

GDOT Utility and Railroad Agreement Management

Managing Utilities On Construction

Office of Utilities

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Non-Reimbursable vs. Reimbursable?

Non-Reimbursable

- Utility or Railroad usually has NO prior easement or property rights
- Occupying space within Roadway R/W by Permit (Could be inside and outside project limits)
- Notice to Proceed Letter to all Non-Reimbursable Utilities and Railroads - issued from DUE's Office

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Non-Reimbursable vs. Reimbursable?

Reimbursable

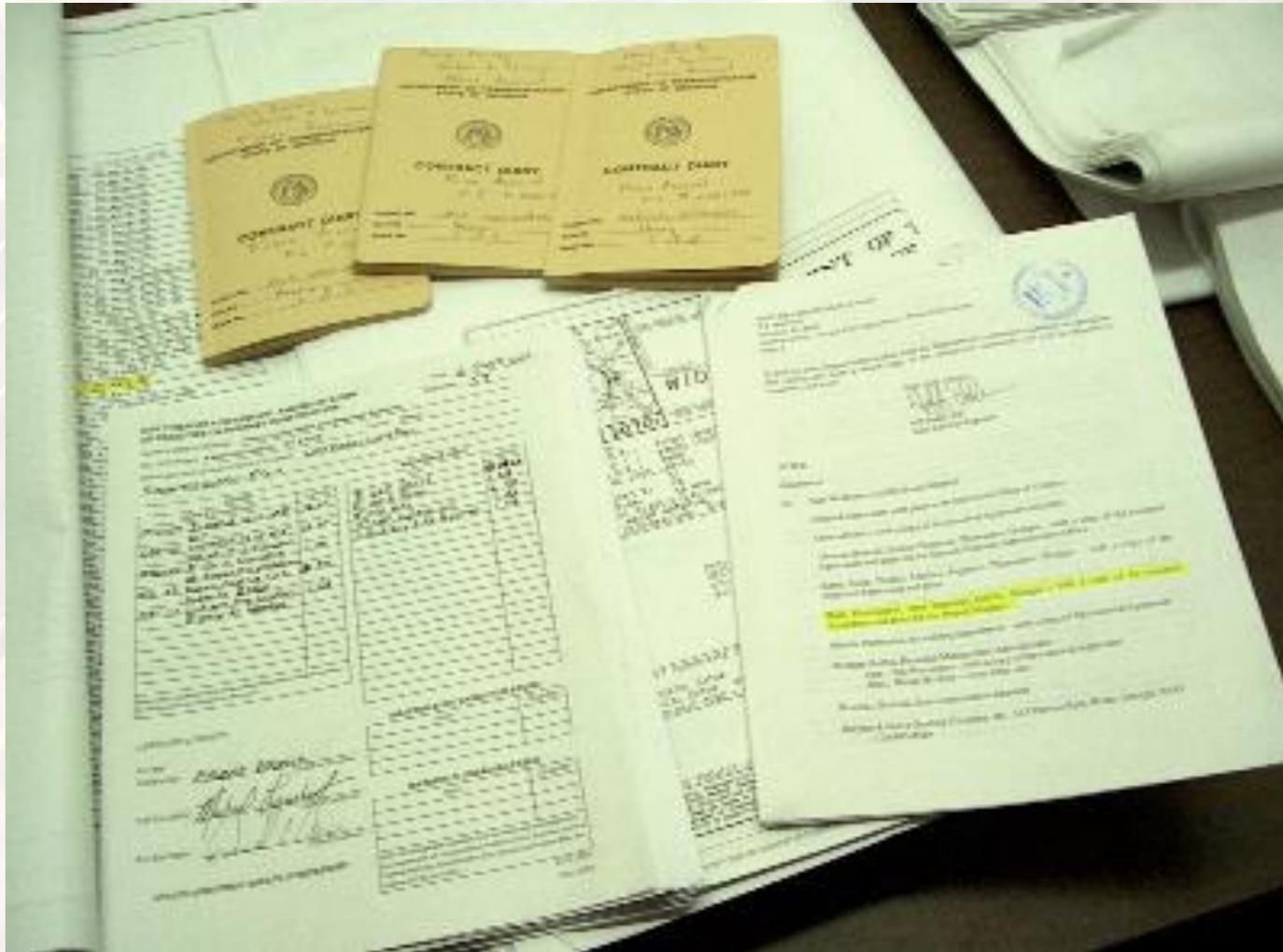
- Separate Notice to Proceed Letter to **EACH** Reimbursable Utility or Railroad - issued from the SUO (via E-mail to AE)
- Includes copy of Agreement between GDOT and Utility or Railroad
- Includes copy of Detailed Estimate and Plans

