

GDOT STATE UTILITIES OFFICE

Escalation-Mediation Process with Overview of the Utility Adjustment Schedule



Introduction

Terry L. Brigman
Senior Utility Coordinator
Wood

terry.brigman@woodplc.com

Escalation-Mediation w/UAS

Objectives:

- Utility Adjustment Schedule (UAS) Process
- Requirements of the UAS
 - Sections A, B, C, & D
- Escalation-Mediation in Preconstruction Phase
 - Dispute regarding Utility Work Plan

Escalation-Mediation w/UAS

Objectives:

- Worksite Utility Coordination Supervisor (WUCS)
 - Role and Responsibilities
- Escalation-Mediation in Construction Phase
 - Dispute regarding Revised Utility Work Plan
 - Dispute related to Damages or Delays related to Utility Relocations

Utilities on the ROW

WHY?

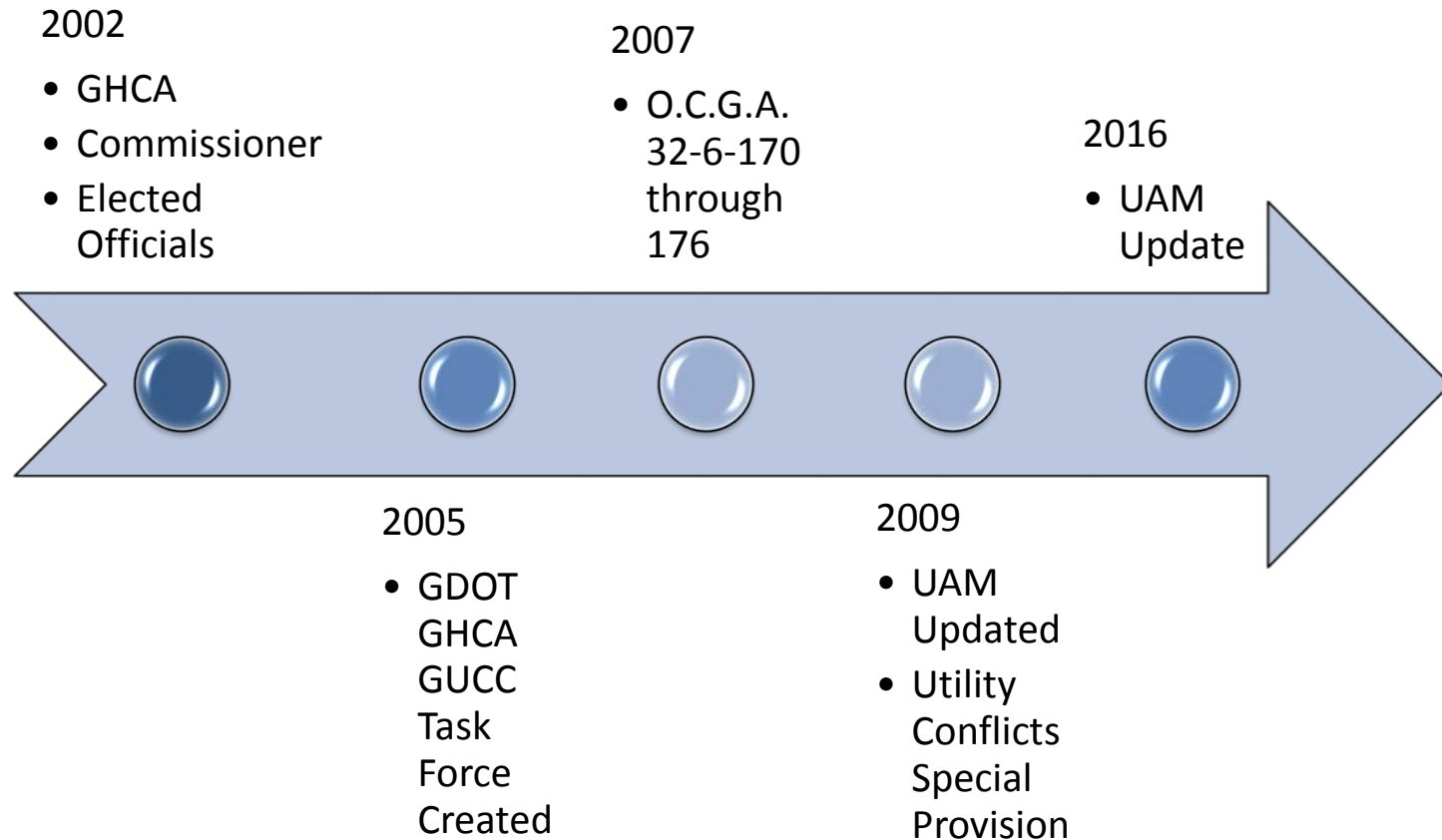
- 23 CFR Part 645, Subpart B
 - “...it is in the public interest for utility facilities to be accommodated on the right-of-way of a Federal-aid or direct Federal highway project when such use and occupancy ... do not adversely affect highway or traffic safety...”

Utilities on the ROW

OCGA 32-6-171

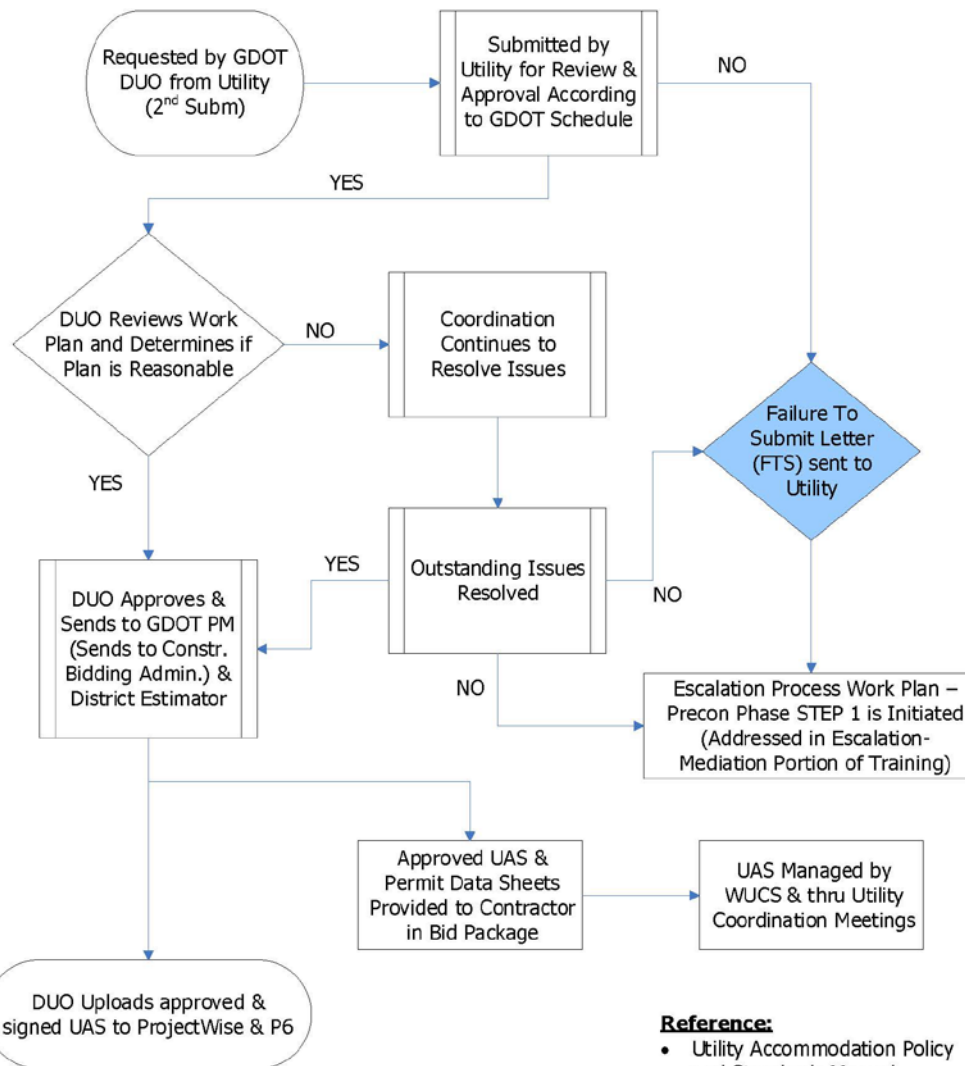
- Authority of department to order removal, relocation, or adjustment of utility facilities; giving notice to utility; relocation procedures; procedure by department upon failure of utility to remove facility; damages; mediation.
- Also addressed in UAM 2.8 including possible escalation.
- Includes permitted facilities not part of a Department project as well.

Escalation-Mediation w/UAS History





UAS Process Flowchart



Reference:

- Utility Accommodation Policy and Standards Manual, Chapter 4

Utility Adjustment Schedule

- Consists of four sections
 - Section A - Summary of Utility Facilities and Utility Adjustment Schedule
 - Section B - Special Requirements
 - Section C - Work Plan
 - Section D - Schedule Summary for Work Plan

UAS – Section A

- Summary of Utility Facilities and Utility Adjustment Schedule

A. SUMMARY OF UTILITY FACILITIES AND UTILITY ADJUSTMENT SCHEDULE

LIST ALL EXISTING FACILITIES WITHIN PROJECT (exclude minor items)

Provide Quantity, Type of Facility and Type of Service Provided :

QUANTITY IN CONFLICT	
_____	UNITS
_____	UNITS
_____	UNITS
_____	UNITS
_____	UNITS
_____	UNITS
_____	UNITS

Existing facility locations were identified using *(use drop-down menu)* dated: _____

This schedule is based on *(use drop-down menu)* dated: _____

If any changes are made to the plans after this date, which affect the Utility, then this schedule may require modification.

Prepared by (Utility Representative)

Title

Phone

Date

Approved by GDOT

Title

Phone

Date

Comments:

UTILITY ADJUSTMENT SCHEDULE

Section A – Summary of Utility Facilities and UAS

- Should include major existing facilities.
- Exclude minor items, i.e. water valves, gas valves, individual meters, pull boxes, switches, transformers, etc.
- Ensure that quantity shown reflects total existing quantity within project and total in conflict, i.e. 1000 lf of pipe with only 250 lf in conflict, UAS should show 1000 lf and the 250 lf in conflict.

UTILITY ADJUSTMENT SCHEDULE

Section A – Summary of Utility Facilities and UAS

- Existing facility locations identification method - drop down menu items.
- This schedule is based on “plans” dated: – drop down menu items.
 - Date should only be modified if there is a plan change or Work Plan (UAS, Plans, & Permit) change by Department or contractor.

UAS – Section B

- Special Requirements (Crucial to identify dependent activities)

B. SPECIAL REQUIREMENTS (staging required, dependent activities, joint-use coordination, etc.) NONE ☐

UTILITY ADJUSTMENT SCHEDULE

Sections B – Special Requirements

- Should identify items requiring special consideration
(Brief explanation of required staging, dependent activities, joint use coordination, operational constraints, seasonal limitations, etc.)
 - Seasonal restrictions
 - Contractual obligations (shutdown periods, etc.)
 - Construction considerations (grading, clearing, utility sequence of operations, roadway staging, R/W staking, etc. – limited areas identified, not complete project)
 - Regulatory restrictions
 - Other dependent restrictions, joint-use requirements (pole placement, attachment requirements, etc.)
 - Special easement requirements, condemnation, permits, etc.

UTILITY ADJUSTMENT SCHEDULE

Sections B – Special Requirements

- Acceptable notes from Utilities
 - Due to seasonal restrictions electric transmission facilities may not be de-energized between May thru October.
 - Contractual obligations require power to only be reduced/turned-off between the hours of 10pm-6am.
 - Any interruption in service at XYZ plant requires minimum 10 day notice.
 - A minimum of 16 weeks should be allowed for the ordering of joint use concrete poles. Traffic signal loads and attachment heights must be provided to Georgia Power Company by the roadway contractor prior to ordering the joint use concrete poles.

UTILITY ADJUSTMENT SCHEDULE

Sections B – Special Requirements

- Red flag notes from Utilities
 - The words “All” or “Entire” on larger type projects.
 - All/Entire project and R/W staking...
 - All/Entire project clearing...
 - All/Entire project grading...
 - Grading has to be within two (2) feet of final grade.
 - No work can begin on joint-use poles until entire pole line relocation is completed by pole owner.
 - All other attachments must be in place and energized before telecom (typ) attachments can be made and cutover.

