

Guide and / or I.M. Revision Notice

To: Cities, Counties, and Consultants

Date: December 11, 2008

From: Office of Local Systems

Revision Notice Number: 2008-04

The Federal-aid Project Development Guide (Guide) and / or Instructional Memorandums to Local Public Agencies (I.M.s) have been revised as indicated below. This revision notice identifies all new or revised documents and includes a summary of the significant changes. Where appropriate, it also references the existing Project Development Information Packet (Packet) or County Engineers I.M. documents that have been replaced or superseded.

The Iowa DOT does not provide paper copies of the Guide or I.M.s. Since these documents are updated frequently, we recommend using the on-line version of the [Guide and I.M.s](#) for reference. However, if you prefer using paper copies, all new or revised documents have been included in this file for convenient printing. If you maintain a paper copy of these documents, please remove the old documents and replace them with the new documents. Note: This file is designed for double-sided printing; therefore, all documents with an odd number of pages will be followed by a blank page.

For more information and additional download options, refer to the [Guide and I.M.s](#) web page. If you have any questions concerning these revisions, please contact Charlie Purcell at Charlie.Purcell@dot.iowa.gov or 515-239-1532.

***** PLEASE NOTIFY ALL AFFECTED PERSONNEL OF THIS CHANGE *****

Document Title or I.M. Number	Summary of Significant Revision(s)
I.M. Table of Contents December 11, 2008	The I.M. Table of Contents has been revised to reflect new or revised I.M.s, as indicated below.
I.M. 3.310 Federal Participation in In-House Services December 11, 2008	This I.M. is new. It replaces the documents previously contained in the Project Development Information Packet, Index No. 2 – In-House Engineering. Substantive changes from the previous guidance include the following: <ul style="list-style-type: none"> • Guidance for requesting reimbursement of indirect costs was added. • The discussion of eligible activities was also expanded to allow reimbursement of activities that might not be strictly engineering in nature (see “Eligible Services, item number 4). • The Administering Office will request a pre-audit in all cases, regardless of the estimated cost. • Additional instructions regarding the processing of the final audit report have been included.
I.M. 3.640 Utility Accommodation and Coordination December 11, 2008	This I.M. is new. It provides instructions for accommodating utilities located on non-primary highway rights-of-way and recommended procedures for coordinating with utilities located in or adjacent to such roadways.
I.M. 3.810 Federal-aid Construction by Local Agency Forces December 11, 2008	This I.M. is new. It replaces the documents previously contained in the Project Development Information Packet, Index No. 3 – Force Account. Substantive changes from the previous guidance include the following: <ul style="list-style-type: none"> • Guidance for requesting reimbursement of indirect costs was added. • The Administering Office will request a pre-audit in all cases, regardless of the estimated cost. • Additional instructions regarding the processing of the final audit report have been included.

Instructional Memorandums To Local Public Agencies

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Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M. as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Guide). These I.M.s are marked with an asterisk (*). For more information about the relationship between the Guide and I.M.s, refer to the [Guide and I.M.s web page](#).

Note: The I.M.s are currently in the process of being transitioned into a new format and numbering system. New or updated I.M.s will use the new format. Existing I.M.s will remain in the old format until they are revised or updated. Some of the I.M.s are not yet complete, as shown in light grey text. Some incomplete I.M.s will be based on an existing Project Development Information Packet document, some will be based on an existing County Engineers I.M. that will be renumbered, and some will include entirely new content. Where applicable, a reference and link to the existing Packet document or County Engineers I.M. is provided.

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INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities	Date: December 11, 2008
From: Office of Local Systems	I.M. No. 3.640
Subject: Utility Accommodation and Coordination	

Contents: This Instructional Memorandum (I.M.) provides instructions for a Local Public Agency (LPA) to accommodate utilities located on non-primary highway rights-of-way and recommended procedures for coordinating with utilities located in or adjacent to such roadways that are affected by LPA transportation projects. This I.M. also includes the following attachments:

[Attachment A](#) – Utility Coordination Flowchart

[Attachment B](#) – Utility Coordination Checklist (also available in [Microsoft Word](#) format)

Definitions

The terms used in this I.M. have the same meaning as defined in the [Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System](#), unless specifically noted otherwise.

Primary Highways

As noted in the Contents section above, this I.M. is focused on utility accommodation and coordination for non-primary highways. Nevertheless, because LPAs are often involved with cooperative Primary highway projects, some guidance is included here. Cooperative projects are those where both the Iowa Department of Transportation (Iowa DOT) and LPA are involved, financially or otherwise, in the development and / or construction of the project. For such projects, the LPA may be responsible for some or all of the utility coordination activities, if so designated in the project agreement. In such cases, the LPA shall follow the [Iowa DOT Utility Accommodation Policy](#). The LPA shall also follow the Iowa Guide to Utility Coordination, which provides additional detailed guidance and procedures for coordinating with utilities affected by Primary highway projects.