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File Management - File Creation

- Obtain copies of **ALL** Agreements, Permits, Plans, Schedules and Special Provisions
 - Not sure how? or Cannot find Agreement?
 - Get with Area Engineer
 - Contact DUE's Office for assistance
 - Create a separate working file for **EACH** Utility or Railroad
 - Obtain Agreements, Permits, Plans and Schedule for **EACH** Utility or Railroad
 - Obtain appropriate Contract/Inspector's Diary for **EACH** Utility or Railroad
 - Obtain copies of Daily Report – DOT Form 8465 for project record – completed by **EACH** Utility or Railroad

Utility/Railroad Agreement Documents



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File Management - Inspection

- Inspection requirements
 - GDOT Construction Manual - *The Source*
 - Utilities Accommodation Policy & Standards Manual
 - General Billing Instructions
- Document notification by Utility, Railroad and Prime Contractors (Build Relationship/Communication w/ Rep)
 - Need Start and End construction work dates
 - Data will be needed to assist with reimbursement

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File Management - Inspection (continued)

- Maintain As-built plans, Plan Revisions, contract document changes, etc.
- Maintain adequate Project records to verify all Utility/Railroad work:
 - A. Contract Diary: Utility Agreement
 - B. Inspector's Diary: Permit Work
 - C. Contract/Inspector Diary: Utility Contract Items (Separate diary from A above)
 - D. DOT 8465, Labor, Equipment, Material, etc....

Utility/Railroad Diary

PROJECT NO. _____
DATE: 10-22-02 (Tues)
WEATHER: P.C. (mild)
TEMPERATURE: 48° A.M. _____ NOON 68° P.M. _____
CONTRACTOR'S REPRESENTATIVE: _____

CONTRACTOR'S ACTIVITIES AND EQUIPMENT:

Townsend :
1. Topping - cutting trees, left of
sta 26+920±, and 22+000±.

Williams Electric :
1. Set new power poles left
of sta 27+000±.
2. Working on existing power line
just west of Fish Creek, left Rt. of Q.

Burford's Tree Service : *
1. Clearing R/W @ sta 19+000±
left.

* 3 worker
3 chain saws
1 chipper

INSTRUCTIONS GIVEN OR RECEIVED AND VISITORS:

REMARKS:

SIGNED B. A. Liles TITLE Insp.

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File Management - Project Record Contents

- Project Records contain facts about Utility Relocation work

Project records should be:

- Current
 - Complete
 - Legible
 - Well-organized
 - Concise
- Items subject to be inspected by SUO and/or FHWA at any time

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File Management - Project Record Contents

- Original source documents – (Contract Diary (for Utility/RR Agreements) & DOT Form 8465) - Used for payment validation are an integral part of the Project Records.

These source documents show:

- GDOT Project Number and County
- Date and location(s) of work
- Environmental characteristics (Weather, temp., time)
- Name of Utility, Railroad or Contractor(s) performing the work.
- Items and Quantities Used
- Special Notes, Exceptions, and Visitors to project
- Signature of person preparing the record

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File Management - Maintaining Project Records

- The Project Engineer should maintain adequate Project Records to show:
 - The work was performed according to the Agreement, Estimate and Plans
 - The Project Records are sufficient for payment verification
- Note in the Project Records any exception for work or materials that do not meet the requirements of the Agreement, Estimate and Plans.
- Project documentation and record-keeping may be delegated to other personnel; however, the Area Engineer is still responsible for maintaining the records.

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File Management - Protecting Project Records

- The Project Records shall be kept in a secure place, preferably fireproof cabinets, files, or boxes.
 - Agreements/Permits should be kept in fireproof cabinets.
 - Project Records are maintained in a separate and secure location or facility.
 - Project Records should not normally be shared with other parties without sufficient documentation.