- Work Plan

UTILITY ADJUSTMENT SCHEDULE (UAS)

UTILITY: (18)

P.I. NO: (19)

Date: (20) _____

C. WORK PLAN - provide disposition of all existing and proposed facilities on project:

[illegible]

UTILITY ADJUSTMENT SCHEDULE

Sections C – Work Plan

- Should accurately describe utility relocation work
 - Locations must correlate to GDOT plans.
 - Description of work and Dependent restrictions.
 - Accurately identify the utility sequence of operations and its relationship to the GDOT plans including GDOT staging, if applicable (UAM Section 4.1.C.1.b).
 - Coordinate with District Utilities to ensure the best fit of the utility relocation work to the construction requirements of the project.
 - Coordinate with other Utilities as required (UAM Section 4.1.C.1.d).
 - Must accurately reflect Special Requirements in Section B.

UAM 4.1.C.1.b.

- **2nd Submission and Resubmission of Utility Plans** - As the project design proceeds to the point that all proposed changes that may affect utilities are known; a “2nd Submission” request will be sent (or electronically transferred) from the District Utilities Office to each Utility found within the project’s limits. This “2nd Submission” will include a request letter, current construction plans, including staging plans, cross sections, drainage profiles, and preliminary bridge/wall plans. In some cases “1st Submission” and “2nd Submission” will be requested concurrently.
- In this written correspondence, the Utility will be requested to show any adjustments or relocations necessary to accommodate the construction of the project. Additionally, the Utility will be responsible for verifying the accuracy of existing facilities previously submitted, identified by a SUE investigation, or mapped by the Department. The Utility will also be responsible for adding any utility information not shown and for preparing any detailed staging plans showing necessary adjustments, temporary installations, and relocations of their facilities to conform to the highway construction requirements and the provisions of this Manual.
- A set of marked plans, along with a Work Plan (including a Utility Adjustment Schedule (UAS)) indicating the type of facilities, the work to be accomplished, the relocation requirements, the staging requirements, and the number of work days required to complete the utility work, will be returned or electronically transferred to the District Utilities Office within the time period prescribed by the Department for review and approval. Additionally, at this point in the project’s development, the Utility will provide an estimate for the costs associated for the relocations and adjustments required to accommodate the project. This estimate shall follow the requirements set forth in Section 4.2 of this Manual. To avoid transcription errors, electronic submission is encouraged. When electronic submission is used, the Utilities shall adhere to the Department’s line symbology and data transmission procedures.
-

UAM 4.1.C.1.d.

- **Contents of Utility Plans** - For all projects with utility involvement, the Department's utility plans will show the approximate size, type and extent of existing utility facilities and proposed adjustments or relocations of utility facilities located within or near the project limits. Additionally, the utility plans will be presented in such a way as to clearly show how the utility relocation work is to be performed in relation to the project's proposed overall staging and erosion control plans.
- The Utility Plans when combined with the Utility Adjustment Schedule (UAS) provided to the Department by the Utility make up the Work Plan for each respective utility relocation/adjustment required for the project. These documents that make up the Work Plan need to be coordinated and sufficiently detailed to provide the Department and its Contractor a clear understanding of how the work will be performed in relation to the overall project's staged construction. **Each Utility's Work Plan shall also be coordinated with the work of any other impacted utility facilities, such that no foreseeable conflicts are shown.** This Work Plan is required to be submitted by each affected Utility and approved by the Department per O.C.G.A. § 32-6-171.
-

UTILITY ADJUSTMENT SCHEDULE

Sections C – Work Plan (Similar to Section B)

- Red flag notes from Utilities
 - The words “All” or “Entire” on larger type projects.
 - All/Entire project and R/W staking...
 - All/Entire project clearing...
 - All/Entire project grading...
 - Grading has to be within two (2) feet of final grade.
 - No work can begin on joint-use poles until entire pole line relocation is completed by pole owner.
 - All other attachees must be in place and energized before telecom (typ) attachments can be made and cutover.

UAS – Section D

- Schedule Summary for Work Plan

UTILITY ADJUSTMENT SCHEDULE (UAS)					
UTILITY:	(28)	P.I. NO:	(29)	Date:	(30)
D. SCHEDULE SUMMARY FOR WORK PLAN: (31)					
Exclude weekends, weather delays and non-productive time:					
Work Phase	(32)	(33)	(34)		
	Total Estimated Days	Prior to Utility NTP	After Utility NTP		
Preliminary Engineering					(35)
Right-of-Way Acquisition					(36)
Construction Engineering					(37)
Material Procurement					(38)
Clearing & Trimming					(39)
Construction					(40)
Splicing or Tie-in Work					(41)
Service Considerations					(42)
Temporary Work					(43)
Project Duration for Non-Concurrent Activities in Days:		(44)			

UTILITY ADJUSTMENT SCHEDULE

Sections D – Schedule Summary for Work Plan

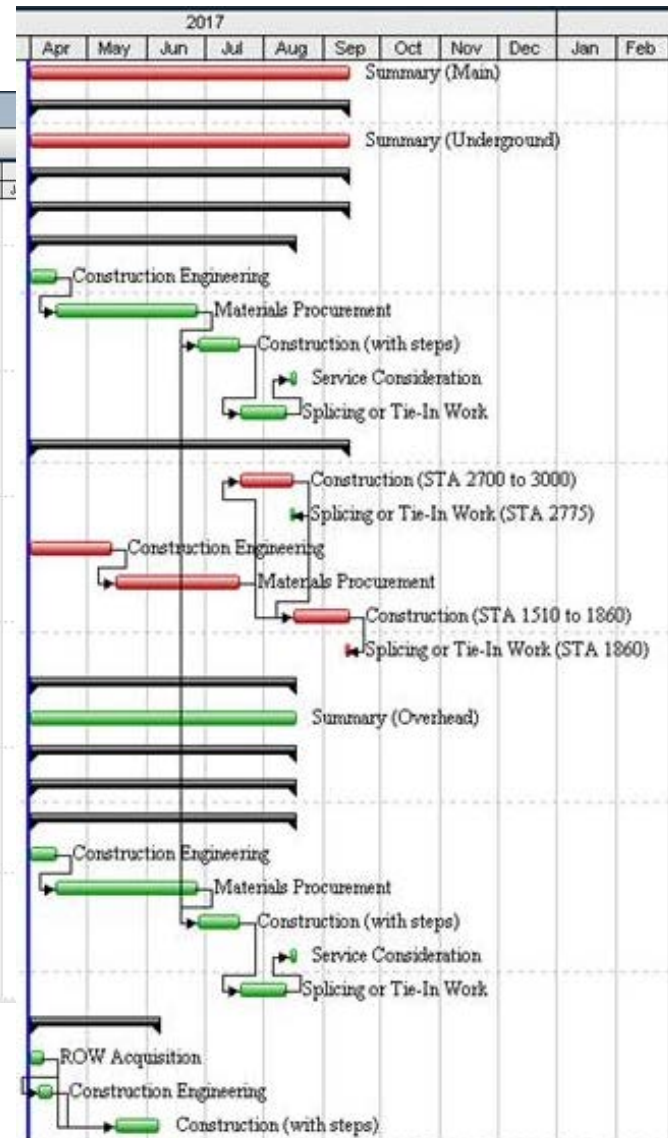
- Should accurately summarize the various phases of the utility relocation work.
- Non-Productive time (Safety meetings, utility down time, weather days, etc.).
- Utility NTP typically would be Day 1; PE work would be a negative number.

UAS Schedule in P6

Activities of UAS 0007023 ilnalmar_01-09-2017

Actions Edit View

		Planned Duration	Remaining Duration	2016
				S Oct Nov Dec
Underground				
Summary (Main)		115d	115d	
Underground		115d	115d	
Summary (Underground)	SUMUGD	115d	115d	
Phase 1 - Underground		115d	115d	
Summary and Milestones (Phase 1 - Underground)		115d	115d	
Windstream Telecom		96d	96d	
Construction Engineering	UGD1314	10d	10d	
Materials Procurement	UGD1414	50d	50d	
Construction (with steps)	UGD1614	15d	15d	
Service Consideration	UGD1714	3d	3d	
Splicing or Tie-In Work	UGD1814	18d	18d	
Banks Co Water		115d	115d	
Construction (STA 2700 to 3000)	11000	20d	20d	
Splicing or Tie-In Work (STA 2775)		2d	2d	
Construction (STA 1510 to 1860)		30d	30d	
Materials Procurement	UGD1440	45d	45d	
Construction (STA 1510 to 1860)	UGD1640	20d	20d	
Splicing or Tie-In Work (STA 1860)	UGD1840	2d	2d	
Overhead		96d	96d	
Summary (Overhead)	SUMOHD	96d	96d	
Phase 1 - Overhead		96d	96d	
Summary and Milestones (Phase 1 - Overhead)		96d	96d	
Windstream Telecom		96d	96d	
Construction Engineering	OHD1314	10d	10d	
Materials Procurement	OHD1414	50d	50d	
Construction (with steps)	OHD1614	15d	15d	
Service Consideration	OHD1714	3d	3d	
Splicing or Tie-In Work	OHD1814	18d	18d	
Jackson EMC		46d	46d	
ROW Acquisition	OHD1122	5d	5d	
Construction Engineering	OHD1322	5d	5d	
Construction (with steps)	OHD1622	16d	16d	



Utility Adjustment Schedule

Utility: AMICALOLA ELECTRIC MEMBERSHIP CORPORATION P.I. No: 0000315 Permit #: 1151516 Date: Nov 3, 2016

Original schedule		
Project: STP00-0000-00(200)	County: Dawson	Route/Road :005200
Description: SR 62, TWO WB PASSING LANES BT GILMER AND LUMPKIN COUNTIES		

SL 52 @ SL 183

A. SUMMARY OF UTILITY FACILITIES AND UTILITY ADJUSTMENT SCHEDULE.

List of all existing facilities within project (exclude minor items)

Quantity, Type of facility, Type of service	Quantity in conflict	Units
Relocating eight electrical distribution poles to accommodate DOT round about.	8	NA

Existing facility locations were identified using Record/Map Field Review dated: Nov 3, 2016

This schedule is based on Preliminary dated: Nov 3, 2016

If any changes are made to the plans after this date, which affect the utility, then this schedule may require modification.

Prepared by	Title	Phone	Date
RAY ROBERTS		7708938465	Nov 3, 2016
Approved by GDOT	Title	Phone	Date
<i>Shelly B. Oliver</i>	D.U.M.	770-531-5772	Dec. 5, 2016
Comments			

B. SPECIAL REQUIREMENTS (staging required, dependent activities, joint-use coordination, etc.).

None

Utility Adjustment Schedule

Utility: AMICALOLA ELECTRIC MEMBERSHIP CORPORATION

P.I. No: 0000315 Permit #: 1151516 Date: Nov 3, 2016

C. WORK PLAN - provide disposition of all existing and proposed facilities on project.

Location	Description of utility work	Dependent activities	Plan Stage No.	Days	Average number of workers
Preliminary Engineering					
Entire Project	Review Preliminary Plans to identify conflicts.	Receipt of Preliminary Plans from GDOT.	NA	30	2
Construction Engineering					
Plan Sheets 24-0002 to 24-0005	Review Final Plans for any changes, Finalize the Relocation Design, and attend the Preconstruction Meeting.	Receipt of NTP and Final Plans from GDOT.	NA	4	2
Material Procurement					
Plan Sheets 24-0002 to 24-0005	Order materials for pole relocations and delivery to worksite.	Completion of construction Engineering	NA	6	1
Construction					
Plan Sheets 24-0002 to Plan Sheet 24-0005	Relocate electrical distribution lines and poles. Splicing, Tie In Work and Service Considerations are included in construction time.	Completion of Material Procurement and delivery to worksite.	NA	20	7

Utility Adjustment Schedule

Utility: AMICALOLA ELECTRIC MEMBERSHIP CORPORATION

P.I. No: 0000315 Permit #: 1151516 Date: Nov 3, 2016

D. SCHEDULE SUMMARY FOR WORK PLAN.

Exclude weekends, weather delays and non-productive time.

Work Phase	Total estimated days	Prior to project award	After project award
Preliminary Engineering	30	30	
Construction Engineering	4		5
Material Procurement	6		10
Construction	20		30

Project duration for non-concurrent activities in days: 30



Utility Adjustment Schedule – Permit Application

DOT 8413 A
Sept 2005

DEPARTMENT OF TRANSPORTATION
State of Georgia
Atlanta, Georgia 30308

APPLICATION AND PERMIT FOR UTILITY FACILITY ENCROACHMENT

APPLICATION IS HEREBY MADE TO THE GEORGIA DEPARTMENT OF TRANSPORTATION BY:
AMICALOLA ELECTRIC MEMBERSHIP CORPORATION
(UTILITY - NAME AND ADDRESS)
544 Hwy 515 South , Jasper GA-30143

FOR PERMISSION TO CONSTRUCT OPERATE AND MAINTAIN THE FOLLOWING DESCRIBED UTILITY FACILITY WITHIN OR FROM THE RIGHT-OF-WAY OF STATE HIGHWAY NO. 005200 COUNTY ROAD NO. _____ IN Dawson COUNTY.

