Ridge Road
(928) 317-2100 Yuma, AZ 85365

SOUTHCENTRAL DISTRICT

(520) 388-4237 1221 S. 2nd Avenue
(520) 388-4200 Tucson, AZ 85713

SOUTHEAST DISTRICT

Safford Area:

(928) 432-4916

2082 East US Hwy. 70

Safford, AZ 85546

Globe Area:

(928) 402-5600

Hwy 60, Box 2717

(928) 402-5608

Globe, AZ 85502

The following agencies and utility companies have facilities in the area but are not anticipated to be in conflict:

<List utility owner Name, Contact Person &Phone Number>

The following agencies and utility companies have facilities in conflict with the proposed construction, and anticipate relocating before construction commences:

<list utility owner Name, Contact Person, Phone Number and give a Brief Description of Facilities in Conflict, Location by Station and Off-Set, Anticipated Completion Date and other pertinent facts and any permit/ license requirements and information>

The following agencies and utility companies have facilities in conflict with the proposed construction, and anticipate relocating during project construction:

<list utility owner Name, Contact Person, Phone Number and give a Brief Description of Facilities in Conflict, Location by Station and Off-Set, Anticipated Completion Date and any permit/ license requirements and information>

The following agencies and utility companies have facilities in conflict with the proposed construction. The contractor shall relocate the utility as part of this project, and in accordance with the specifications on the plans and these special provisions:

<List utility owner Name, Contact Person, Phone Number and give a Brief Description Of Conflict/ Other Work To Be Performed and other pertinent facts and any permit/ license requirements and information>

Service connection statement: *Use when applicable*

The following utility company is the service provider to facilities within the project limits. The contractor shall secure service connections as part of project construction, and in accordance with the specifications on the plans and the special provisions as described in 92400XX:

<list utility service provider Name, Contact Person, Phone Number and brief description of requested services>

Railroad Statement: *Provided by the Railroad Liaison*

There is/is no.....

The Contractor is cautioned to use care when operating near these facilities.

It shall be the contractor’s responsibility to determine the exact location of the utilities prior to any construction operations and to notify the above mentioned utility companies at least two (2) working days prior to commencing any work on the project.

With respect to utility adjustments, this project may be released for bid.

Sincerely,

<CONSULTANT NAME & SIGNATURE>

Cc: <ADOT Project Manager>

NOTES:

- Make sure any dates, special provisions, contacts, permit/ license requirements are listed in these special provisions.*
- Make sure 107.15 provision dealing with water and sewer line installation/ work is included if either of those utilities are involved*
- Make sure 107.15 provision includes standards for ADEQ DA permit requirements when relocation/installation of sewer line is included in the project plans*
- Make sure 107.14 provision is covered relating to who is named on insurance coverage*
- Attach individual clearance letters from all utility owners within the project limits.*
- The Master Utility Clearance Letter must be signed by the consultant and submitted on a LETTERHEAD document.*