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File Management - Project Records Retention

- State law requires the Department to keep records for all Projects for seven (7) years after final payment to the Contractor.
- The Federal Highway Administration (FHWA) requires the Department to keep Project records on Federal-Aid Projects for three (3) years after final reimbursement to GDOT.
- This regulation includes all contract and Utility and Railroad Agreements on a Project.
- To meet retention requirements, the Department maintains records on all Contracts, Utility and Railroad Agreement on a Federal-Aid project for a period of seven (7) years after the District Office receives a letter from the General Accounting Office stating that final payment of federal funds to the State has been received.

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File Management - Records Retention Guidelines

- When a single Contract is completed, the Area Engineer transmits all records, source documents, and the final statement Construction Report to the District Office, which maintains the records for seven years.
- When the seven year record retention period expires, the District Office submits diaries (Contract and Inspector) and Inspector's Pay Item Reports to the Records Management Office in the General Office
- The General Office transfers the records to the State Records Center for an additional 13 year retention period.
- The General Office may destroy any records not submitted to the Records Management Office at the end of seven years.

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Payment Methods –

- Actual Cost
- Lump Sum
- Contract Item
- Unit Cost

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Actual Cost -

- Reimbursement to represent Actual replacement in-kind cost of work
- Requires field verification of Labor, Equipment, and Materials
- Must maintain detailed project records
- Separate diary for each utility/railroad
- Daily cost records (DOT 8465)
- DOT/FHWA may audit up to 3 years after final payment
- Contract work requires low-bid concurrence

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Lump Sum –

- Fixed price – based on defined scope
- Verify scope is not reduced
- Detailed records required for materials
- Only one Final Bill required
- DOT/FHWA audit not required but may be done

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Contract Item –

- Water, Sewer, Gas & Lighting
- Work included in Roadway Contract
- Cost based on unit prices
- Utility may be paying for cost or upgrade...
If so, will require as-built comparison of cost vs. original estimate.
- Status report showing completed items

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Unit Cost –

- Water, Sewer, Gas, Electrical, Telecom
- Cost based on unit prices and concurrence with low-bid Detailed records required for materials only
- State participation in overruns minimized, except for increased units or new items
- Audits of project's actual costs may not be required; periodic reviews of unit costs

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Overruns and Construction Changes -

- Adequate documentation by requestor
- Investigate - Determine need, scope and cost
- Document changes in scope (betterment)
- Obtain Utility/Railroad owner approval
- Obtain Recommendations to and from Area Engineer -
(for Construction Work Only), District Utilities Engineer
and State Utilities Office
- Changes may require FHWA approval

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Progress Payments -

- Periodic or Monthly Statement of Cost
 - Summary statement of costs listing totals for each category in estimate and actual total of all materials installed to date
- Must be specified in Agreement
- Invoices submitted to State Utilities Office – New Address
- Frequency of Billing
 - Once per month
 - Minimum bill - \$1,000
- GDOT Billing Requirements

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Final Payment -

- Final and Complete Itemized Statement of Costs
 - Bills to follow closely to format of detailed estimate
 - No summary or lump sum billings are acceptable as final statement of cost except as provided in Agreement
 - Reimbursement cannot be made for items not in original Agreement or detailed estimate unless amended by approved allotment request and agreement modification.
- Special Requirements
 - Payment Recommendation
 - Status of Completed Work

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Audit -

- Why Audit?
- What is SOX?
- What is FAR 31?
- Financial vs. Performance
- Single Project Audit
- Multi-State Audit
- Disposition of Audit Report

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Project Closeout –

- Final Inspection and Acceptance
 - Inspect and close out All Utility and Railroad Agreements
 - CIA – Invite owner on final inspection or have them submit corrections list to incorporate in punch list to incorporate in punch list
- Send completed items to SUO to final agreement

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Project Closeout –

- Utility/Railroad Billing deadline –
 - Owner has 12 months to submit invoice from completion of Utility or Railroad work or,
 - Payments made to date can be considered Final
- Write Utilities/Railroads - Request final bill at work completion
 - cc: DUE, SUO

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Summary -

- Gather and review ALL resources
- Create Files Management System
- Inspect, Inspect, Inspect
- Document, Document, Document
- Close out ALL Agreements

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Remember:

Documentation!

Be Pro-Active in the Process!

**Take Ownership of Your
Projects!**