DESCRIPTION: Relocate eight poles to accommodate GDOT Project PT No. 0000315, Dawson County.

LOCATION: Mile Point(3.7) TO Mile Point(5.3)

THE UTILITY SHALL COMPLY WITH THE MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES (MUTCD) CURRENT EDITION. IT IS ANTICIPATED THAT THE TEMPORARY TRAFFIC CONTROL UTILIZED FOR THIS INSTALLATION WILL BE IN ACCORDANCE WITH ONE OF THE FOLLOWING:

[X] MUTCD 5-TYPICAL APPLICATION PLAN	[] DETAILED TRAFFIC CONTROL PLAN (ATTACHED)	[] COMBINATION TYPICAL APPLICATION & DETAILED TRAFFIC CONTROL PLAN (ATTACHED)
--------------------------------------	--	--

THE UTILITY FACILITIES COVERED HEREBY SHALL BE INSTALLED IN ACCORDANCE WITH THE PLANS ATTACHED HERETO AND MADE A PART HEREOF. UTILITY AGREES TO COMPLY WITH AND BE BOUND BY THE DEPARTMENT'S UTILITY ACCOMMODATION POLICY AND STANDARDS, CURRENT EDITION, ON FILE IN THE GENERAL OFFICES OF THE DEPARTMENT OF TRANSPORTATION, MADE A PART HEREOF BY REFERENCE, AND ALL GENERAL PROVISIONS AND SPECIAL PROVISIONS SHOWN ON THE REVERSE HEREOF, OR ATTACHED HERETO, DURING THE INSTALLATION, OPERATION AND MAINTENANCE OF SAID UTILITY FACILITIES WITHIN OR FROM THE RIGHT-OF-WAY.

PERMIT REQUESTED THIS 3 DAY OF November, 2016

100190
(MEMBER CODE)

RAY ROBERTS
(SIGNATURE - Electronic)

706-253-5200
(TITLE & PHONE NUMBER)

Donna Gaddis
WITNESS TO SIGNATURE

PERMISSION IS GRANTED FOR THE ABOVE DESCRIBED UTILITY FACILITY ENCROACHMENT IN ACCORDANCE WITH THE PLANS AND PROVISIONS HEREOF.

THIS PERMIT IS TO BE STRICTLY CONSTRUED AND NO WORK OTHER THAN THAT SPECIFICALLY DESCRIBED ABOVE IS HEREBY AUTHORIZED.

PERMIT GRANTED THIS 5 DAY OF DECEMBER 20 16 .

DEPARTMENT OF TRANSPORTATION

BY: BRENT E. COOK
(DISTRICT ENGINEER)

DISTRICT NO. <u>1</u> COUNTY <u>Dawson</u>	STATE ROUTE NO. <u>005200</u> U.S. _____ CO. RD. NO. _____	
PROJECT NO. <u>0000315</u> ACTIVE _____	PERMIT NO. <u>1151516</u>	
UNDER CONSTR _____		

Utility Adjustment Schedule – Permit Application

GENERAL PROVISIONS

IT IS EXPRESSLY STIPULATED THAT THIS PERMIT IS A LICENSE FOR PERMISSIVE USE ONLY, AND THE PLACING OF UTILITY FACILITIES UPON PUBLIC PROPERTY, PURSUANT TO THIS PERMIT, SHALL NOT OPERATE TO CREATE OR VEST ANY PROPERTY RIGHT IN THE HOLDER.

WHENEVER NECESSARY FOR THE CONSTRUCTION, REPAIR, IMPROVEMENT, MAINTENANCE, SAFE AND EFFECTIVE OPERATION, ALTERATION OR RELOCATION OF ALL OR ANY PORTION OF THE HIGHWAY, AS DETERMINED BY THE DEPARTMENT, ANY OR ALL OF SAID FACILITIES AND APPURTENANCES AUTHORIZED HEREUNDER SHALL BE IMMEDIATELY REMOVED FROM THE RIGHT-OF-WAY, OR RESET OR RELOCATED THEREON, AS REQUIRED BY THE CHIEF ENGINEER, AND AT THE SOLE EXPENSE OF THE UTILITY, UNLESS REIMBURSEMENT IS AUTHORIZED BY SEPARATE AGREEMENT. SHOULD THE UTILITY FAIL TO REMOVE OR RELOCATE ITS FACILITIES UPON DUE NOTICE FROM THE DEPARTMENT, THE UTILITY SHALL BE LIABLE FOR ANY EXTRAORDINARY COSTS OR DAMAGES INCURRED BY THE DEPARTMENT AS A RESULT THEREOF.

IF THE DEPARTMENT UNDERTAKES TO IMPROVE THIS HIGHWAY, IT SHALL BE THE RESPONSIBILITY OF THE UTILITY TO PLAN, WITH THE DEPARTMENT AND ITS CONTRACTOR, A SCHEDULE WHICH WILL CLEARLY SETS FORTH AT WHICH STAGE OF OPERATIONS THE UTILITY WILL BE REQUIRED TO PERFORM ANY ADJUSTMENT TO ITS FACILITIES NECESSARY TO ACCOMMODATE THE HIGHWAY IMPROVEMENTS.

DURING THE INITIAL INSTALLATION OR CONSTRUCTION OF FACILITIES AUTHORIZED BY THIS PERMIT, OR DURING ANY FUTURE REPAIR, REMOVAL OR RELOCATION THEREOF OR ANY MISCELLANEOUS OPERATIONS, THE UTILITY SHALL, AT ALL TIMES, MAINTAIN FLAGMEN, SIGNS, LIGHTS, FLARES, BARRICADES, AND OTHER SAFETY DEVICES IN ACCORDANCE WITH THE MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES (MUTCD), CURRENT EDITION, AND, AS MAY BE NECESSARY, TO PROPERLY PROTECT TRAFFIC UPON THE HIGHWAY AND TO WARN AND SAFEGUARD THE PUBLIC AGAINST INJURY OR DAMAGE.

IT IS EXPRESSLY PROVIDED THAT, WITH RESPECT TO ANY LIMITED ACCESS HIGHWAY, THE UTILITY SHALL NOT HAVE OR GAIN DIRECT ACCESS, EITHER INGRESS OR EGRESS, FROM THE MAIN TRAVELED WAY OF SAID HIGHWAY OR ITS ON OR OFF RAMP TO ANY FACILITIES AUTHORIZED BY THE PERMIT EXCEPT UPON SPECIFIC APPROVAL BY THE DEPARTMENT.

IT IS THE UTILITY'S RESPONSIBILITY TO VERIFY THE LIMITS OF RIGHT-OF-WAY FOR LOCATION OF THE UTILITY FACILITIES AUTHORIZED HEREBY.

NO INHERENT OR RETAINED RIGHT OR PRIVILEGE OF ANY ABUTTING PROPERTY OWNER IS AFFECTED BY THIS PERMIT NOR IS THE DEPARTMENT RESPONSIBLE FOR ANY CLAIM WHICH MAY DEVELOP BETWEEN THE UTILITY AND ANY PROPERTY OWNER CONCERNING USE OF THE RIGHT OF WAY. THE UTILITY IS RESPONSIBLE FOR MAINTAINING REASONABLE ACCESS TO PRIVATE DRIVEWAYS DURING INSTALLATION OF ITS FACILITIES AND FOR RESTORATION OF DRIVEWAYS TO THE PROPERTY OWNER'S SATISFACTION.

APPROVAL OF THIS PERMIT DOES NOT CONSTITUTE APPROVAL OF DESIGN OR CONSTRUCTION DETAILS FOR THE PROPOSED UTILITY FACILITIES. THE UTILITY IS RESPONSIBLE FOR COMPLIANCE WITH ALL APPLICABLE GOVERNMENTAL CODES AND REGULATIONS.

THE UTILITY SHALL GIVE THE DEPARTMENT A MINIMUM OF 24 HOURS NOTICE PRIOR TO BEGINNING ANY WORK UNDER THIS PERMIT.

THIS PERMIT SHALL BE VOID UNLESS WORK HEREUNDER IS BEGUN WITHIN TWELVE (12) MONTHS OF THE DATE OF ITS APPROVAL.

THE PROVISIONS OF THIS PERMIT ARE REGULATORY AND NOT CONTRACTUAL. NO INTEREST OR RIGHT OF A UTILITY GRANTED BY THIS PERMIT MAY BE TRANSFERRED TO ANOTHER EXCEPT BY WRITTEN CONSENT OF THE DEPARTMENT. THIS PERMIT MAY BE REVOKED AT THE PLEASURE OF THE DEPARTMENT UPON THIRTY (30) DAYS WRITTEN NOTICE TO THE UTILITY.

Permit Data Sheet (PDS)

PERMIT DATA FOR PERMIT APPLICATION 1151516

The work category of your project is		Electrical	
in Dawson	County/Countries		
TPro Project ID	0000315		
Location Information			
The Utility installation location was narrowed down to			
Beginning Mile Point	3.7	and Ending Mile Point	5.3
on Route No	005200		
General Encroachment Information			
Traffic Control type is	MUTCD Part 6 - Typical Application Plan		
Traffic Control Plan Upload			
Utility Information			
Work description	Relocate eight poles to accommodate GDOT Project PI No. 0000315, Dawson County.		
Work days estimate	30	Bridge and Wall Attachments	No
Facility Placement Type	Both	Installation Length	8448
Facility Type	Distribution	Service Tap Type	NA
Cable material Type	Aluminium with Steel Core		
Line Voltage	14,400		
Cable Gauges	1/0	Involves Communication Line	Yes
		Installation Type	Aerial
		pole Type	new , exist
New Pole Details		Minimum Overhead Clearance	27

Permit Data Sheet (PDS)

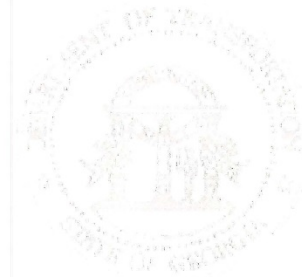
Operating Clearance Radial	27	Pole Placement Method	Auger		
Pole Material Type	Wood				
Pole Height	50	Joint Pole Use	Yes		
Joint Use Type	Condition Route	Company Location Information	Windstream Telephone	Pole Transfer Details :1	
Utility Name	AMICALOLA EMC	Contact Name	RAY ROBERTS	Phone Number	7708938465
		Existing Pole Details	Minimum Overhead Clearance	27	Operating Clearance Radial
27	Pole Owner	AMICALOLA ELECTRIC MEMBERSHIP CORPORATION	Work Performed	Relocate for GDOT Project	Is Make Ready
No	Drawings Upload	Upload #	1	File Name	24-0002.pdf
File Description	Permit Plans	Upload #	2	File Name	24-0003.pdf
File Description	Permit Plans	Upload #	3	File Name	24-0004.pdf
File Description	Permit Plans	Upload #	4	File Name	24-0005.pdf
File Description	Permit Plans	Blasting Information	Blasting Required is No.	General Utility Adjustment Schedule	Plan Date
Nov 3, 2016	Project Number	0000315	Schedule Type	Original	Facility Identification
Record/Map Field Review	Special Requirements	None	Plan Type	Original	Cost Borne By
Department	Cost Approval	Pending	Existing	Service	Relocating

Permit Data Sheet (PDS)

and UtilityOwner	Status		Utility Details: # 1	Provided	sight electrical distribution poles to accommodate DOT round about.
Quantity	8	Unit	NA	Project Phase	Preliminary Engineering
Is Applicable	Yes	Work Plan Details: # 1	Work Plan Description	Entire Project	Dependent Activities
Receipt of Preliminary Plans from GDOT.	Plan Stage	NA	Average Number of Workers	2	Begin Day
-30	Duration in Calendar Days:	30	Productive Days/Week	5	Project Phase
Construction Engineering	Is Applicable	Yes	Work Plan Details: # 1	Work Plan Description	Plan Sheets 24-0002 to 24-0005
Dependent Activities	Receipt of NTP and Final Plans from GDOT.	Plan Stage	NA	Average Number of Workers	2
Begin Day	1	Duration in Calendar Days:	4	Productive Days/Week	5
Project Phase	Material Procurement	Is Applicable	Yes	Work Plan Details: # 1	Work Plan Description
Plan Sheets 24-0002 to 24-0005	Dependent Activities	Completion of construction Engineering	Plan Stage	NA	Average Number of Workers
1	Begin Day	4	Duration in Calendar Days:	6	Productive Days/Week

Permit Data Sheet (PDS)

5	Project Phase	Construction	Is Applicable	Yes	Work Plan Details: # 1
Work Plan Description	Plan Sheets 24-0002 to Plan Sheet 24-0005	Dependent Activities	Completion of Material Procurement and delivery to worksite.	Plan Stage	NA
Average Number of Workers	7	Begin Day	10	Duration in Calendar Days:	20
Productive Days/Week	5				



Escalation-Mediation in Preconstruction Phase

- Escalation and Mediation Process during the Preconstruction Phase (UAM 4.1.C.4)

Dispute regarding Work Plan Approval

- DUO will review Work Plan.
- DUO will consult with District Construction Engineer and GDOT PM to determine reasonability.
- If Work Plan is found unreasonable, the DUO shall initiate the Escalation Process.

Escalation-Mediation in Preconstruction Phase

Dispute regarding Work Plan Approval
Escalation Process Step 1

- DUO notifies utility owner of opinion in writing.
- Utility will respond to notification within 10 business days with a justification or revision.
- Depending on the complexity of the plan, the Utility, in their response, may request a coordination meeting with the DUO.
- If the dispute cannot be resolved within 20 business days from the DUO's original notification, the dispute escalates to Step 2.

Escalation-Mediation in Preconstruction Phase

Dispute regarding Work Plan Approval

Escalation Process Step 2

- DUO provides written notification to State Utilities Administrator (SUA) that Step 1 of the escalation process did not bring resolution to the dispute and recommends escalation proceed to Step 2.
- SUA schedules a Project Utility Work Plan review meeting.
- Meeting held within 20 business days of written notification by DUO.
- At the meeting, attendees review proposed design and staging plans in reference to the Work Plan under dispute.

Escalation-Mediation in Preconstruction Phase

Dispute related to a Work Plan Approval

Escalation Process Step 2 (cont.)

- From the meeting, one of the following written conclusions/recommendations shall be made:
 - The Work Plan is satisfactory as submitted – approved by the Department.
 - The Work Plan and/or the Department's staging plan need further revisions to accommodate project construction. Such required revisions are approved and accepted by the Department and the Utility.
 - Recommendation for Utility Work Plan dispute to proceed to Escalation Step 3 – Single Mediator.
 - Recommendation for Utility Work Plan dispute to proceed to full Mediation as prescribed in OCGA 32-6-171 and GDOT Board Rule 672-19 – Three Mediators.

Escalation-Mediation in Preconstruction Phase

Dispute related to a Work Plan Approval

Escalation Process Step 3

- Department and Utility shall agree to participate in non-binding mediation to reach a resolution.
- Department and Utility shall equally share in the cost associated with the mediation.
- Department and Utility shall agree on one mediator that meets qualifications under Board Rule 672-19.
- Within 10 business days the Department and Utility shall agree on the rules and scope of the mediation.
- Mediation meeting held within 20 business days of written notification by SUO.

Escalation-Mediation in Preconstruction Phase

Dispute related to a Work Plan Approval

Escalation Process Step 3 (cont.)

- At the meeting, attendees shall review proposed design and staging plans in reference to the Work Plan under dispute and provide input as requested by the presiding mediator.

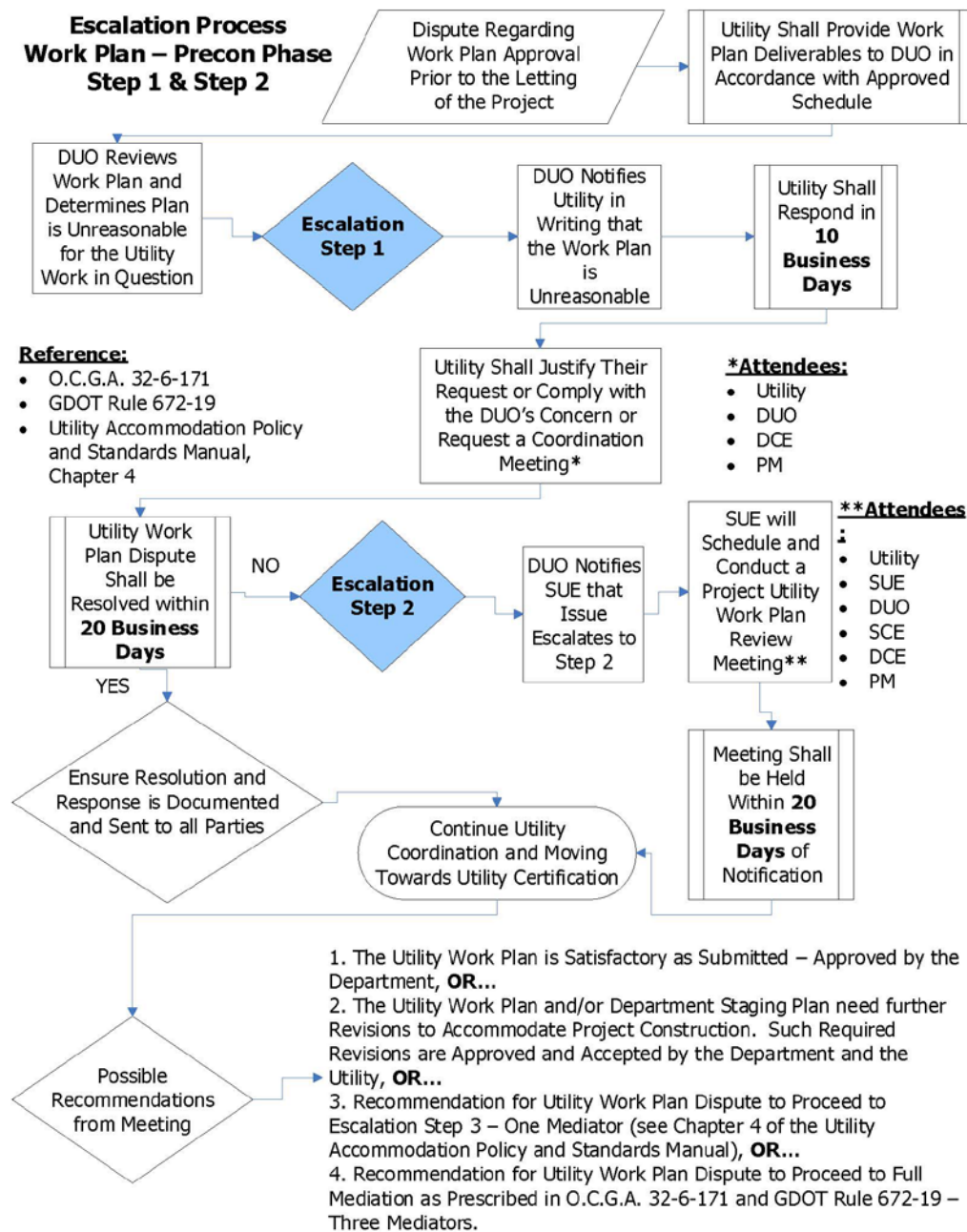
Escalation-Mediation in Preconstruction Phase

Dispute related to a Work Plan Approval Escalation Process Step 3 (cont.)

- From the meeting, one of the following written conclusions/recommendations shall be made:
 - The Work Plan is satisfactory as submitted – approved by the Department.
 - The Work Plan and/or the Department's staging plan need further revisions to accommodate project construction. Such required revisions are approved and accepted by the Department and the Utility.
 - Recommendation for Utility Work Plan dispute to proceed to full Mediation as prescribed in OCGA 32-6-171 and GDOT Board Rule 672-19 – Three Mediators.

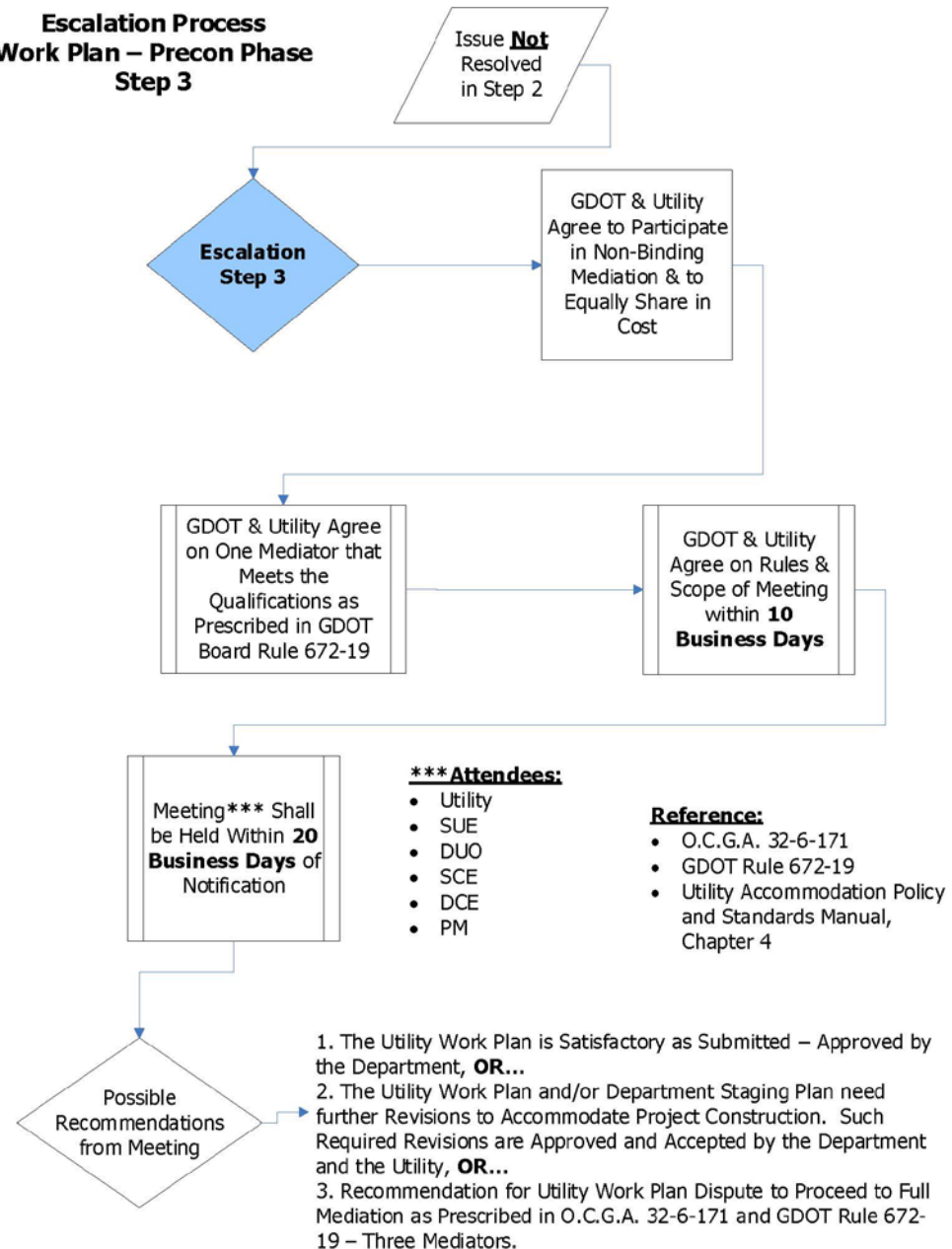


Escalation Process Work Plan – Precon Phase Step 1 & Step 2





Escalation Process Work Plan – Precon Phase Step 3



Escalation & Mediation Process

URPN 4 Letter

- Notice of Failure to Submit (FTS)
- Recommended that FTS should be sent no later than FFPR scheduled date.
- Notice that project is moving forward.
- Places potential liability of delay costs on Utility Owner.
- Re vs Non-RE – Deliverables should be treated the same.
- If Work Plan is not provided then FTS will be included as part of the Department's Bid Package.
- If FTS is part of the Bid Package then the Department's recommendation to the contractor would be to begin Escalation at the time of the Preconstruction Meeting.



URPN #4 Letter

PROJECT NUMBER: _____
PROJECT DESCRIPTION: _____ County, P.I. # _____

DISTRIBUTION: _____

Ref: *Notice – Failure to Submit Information for Utility Coordination Under
OCGA 32-6-170 & 171 – Request for Project Information
URPN #4 – Submission Electronic Files / Plans – Existing and Proposed Facilities*

Ladies and Gentlemen:

On _____, our Office transmitted two (2) sets of preliminary plans OR an electronic file for the above referenced project. The Department received your acknowledgment of receipt of the plans on _____. Your marked plans, along with all other required documents should have been submitted to this Office no later than _____. As of today, we have not received the following information:

- ☐ Marked plans showing proposed relocation to clear project for construction
- ☐ Letter regarding Utility Status – (No Conflict or No Facilities)
- ☐ Reimbursement Estimate Packages (if applicable)
- ☐ Permit Application (GUPS System)
- ☐ Relocation Schedule (Utility Adjustment Schedule)
- ☐ Certification Letter
- ☐ Notice of Intent
- ☐ No Cost Letter

On _____, our Office sent you reminder correspondence requesting the above information but as of today our Office has not received the requested information.

The Department will continue with the normal preconstruction and contract letting procedure in order to deliver this project on schedule. The Department will issue you a Notice to Proceed at the appropriate time. You are hereby notified that you may be responsible for delay costs to the Department and its Contractor.

If you have any questions regarding this, you may call me at _____, or you may e-mail me at _____.

Escalation-Mediation w/UAS

Objectives Recap:

- Utility Adjustment Schedule (UAS) Process
- Requirements of the UAS
 - Sections A, B, C, & D
- Escalation-Mediation in Preconstruction Phase
 - Dispute regarding Utility Work Plan

Project Certification & Letting & Award

- Project Certification (11 weeks prior to Letting)
 - Work Plan
 - Utilities Relocation Plans
 - Utility Adjustment Schedule
 - GUPS Permits
- Project Letting (Funding Authorized)
- Project Award

Utility NTP/NOA

Work performed by Utility Owner

Construction Phase

Utilities Notice to Proceed

- By Law – Required 60 days Notice (OCGA 32-6-171 (b))
 - 30 Days prior to Letting then additional time accounted for up to Preconstruction Meeting
- NTP usually occurs around project advertisement to contractors
 - Non-Reimbursable – NTP comes from the DUO's Office
 - Reimbursable – NTP comes from the SUO after Project is Awarded

Make Sure You:

- OBTAIN COPY OF THE AGREEMENT/ESTIMATE/PLANS.
- VERIFY PLANS ARE LATEST REVISIONS/MATCH.

Preconstruction Meeting

- Notice for utilities **and** railroads from Department Area Engineer
- Need for Separate Utility Preconstruction Conference? (Discuss with the DUO)
- Review and be familiar with: Plans, Specs, Utility Documents
- Be prepared to discuss Work Plan

Preconstruction Meeting

- Utility Preconstruction Conference Utility Discussion Form
 - Any revisions to Final Plans?
 - Status of utility relocations?
 - Spec 107.21 Contractor's Worksite Utility Coordination Supervisor
 - Who is the Contractor's WUCS?
 - Have the WUCS Qualifications been met?
 - Has the Emergency Utility Response Plan (EURP) been prepared?
 - Has the Emergency Utility Response Information (EURI) form been completed?
 - DUO recommends no clearing begin until EURP is established.
 - Has a Utility Relocation Progress Schedule been submitted by Contractor?
 - Has it been determined how often Utility Coordination meetings will be held?
 - Contractor shall follow the Procedures for Utility Damages or Delay Costs as outlined the UAM – Section 4.4.C.
 - Failure of the Contractor to follow the required procedures shall result in a waiver of any such claims against the Utility Owner for damages or delay costs.

Managing Utilities On Construction

Worksite Utility Coordination Supervisor (WUCS 107.21)

- Contractor's employee
 - Qualifications
- Responsibilities
 - Manage and coordinate all utility relocation/adjustments.
 - Facilitate Utility Coordination meetings and provide monthly reports (Typically no less than 1 meeting per month).
 - Primary point of contact between all Utilities, the Contractor, & GDOT.
 - Collect and Maintain Ticket Status information.
 - Prepare an agenda for Utility Coordination Meetings & distribute in advance of meeting to encourage input & participation from all Utilities.
 - Shall prepare an Emergency Utility Response Plan (EURP).
 - Maintain detailed notes of all Utility Coordination meetings and other utility related discussions throughout life of project.
 - Required to produce a Utility Relocation Progress Schedule based on the approved UAS's and to track utilities work progress(Controlling Items).

Managing Utilities On Construction

Worksite Utility Coordination Supervisor (WUCS 107.21)

- Detailed Notes (Also required with any Escalation letter to Department)
 - Project Let Date
 - Ongoing status of UAS work
 - When UAS work started
 - Number of days already completed (Weather days accounted)
 - Special requirements completed
 - Special requirements outstanding
 - Number of days still outstanding
 - Notifications to the Utility Owner
 - Responses from Utility Owner



UTILITY MEETING AGENDA

Project Description

GDOT Project No. – County

P. I. No.

DATE

Meeting Location

Meeting Time

Attendees (Company Name and Employee Name)

I. INTRODUCTION OF PROJECT PERSONNEL

- I. Comments from locate personnel**
- II. Project Overview - (WUCS)**
- III. Permit to Occupy Right-of-Way**

II. PRACTICES OF CONTRACTOR

III. GENERAL HOUSEKEEPING

1. SIGN-IN SHEET

- i. Include emergency phone numbers. These should be numbers were Contractor can contact an actual person and not leave a voice message. Please print legibly.**
- ii. Include e-mail addresses**

2. CURRENT PLANS

- i. Current plans bear a date of on the cover sheet of XXDDYYYY**
- ii. Do all stakeholders have current plans?**
- iii. Path forward for distributing revisions to utility companies. Are there anticipated revisions?**

IV. IMPORTANT DATES

- 1. DISTRIBUTION OF FINAL CONSTRUCTION PLANS –**
- 2. LETTING –**
- 3. CONTRACT AWARD –**
- 4. NOTICE TO PROCEED TO UTILITY OWNERS –**
- 5. NOTICE TO CONTRACTOR TO PROCEED WITH CONSTRUCTION –**
- 6. CONTRACT COMPLETION DATE –**

V. PROJECT STRUCTURES

- 1. BRIDGE STRUCTURE**
- 2. WALL STRUCTURES**
- 3. TRAFFIC SIGNALS**

VI. PLACEMENT OF RELOCATED UTILITIES

Utility facility owner/operators that relocate their facilities into conflict with the proposed construction will be required to relocate again at the utility facility owner/operator's expense.

VII. SCHEDULE**SECTION 4.4.C OF THE UTILITY ACCOMMODATION POLICY AND STANDARDS / SPECIAL PROVISION – UTILITY CONFLICTS.**

1. In paraphrasing, the policy outlines the responsibility of the Contractor to initiate the escalation process once it is determined that the Utilities work progress is at least 20% behind the approved work Plan.
2. Contractor will initiate the escalation process if a Utility Owner/Operator neglects to proceed within the number of days equal to or greater than 20% of the respective UAS.
3. **RECOVERY FOR DELAYS TO CONSTRUCTION**
Review of the attached “Special Provisions-Utility Conflicts” as excerpted from the State of Georgia - Department of Transportation Specifications.

Please be advised that, by contract:

Contractor has the responsibility of coordinating the utility relocation so that the proposed construction is completed within contract time parameters.

Contractor has the right to recover costs resulting from delays caused by delinquent utility relocation.

VIII. Right-of-Way

Are all parcels available to access?

Outstanding parcels – N/A

IX. KNOWN AND POTENTIAL CONFLICTS

Status of relocation design

Mobilization date

Predecessor activities required for commencement of work

Duration

Identification of under built utilities

X. OPEN FLOOR DISCUSSION**XII. NEXT MEETING**

Date & Time & Location

Escalation-Mediation in Construction Phase

- What are possible issues on construction?
 - 1. Revised Utility Work Plan
 - 2. Utility Damages or Delay Costs
 - 3. Any other matter related to the removal, relocation, or adjustment of the Utility's facility
- #2 and #3 follow the same process/steps.....
- Typically no Utility Coordination Meeting

Escalation-Mediation in Construction Phase

- 1. Dispute regarding a Revised Work Plan (UAM 4.4.B)
 - If previously unforeseen utility removal, relocation, or adjustment work is found necessary after the letting of the project, the affected Utility Owner shall provide a Revised Work Plan within 30 calendar days.
 - DUO reviews Revised Work Plan (may consult w/DCE/AE) to determine reasonability. **It is not intended to correct errors or omissions.**
 - The Department's Contractor will need to review and comment on plan.

Escalation-Mediation in Construction Phase

Dispute regarding a Revised Work Plan

- If the Revised Work Plan is found unreasonable by the DUO based upon the required scope of utility adjustment and/or relocation required to accommodate a project, the DUO initiates the following escalation process:

Escalation Process Step 1

- DUO notifies utility owner of opinion in writing.
- Utility will respond to notification within 10 business days with a justification or revision.
- Depending on the complexity of the plan, the Utility, in their response, may request a coordination meeting with the DUO.
- If the dispute cannot be resolved within 20 business days from the DUO's original notification, the dispute escalates to Step 2.

Escalation-Mediation in Construction Phase

Dispute regarding a Revised Work Plan

Escalation Process Step 2

- DUO provides written notification to State Utilities Administrator (SUA) that Step 1 of the escalation process did not bring resolution to the dispute and recommends escalation proceed to Step 2.
- SUA schedules a Utility Work Plan review meeting.
- Meeting held within 20 business days of written notification by DUO.
- At the meeting, attendees review proposed design and staging plans in reference to the Revised Work Plan under dispute.

Escalation-Mediation in Construction Phase

Dispute regarding a Revised Work Plan

Escalation Process Step 2 (cont.)

- From the meeting, one of the following written conclusions/recommendations shall be made:
 - The Revised Work Plan is satisfactory as submitted – approved by the Department.
 - The Revised Work Plan and/or the Department's staging plan need further revisions to accommodate project construction. Such required revisions are approved and accepted by the Department and the Utility.
 - Recommendation for Revised Work Plan dispute to proceed to Escalation Step 3 – Single Mediator.
 - Recommendation to proceed to Full Mediation as prescribed in OCGA 32-6-171 and GDOT Board Rule 672-19 – Three Mediators.

Escalation-Mediation in Construction Phase

Dispute regarding a Revised Work Plan

Escalation Process Step 3

- Department, Utility, and Contractor shall agree to participate in non-binding mediation or arbitration to reach a resolution.
- Department and Utility shall equally share in the cost associated with the mediation.
- Department and Utility shall agree on one mediator that meets qualifications under Board Rule 672-19.
- Within 10 business days the Department and Utility shall agree on the rules and scope of the mediation.
- Mediation meeting held within 20 business days of written notification by SUO.

Escalation-Mediation in Construction Phase

Dispute regarding a Revised Work Plan

Escalation Process Step 3 (cont.)

- At the meeting, attendees shall review proposed design and staging plans in reference to the Revised Work Plan under dispute and provide input as requested by the presiding mediator.

Escalation-Mediation in Construction Phase

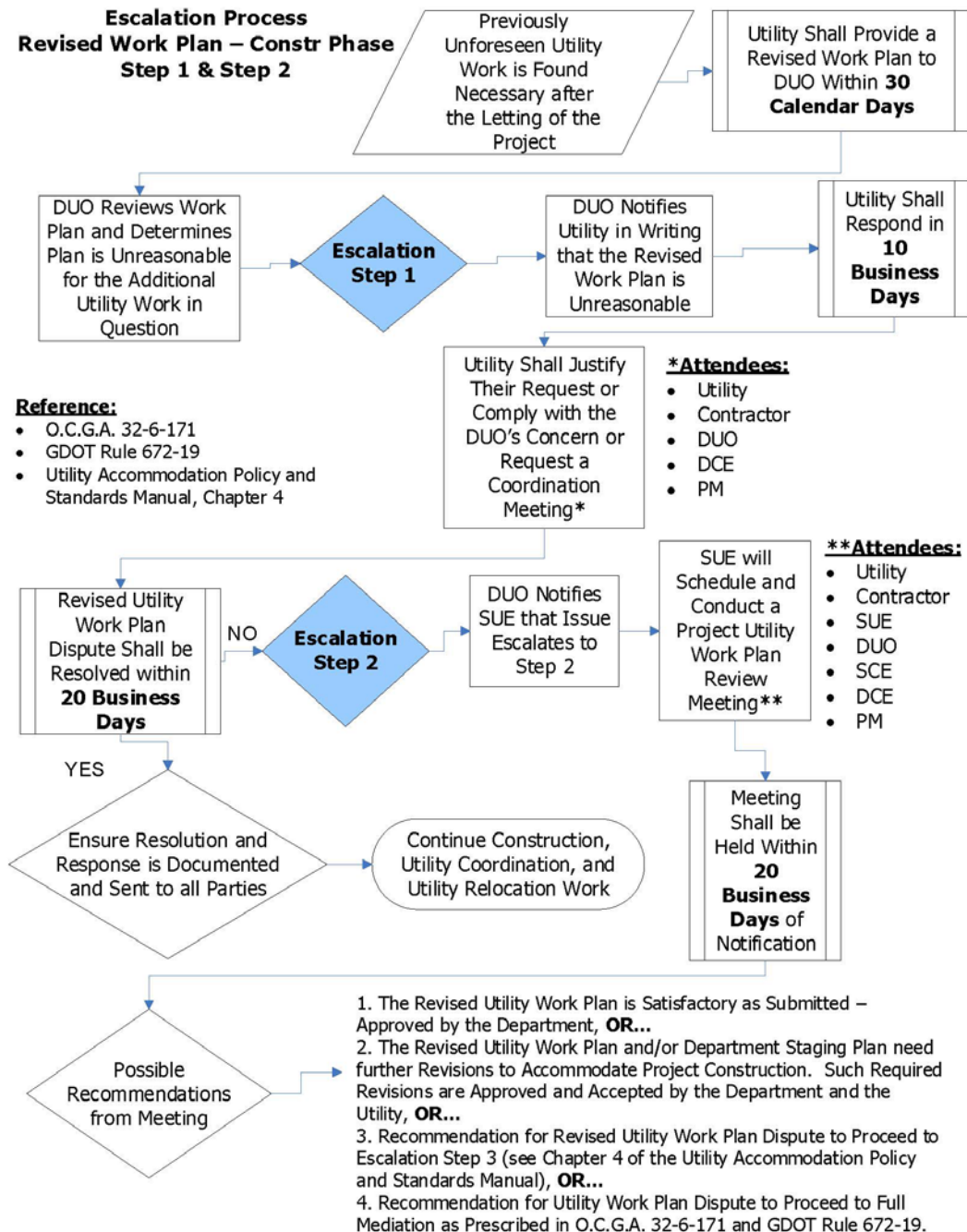
Dispute regarding a Revised Work Plan

Escalation Process Step 3 (cont.)

- From the meeting, one of the following written conclusions/recommendations shall be made:
 - The Revised Work Plan is satisfactory as submitted – approved by the Department.
 - The Revised Work Plan and/or the Department's staging plans need further revisions to accommodate project construction. Such required revisions are approved and accepted by the Department and the Utility.
 - Recommendation for Revised Utility Work Plan dispute to proceed to Full Mediation as prescribed in OCGA 32-6-171 and GDOT Board Rule 672-19 – Three Mediators.



Escalation Process Revised Work Plan – Constr Phase Step 1 & Step 2

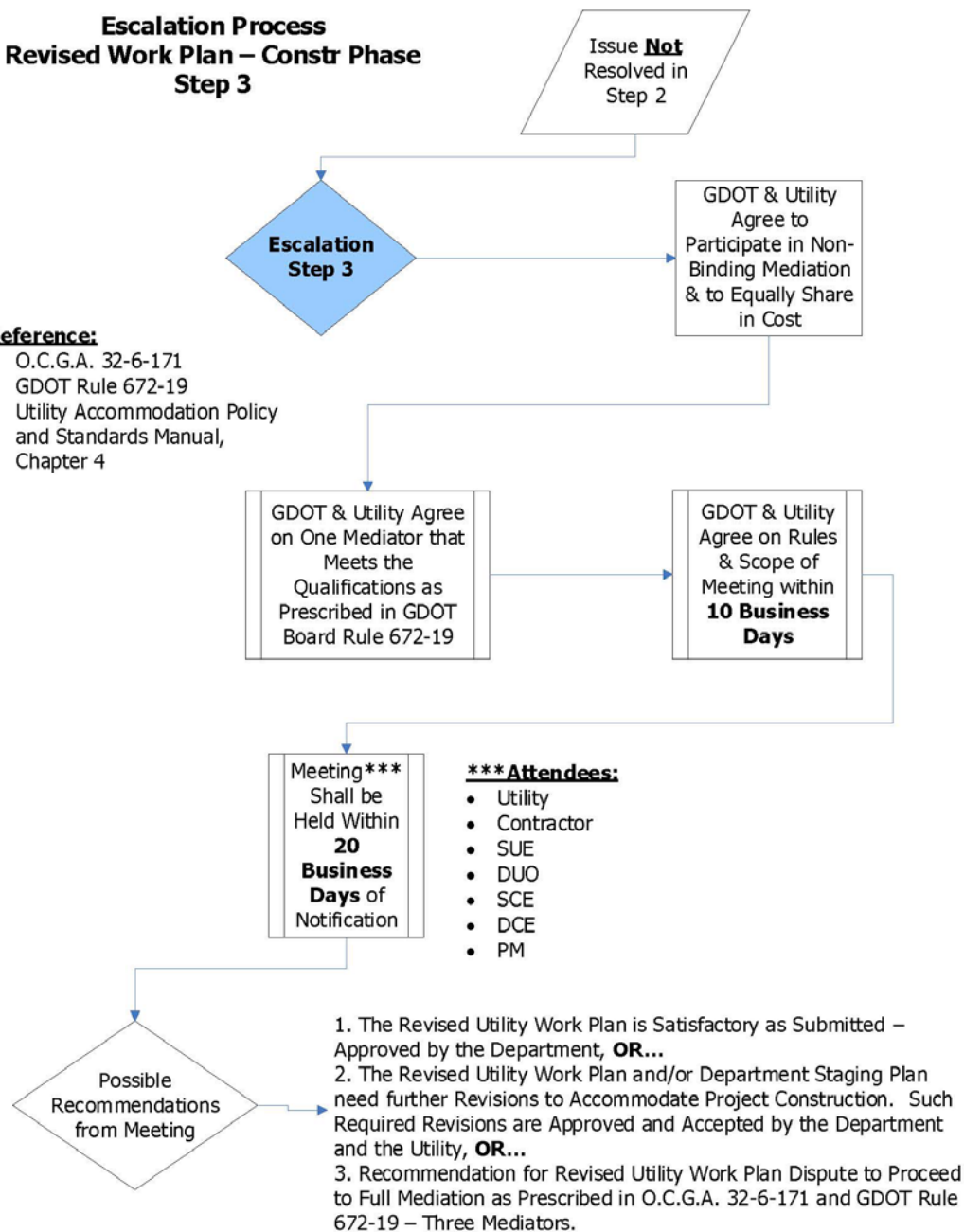




Escalation Process Revised Work Plan – Constr Phase Step 3

Reference:

- O.C.G.A. 32-6-171
- GDOT Rule 672-19
- Utility Accommodation Policy and Standards Manual, Chapter 4



Escalation-Mediation in Construction Phase

- 2. Dispute regarding Utility Damages or Delay Costs (UAM 4.4.C)

Escalation Process Step 1

- Once the Contractor determines the Utility's progress is **at least 20% behind** its approved Work Plan, Contractor will notify the Utility and the Department of such apparent **delay in writing**.
- If such notification is **not timely performed**, the time between the stated 20% behind and the actual date that the Utility/Department receives written correspondence noted above **shall not be considered as part of the Contractor's request for delay**.
- Utility shall respond in **10 business days** with a proposal to cure, or
- In some cases, the complexity of the project may require the Utility to request a coordination meeting to address the identified issues.
- If after **20 business days from the Contractor's initial notice** the dispute cannot be resolved, the dispute shall proceed to Escalation Process Step 2 – State Construction Engineer.

Escalation-Mediation in Construction Phase

Escalation Process Step 1 (cont.):

- If the Utility's proposal to cure the delay **is accepted by the contractor**, then a letter from the State Utilities Construction Manager will be sent out advising the Contractor and Utility that the issue is resolved.
- If the Utility fails to adhere to the approved recovery plan then the Contractor can initiate Escalation Step 2 immediately without going back thru Escalation Step 1.
- No Time Extension is considered.
- In cases where the **Contractor seeks Time and/or Delay Damages**, then he/she shall respond to the letter from State Utilities Construction Manager that the conflict has not been resolved and he/she wants to pursue a Time Extension and/or Delay Damages.
- The dispute shall proceed to Escalation Process Step 2 – State Construction Engineer.



Contractor/Contracting Company's Name

Mailing address

Telephone: /Fax: /E-mail:

Date

Utility Owner's Name

Attn: Mr./Ms./Mrs. Name, Title

Mailing Address 1

Mailing Address 2

RE: GDOT Project No: _____; County: _____
Contract ID: _____; P. I. No: _____
Description of the Project: _____

Escalation Step # 1

Dear Mr./Ms./Mrs. Name:

The above referenced project was let to contract by State of Georgia – Department of Transportation (GDOT) on Month, Date, Year and awarded to Contractor/Contracting Company's Name as the lowest reliable bidder on Month, Date, Year. Construction was authorized on Month, Date, Year with a contract completion date of Month, Date, Year.

Please accept this letter as a notification that effective Month, Date, Year; Utility Owner's Name's work (specify the details of the delay by reviewing the UAS) is 20% or greater behind in removing/relocating/adjusting your facilities on the subject project. As you are aware, Utility Owner's Name was issued Notice to Proceed with facility relocation in a letter dated Month, Date, Year (the date is available from the Preconstruction Conference Utility Report). In a duly executed Utility Adjustment Schedule (UAS) prepared by Mr./Ms./Mrs. Name and Title, dated Month, Date, Year, Utility Owner's Name outlined a total of xxx approved days as per UAS [Section C].

Note # 1: While reviewing the approved UAS, the numbers of days assigned in the UAS are working days [5 days per week] and not calendar days.



Note# 2: The Contractor/Contracting Company must review the Section **B & C** of the UAS which provides specific details of the work plan (which includes the location, description of the utility work, dependent activities, number of days and average number of workers for each operation and any special requirements etc...)

**The Escalation Step 1 Letter shall contain the following information:
(If applicable)**

1. Details about the Special Requirements outlined in the UAS [Section B of the UAS or attached sheet detailing the Special requirements].
2. Details about the status/fulfillment of any special requirements/dependent activities outlined in the UAS [such as clearing and grubbing, placing survey points, placing silt fence, any predecessor activities completed with date and notification date to the Utility Owner about the completion of the predecessor activities etc...].
3. Details of what phase of the Utility Owner's work as per approved UAS is delayed. [Review the Section C of the UAS].
4. Details about the communications/notifications from the Contractor fulfilling the Special requirements of the Utility Owner if any.
5. Documents show the contractor's best efforts for utility coordination - Utility Coordination/Project progress coordination Meeting minutes supporting the utility delays, absence in the Utility Coordination meeting (attendance sheets), notifications of the Utility meeting minutes to the utility company, e-mails requesting for a field visit or proposals or communications about the work schedules etc...
6. The delay details/letter must include:
 - Potential effect to the schedule caused by this delay.
 - Identify all other operations/dependent activities that have been delayed, or are to be delayed.
 - Explain how the Utility Owner's act or omission delayed each operation and estimation of how much time is already lapsed.
 - Explain how this delay is going to affect the overall completion of the project especially (a) shift in the stages (b) bridge works (c) environmentally sensitive issues such as presence of Indiana bat etc.... if any (d) seasonal limitation of the works such as paving operations, planting season etc....

The logic/reason/conclusion behind the Contractor/Contracting Company's Name's assumption/calculation that Utility Owners' Name relocation/adjustment work is



behind schedule after reviewing the aforementioned UAS. It is herewith determined that Utility Owner's Name has been deemed to be 20% or greater behind in relocating/adjusting their facilities in the project limits.

As outlined in the GDOT Utility Accommodation Policy and Standards Manual Chapter 4.4.C., please accept this letter as notification from Contractor/Contracting Company's Name to Utility Owner's Name that utility facilities relocation/adjustment is greater than 20% behind schedule. I look forward to receiving your proposal on rectifying the aforementioned delay. This will allow Contractor/Contracting Company's Name as well as our Sub-Contractors to plan and schedule required construction activities accordingly.

If you have any questions or concerns or need any additional information regarding the preceding contents, please contact me.

Sincerely,

Name,
Worksite Utility Coordination Supervisor or
Contractor/Contracting Company's Name Utilities Engineer/Project Manager

cc: Project File
District Construction Engineer
Asst. District Construction Engineer
State Construction Liaison Engineer
District Utilities Engineer
Asst. District Utilities Engineer
State Utilities Liaison Engineer
Area Engineer
Asst. Area Engineer
Construction Project Engineer/Construction Project Manager
Asst. State Utilities Engineer
State Construction Utilities Engineer



Russell R. McMurry, P.E., Commissioner



GEORGIA DEPARTMENT OF TRANSPORTATION

One Georgia Center, 600 West Peachtree Street, NW
Atlanta, Georgia 30308
Telephone: (404) 631-1000

Date (December 12, 2016)

via E-mail & U.S. Mail

Mr. / Mrs. Tom Smith
American Contracting Company
P.O. Box 12345
99999 Street Names
City, State Zip Code

RE: Project Number: XX
Contract ID: XX
County: XX
Importance of Utility Coordination Meeting

Dear Mr. / Mrs. Tom Smith:

The Department has advised the American Contracting Company (ARC) of the importance of Utility Coordination Meetings to the project schedule. The last Utility Coordination meeting was conducted on September 12, 2016 on the above referenced project.

In accordance with Specification 105.06, "It shall be each utility owner's responsibility to plan with the Contractor a schedule of operations which will clearly set forth at which stage of the Contractor's operations the utility owner will be required to perform his removal and relocation work."

Also in accordance with Special Provision-Utility Conflicts, "Conform to all the requirements of the Specifications as they relate to cooperation with utility owners and the protection of utility installations that exist on the project" and "In accordance with Subsection 105.06 of the Specifications, the Department is not liable for payment of any claims due to utility delays, inconvenience or damage sustained by the Contractor due to interference of any utilities or appurtenances, or the operation of moving them". In order to attain cooperation and coordination between Utility Owners and Contractor, Utility Coordination Meetings should be held at least on a monthly basis.

During the Utility Coordination Meeting, ARC can prepare and submit a detailed report providing the following information:

- a. Potential effect to the schedule caused by the utility conflicts.



Mr. / Mrs. Tom Smith
American Contracting Company
Project No: XXX-XX-XXX; County: XXXX
December 12, 2016
Page 2 of 2

- b. Identification of all operations that have been affected by utility conflict or are to be affected.
- c. Explanation of how the Utility Owner's act or omission will affect each operation and estimation of how much time is required to complete the project.

ARC is reminded that whenever ARC believes that it will be entitled to damages or delay costs from the Utility Owners, the Department advises ARC to follow the procedures outlined in the Special Provision-Utility Conflicts.

Sincerely,

Tom Smith
Area Engineer
(123)456-7890

C: District Construction Manager
Asst. District Construction Manager
District Utility Manager
Asst. District Utility Manager
State Construction Liaison Manager
State Utility Liaison Manger
State Utility Construction Manager
Asst. Area Manager
Construction Project Manager
Project Files



Russell R. McMurry, P.E., Commissioner



GEORGIA DEPARTMENT OF TRANSPORTATION

One Georgia Center, 600 West Peachtree Street, NW
Atlanta, Georgia 30308
Telephone: (404) 631-1000

Date (December 12, 2016)

via E-mail & U.S. Mail

Mr. / Mrs. Tom Smith
American Contracting Company
P.O. Box 12345
99999 Street Names
City, State Zip Code

RE: Project Number: XX
Contract ID: XX
County: XX
Notice of Potential Utility Delay letter / e-mail dated December 10, 2016.

Dear Mr. / Mrs. Tom Smith

The Department acknowledges receipt of American Contracting Company's (ARC) Notice of Potential Utility Delay letter / e-mail dated December 10, 2016 on the above referenced project with regard to the Utility Owner's Name (UO) delays in removal / relocation / adjustment of their facilities on the above referenced project.

As you are aware, UO was issued a Notice to Proceed with a removal / relocation and / or adjustment of their facilities in a letter dated August 12, 2016 authorized by the State Utilities Engineer. In a duly executed Utility Adjustment Schedule (UAS) prepared by Mr. / Mrs. Bob Adams, Title [This person is a UO Representative] dated September 12, 2016, UO outlined a total of XXX days to complete the removal / relocation / adjustment of their facilities.

ARC is reminded that whenever ARC believes that it will be entitled to damages or delay costs from UO, the Department advises ARC to follow the procedures outlined in the Special Provision-Utility Conflicts, " In any case in which the Contractor believes that it will be entitled to damages or delay costs from the Utility Owner in accordance with O.C.G.A. 32-6-171, the Contractor shall provide written notice to the Utility Owner and the Department within ten (10) days from the time of the dispute or potential dispute is identified. The Contractor shall follow the Procedures for Utility Damages or Delay Costs outlined in the latest edition of The Utility Accommodation Policy and Standards Manual. Failure to follow the above will result in waiver of the Contractor's claim against the Utility Owner for damages or delay costs".



Mr. / Mrs. Tom Smith
American Contracting Company
Project No: XXX-XX-XXX; County: XXXX
December 12, 2016
Page 2 of 2

ARC shall prepare and submit to UO and the Department a detailed report providing the following information:

- a. Potential effect to the schedule caused by the delay.
- b. Identification of all operations that have been delayed, or are to be delayed.
- c. Explanation of how UO's act or omission delayed each operation and estimation of how much time is required to complete the project.

In accordance with the Contract, compliance with the provisions of Specification 105.06, 107.21 and Special Provisions will be an essential condition precedent to any recovery of damages by ARC.

Sincerely,

Tom Smith
Area Engineer
(123)456-7890

C: District Construction Manager
Asst. District Construction Manager
District Utility Manager
Asst. District Utility Manager
State Construction Liaison Manager
State Utility Liaison Manger
State Utility Construction Manager
Asst. Area Manager
Construction Project Manager
Project Files

Escalation-Mediation in Construction Phase

Dispute regarding Utility Damages or Delay Costs

Escalation Process Step 2

- District Construction Engineer notifies the State Construction Engineer that the dispute was not resolved during Escalation Step 1.
- State Construction Engineer schedules a Project Utility Delay Mitigation meeting.
- Meeting shall be held within 20 business days of the written notification.

Escalation-Mediation in Construction Phase

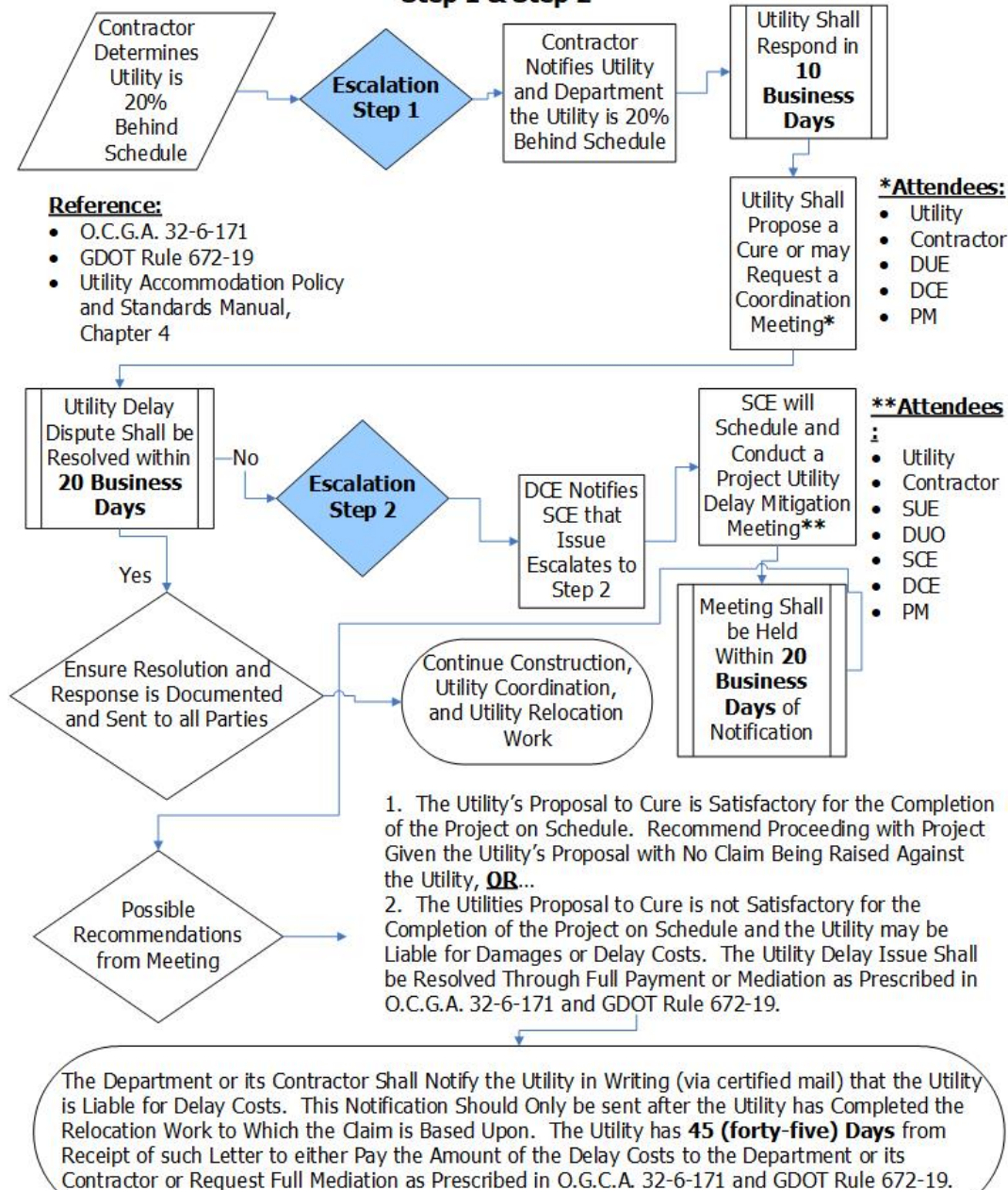
Escalation Step 2 - State Construction Engineer

The following written conclusions/recommendations shall be the outcome:

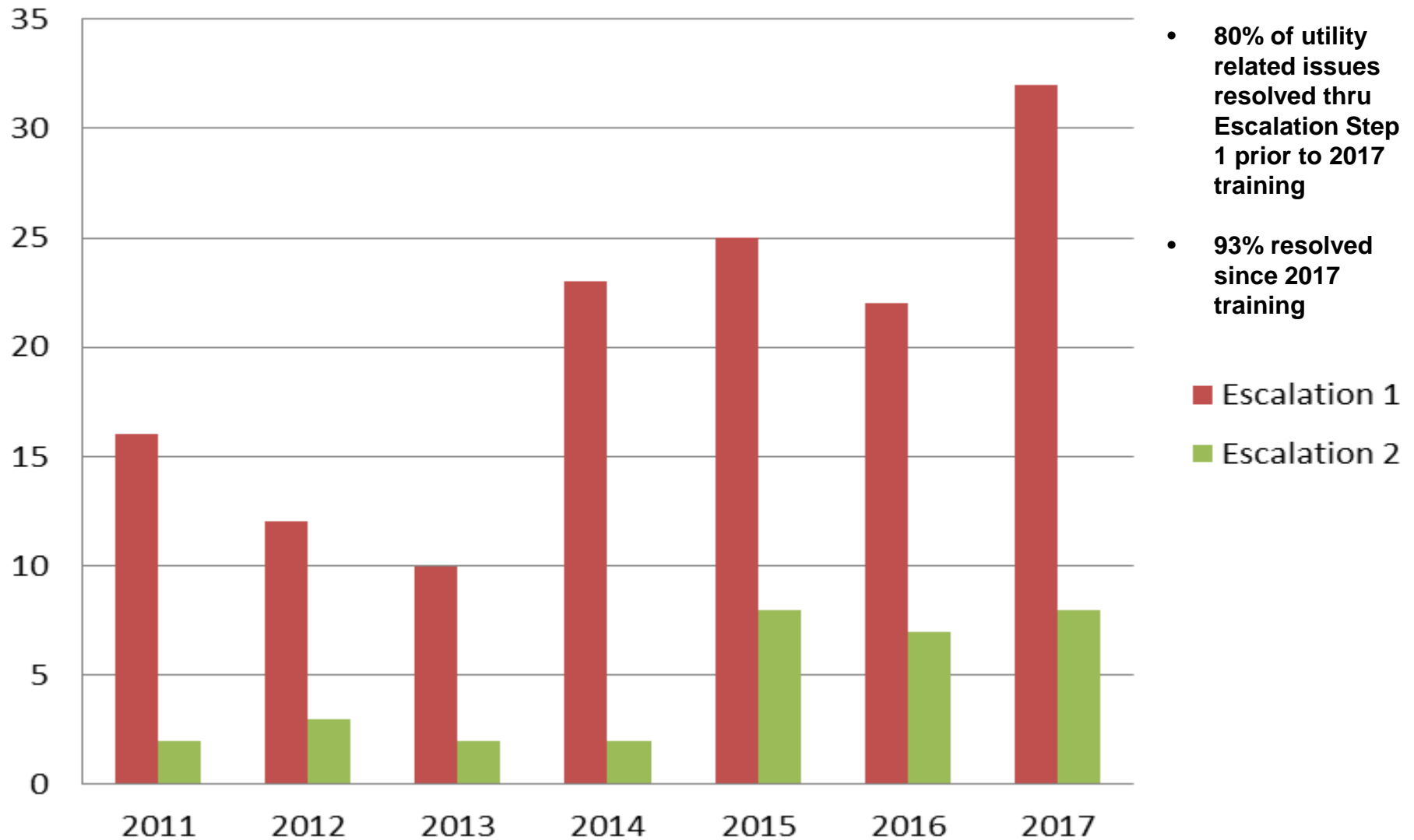
- The Utility's **proposal to cure the delay is satisfactory for the completion** of the project on schedule.
- The Utility's **proposal to cure the utility delay is not satisfactory** for the completion of the project schedule, and the **Utility may be liable for damages or delay costs.**
- **The dispute shall be resolved through payment or full Mediation.**
- The Department or its contractor shall notify the utility in writing that the Utility is liable for such damages or delay costs.
- Notification should be sent only after the Utility has completed the related utility relocation or adjustment work that is related to the damage claim and within 30 calendar days after contract time expires.
- The Utility has 45 days from receipt of notification to either pay the amount of the damages or delay costs to the Department or its Contractor or request full Mediation.



Escalation Process Utility Delays during Construction Step 1 & Step 2



Escalation Cases



Escalation-Mediation w/UAS

Objectives Recap:

- Worksite Utility Coordination Supervisor (WUCS)
 - Role and Responsibilities
- Escalation-Mediation in Construction Phase
 - Dispute regarding Revised Utility Work Plan
 - Dispute related to Damages or Delays related to Utility Relocations



Frequently Asked Questions

- 1.) Please let us know where to procure a copy of the latest 2016 Utility Accommodation Policy & Standards Manual, current edition.

<http://www.dot.ga.gov/PS/Utilities>, under "Policies and Manuals"

- 2.) If the contractor changes the phasing plan, and the utilities revise their Utility Adjustment Schedule (UAS) and extend it, does this extend the contract time?

Not automatically, if the Contractor prompts the plan changes. The utility company is afforded an opportunity to re-evaluate their original UAS. All parties would agree to the revised plan. Any additional contract time resulting from this change would be at the discretion of the Department.

- 3.) Is the UAS a "contract document" or "for information only"?

The UAS is for information only. It is provided as part of the Contract Bid Documents package for the Contractor's use in providing a viable estimate package for work to be performed on the project. The Utility Owner is bound by the approved UAS as far as completing its relocation/adjustment work, if applicable.

- 4.) Based upon section 107.21.G of the GDOT specifications, is the contractor granted additional time for documented utility delays?

When would the contractor not be granted additional time for documented delays?

The goal of escalation 1 is for the utility company to provide a recovery plan that keeps the project on schedule. If this recovery plan is acceptable and the contractor does not seek a time extension, then the delay is cured. If a recovery plan is not acceptable, the escalation step 2 process documents the delay and associated time delay related to this matter. The Department may extend the contract time depending on the items identified during the escalation step 2 process that have created any claimed delay by the contractor. If there is a delay due to a documented UAS issue the Escalation/Mediation process provides for a review of such delay and a decision as to the cause of the delay. If an acceptable recovery plan, and revised UAS, is approved by the Department, along with review and acceptance by the Utility Owner and Contractor, then a time extension may or may not be warranted depending on the circumstances.

- 5.) If the utility company is at or below 20% behind, will the Department grant additional time to the contractor?

The goal is for the contractor to actively manage utility's progress throughout the life of the project. Any possible time extension would depend on the full circumstances surrounding a documented and recognized utility delay and the approval of a recovery plan and revised UAS. Consistent delays by the utility below the 20% threshold should be adequately documented by the WUCS and brought to the Department's attention to



begin a resolution process which may include the recommendation for the contractor to proceed with Escalation. Satisfactory documentation by the contractor is critical to provide support of any such claim.

- 6.) If Escalation procedures are initiated, it is understood that any delay in filing the Escalation will not be considered (i.e. if we wait until 30% behind schedule, we cannot include the damages incurred between 20 and 30%), can we include the damages from 1 to 20%?

The primary intent behind the Escalation process is to allow the contractor to properly coordinate and manage the entire project including the utility adjustments. It is the contractor's responsibility to manage the utility coordination process on any project, just as any other aspect of the work, and to document accordingly the entire process. The documentation of the utility coordination and the development of work in accordance with the UAS will be used by the Department and if needed, the Mediation board, in addressing what damages may or may not be recoverable.

- 7.) What state and federal statutes and regulations govern utilities on public right of way?

Utility companies are required to follow Official Code of Georgia (OCGA) Title 32, 22, 23, 24, 25, and 46, the Code of Federal Regulations (CFR) 645, 646 along with the Utility Accommodation Policy & Standards Manual (UAM), current edition, GDOT Standards and Specifications, and in accordance with FHWA guidance and regulations. These state and federal statutes provides the Department with the authority to manage utilities located on any State Rights of Way.

- 8.) What are the key factors that the Department is looking for us to include in any and all documentation between contractor and utility owners?

The department would be looking for any information to substantiate a potential delay claim. It will be important that the Contractor follow the contract requirements set forth in section 107.21 as it pertains to the Worksite Utility Coordinating Supervisor (WUCS) requirements.

- 9.) If five utilities all have sequential work and no overlap, and they are all over by 15% then we have an increase in duration with no apparent recourse. While not realistic, would our best course of action be to add 15% time into that bid?

Any decision by a contractor to adjust their proposed project schedule and construction methods based on all the documentation provided in the Department's Bid Package, including any UASs, is solely up to each individual contractor.



- 10.) As the Department considers the UAS in assigning Time value to a project, do they include an additional 20% to time as the escalation process cannot begin until the utilities fall 20% behind.

No, the UAS time line is evaluated and considered when setting up contract time. The goal is for the contractor to actively manage utility's progress throughout the life of the project and keep it on schedule.

- 11.) Considering the Contractor is bound to acknowledge that he has considered all existing and proposed locations for utilities in his bid, when an existing utility is shown in the plans and has no proposed plan for relocation, but during the course of construction that utility is found to be in conflict, what is the contractors recourse for ensuring the utility is relocated in a timely manner and also recouping time delays as the conflict was not addressed through the utility relocation plans that were provided at bid time?

If a previously unknown conflict occurs than the utility owner would be required to submit a Work Plan including a UAS to accommodate the relocations required to the contractor and the Department for review and approval. Depending on the circumstances surrounding the new conflict, for example was it an error on the utility owners' part or was it due to a plan change by the Department or the contractor, any number of factors may be reviewed and utilized in determining the best plan of action and the responsible party for appropriate delay costs, if any. Section 4.4 B. of the UAM provides guidance on handling the previously unforeseen utility removal, relocation, or adjustment.

- 12.) How do we measure 20% behind on the UAS?

That effort comes from ongoing proper management and coordination efforts with all the Utility Owners involved with the project and fully understanding how their progress is based on their UAS. This can come from a traditional linear calculation based on their overall relocation/adjustment efforts. However, for some relocations/adjustments, a traditional linear method may not be appropriate as the various appurtenances, cutovers, final connections, removals, etc. have to be accounted for as well. The effort made by the WUCS to fully understand each individual UAS and the relationship between all UAS's is critical to developing a reliable progress schedule in order to determine this measurement. As required in section 107.21, the WUCS is required to provide to the Department's Engineer a Progress Schedule Chart which includes the utility companies controlling items of work. This Chart is your starting point in measuring the 20% threshold and utility progress. It is recommended that you develop a progress plan with the individual utility companies by which you will measure from and discuss this progress during the utility coordination meetings.

- 13.) What details are needed in the initial escalation step 1 letter?

The Escalation Step 1 Letter shall contain the following information: (If applicable)

1. Details about the Special Requirements outlined in the UAS [Section B of the UAS or attached sheet detailing the Special requirements].



2. Details about the status/fulfillment of any special requirements/dependent activities outlined in the UAS [such as clearing and grubbing, placing survey points, placing silt fence, any predecessor activities completed with date and notification date to the Utility Owner about the completion of the predecessor activities etc...].

3. Details of what phase of the Utility Owner's work as per approved UAS is delayed. [Review the Section C of the UAS].

4. Details about the communications/notifications from the Contractor fulfilling the Special requirements of the Utility Owner if any.

5. Documents show the contractor's best efforts for utility coordination - Utility Coordination/Project progress coordination Meeting minutes supporting the utility delays, absence in the Utility Coordination meeting (attendance sheets), notifications of the Utility meeting minutes to the utility company, e-mails requesting for a field visit or proposals or communications about the work schedules etc...

6. The delay details/letter must include:

Potential effect to the schedule caused by this delay.

Identify all other operations/dependent activities that have been delayed, or are to be delayed.

Explain how the Utility Owner's act or omission delayed each operation and estimation of how much time is already lapsed.

Explain how this delay is going to affect the overall completion of the project especially (a) shift in the stages (b) bridge works (c) environmentally sensitive issues such as presence of Indiana bat etc....if any (d) seasonal limitation of the works such as paving operations, planting season etc....

14.) Is the schedule based on a 4 day or 5 day work week?

In accordance to Section D of the UAS, the time shown excludes weekends, holidays, weather days, and non-productive time. The contractor will need to assume a 5 day work week, typically 40 hours, unless otherwise noted in the work plan. The utility company does not get any additional time if they use a contractor that decides to work a schedule different than a planned 5 day work week.

15.) What happens in the case where a completely unknown utility facility (i.e. private water line, etc.) is discovered within the limits of a project and is in conflict with construction?

In the case where a previously unknown and unidentified facility is discovered on a project then the Contractor should immediately notify the GDOT Project Engineer and the District Utilities Office for assistance in identifying the Utility Owner and guidance on how to proceed to resolve the conflict. The Department will identify the Owner and



begin immediate coordination efforts to develop an acceptable Work Plan including Utility Adjustment Schedule to minimize any negative impacts to the project's schedule. The Contractor would be involved in discussions to help identify an acceptable resolution to all parties.

- 16.) What is a Contractor's incentive to approve a revised Utility Adjustment Schedule developed as part of a Utility Owner's recovery plan?

The Contractor is required via the specifications to coordinate with all Utilities on the project. In accordance with these requirements and the requirements of the Escalation-Mediation process, the Utility Owner has the responsibility of developing a recoverable Work Plan when so required due to an identified delay on the project. If the Contractor wishes to invoke an escalation proceeding at a later date the Contractor has the responsibility to work with the Department in evaluating any proposed Recovery Plan as it relates to maintaining the project's schedule and to ensure continued compliance with the Escalation process. If the Contractor refuses to assist in this matter then that could have a bearing on any Escalation/Mediation process evaluation.

- 17.) What is the primary purpose of the Emergency Utility Response Plan (EURP)?

The primary intent of the EURP is to ensure that the Contractor has coordinated properly with all Utility Owners to identify facilities along with their respective switches, valves, etc. so the information is kept current and made available in the event of an emergency situation. In the event an emergency arises, the Utilities shall have provided emergency contact info to the Contractor and in conjunction with the EURP, the Contractor shall make this plan available to the respective personnel as identified in 107.21.E. of the specification to minimize any impacts due to the emergency situation. The Utility contact information is identified in the Emergency Utility Response Information form (EURI) and is obtained by the Department and made available to the Contractor. The EURP and the EURI forms are available on the State Utilities Office website.

District Utilities Managers

District	Location	Engineer	Phone	Email
1	Gainesville	Robby Oliver	(770) 533-8320	roliver@dot.ga.gov
2	Tennille	Jamie Lindsey	(478) 232-9037	jlindsey@dot.ga.gov
3	Thomaston	Scott Parker	(706) 646-7603	sparker@dot.ga.gov
4	Tifton	Stacy Aultman	(229) 391-5445	saultman@dot.ga.gov
5	Jesup	Dallory Rozier	(912) 530-4407	drozier@dot.ga.gov
6	Cartersville	Jun Birnkammer	(678) 721-5321	jbirnkammer@dot.ga.gov
7	Chamblee	Shun Pringle	(770) 216-3916	springle@dot.ga.gov

GDOT SUO Contacts

Patrick Allen – State Utilities Administrator

pallen@dot.ga.gov

Kerry Gore – Asst. State Utilities Administrator

kgore@dot.ga.gov

Jan Phelps – Asst. State Utilities Administrator

japhelps@dot.ga.gov

Yulonda Pride-Foster – State Utilities Preconstruction Manager

ypride@dot.ga.gov

Shajan Joseph – State Utilities Construction Manager

sjoseph@dot.ga.gov

Teresa Scott – State Utilities Liaison (South)

tscott@dot.ga.gov

References

SENATE BILL 19

<http://www.legis.ga.gov/Legislation/en-US/display/20072008/SB/19>

GDOT RULE – CHAPTER 672-19

GOVERNING UTILITIES MEDIATION PROCESS

(Georgia Secretary of State website –

[http://rules.sos.state.ga.us/cgi-bin/page.cgi?g=STATE DEPARTMENT OF TRANSPORTATION %2FGOVERNING UTILITIES MEDIATION PROCESS%2Findex.html&d=1\)](http://rules.sos.state.ga.us/cgi-bin/page.cgi?g=STATE_DEPARTMENT_OF_TRANSPORTATION_%2FGOVERNING_UTILITIES_MEDIATION_PROCESS%2Findex.html&d=1)

References

GDOT Office of Utilities web site:

<http://www.dot.ga.gov/PS/Utilities>

Program Guide, Utility Relocation and Accommodation on Federal-Aid Hwy Projects. (6th Edition, January 2003)

<http://www.fhwa.dot.gov/reports/utilguid/>

Code of Federal Regulations, Title 23, Part 645 Part A & B Utilities

<http://www.fhwa.dot.gov/legsregs/directives/fapg/cfr0645a.htm>

<http://www.fhwa.dot.gov/legsregs/directives/fapg/cfr0645b.htm>

District Quarterly Utilities Meetings

<http://www.dot.ga.gov/PS/Utilities#tab-7>

Questions?