For additional assistance or questions related to Primary highway utility accommodation or coordination, contact the appropriate District Utility Coordinator or utility relocation staff, as listed on the [Iowa DOT Utility Coordination Contacts](#) web page.

Utility Accommodation

In accordance with [23 CFR 645 B](#), the Iowa DOT is required to develop and implement a policy for accommodating utilities located on all Federal-aid highway rights-of-way. Federal-aid highways include roadways of all classifications, except local roads and rural minor collectors, as designated on the [Federal Functional Classification maps](#) provided by the Iowa DOT.

In response to this Federal requirement, the Iowa DOT has developed, with input from local governments and utility companies, and with the approval of the Federal Highway Administration (FHWA), a [Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System](#). This policy shall be followed for all projects located on non-primary Federal-aid highways. The Iowa DOT recommends LPAs use a similar policy and / or permitting procedures for other non-primary roadways under their jurisdiction.

Utility Coordination

Introduction

To effectively coordinate utility adjustments, it is critical for LPAs to work with utilities affected by their transportation projects using a pro-active, cooperative approach. This approach should have as its foundation timely and frequent communication that provides reliable information regarding the nature and schedule of proposed transportation projects. Likewise, it is critical that utility companies respond by providing timely and accurate information concerning the anticipated impacts to their facilities. Utilities should also cooperate with LPAs to adjust their facilities when needed, preferably in advance of project construction if possible. If this is not possible, utilities should work in close coordination with the LPA and / or their contractors to adjust their facilities in a timely manner. In summary, both parties are responsible to ensure effective utility coordination throughout the development and construction of transportation projects.

Therefore, the Iowa DOT strongly recommends both LPAs and utilities implement the following procedures for utility coordination on all transportation projects that require utility adjustments. These procedures are presented in a recommended sequence, beginning with the project concept and continuing through construction. Refer to [Attachment A](#) – Utility Coordination Flowchart, for a graphical summary of these procedures. Refer also to [Attachment B](#) – Utility Coordination Checklist, which may be used to track and document completion of the major milestones in the utility coordination process. Attachment B is also available in [Microsoft Word](#) format.

When considering the utility coordination procedures outlined below, please note the following:

- These procedures are presented as “best practices” of utility coordination. They do not represent a legislative or regulatory requirement, except where indicated otherwise.
- These procedures are not intended to supersede the requirements of the LPA’s existing utility accommodation policy and / or utility permit process.
- The timeframes included below are intended to serve as general guidelines. Because the circumstances of each project may vary significantly, it is not possible to specify timeframes that will fit every situation. Some projects may require significantly more time than what is suggested; others may require significantly less. When planning a project’s schedule, the following items are especially important to consider:
 - Lead times for delivery of certain materials can greatly extend the time required to complete the utility adjustments. Examples include steel poles, fiber optic cable, high pressure pipelines, and certain types of conduits or manholes. Some of these materials may require up to 6 months lead time.
 - If replacement property or easements must be acquired for utilities, this should be factored into the project schedule.
- These procedures are not intended for use in emergency situations. Emergency work involving utilities also requires close coordination, but it may be neither possible nor prudent to follow all these procedures.
- These procedures rely heavily upon proper notice and communications. Both LPAs and utilities may want to consider the use of registered mail to ensure that notices or other critical communications have been received.
- If a utility fails to respond or participate, it does not affect the LPA’s ability to proceed with the project. In such cases, the LPA should carefully document its efforts to contact the potentially affected utilities.

Project Concept

During this stage of project development, the LPA develops the general scope and type of work. For Federal-aid projects, the project concept shall be documented using the Concept Statement (Form 517001), in accordance with [I.M. 3.105](#), Concept Statement Instructions. For non-Federal-aid projects, the project concept can be documented using a letter or e-mail. In either case, as a minimum, the project concept should include the following:

1. A general description of the proposed work.
2. The proposed project limits. If possible, the physical limits should be designated by a specific route or street name with approximate beginning and ending points. If several routes or alternatives will be considered, the LPA should identify a general corridor in which the project will likely be constructed.
3. A location map showing the proposed project limits or corridor.
4. If available, the proposed roadway or street typical section.

Initial Utility Research

During this stage of project development, the LPA should research available records to determine if any utilities may exist within the project limits or corridor, as defined by the project concept. Possible sources of information may include: previously approved utility permits or agreements, field investigations or surveys, or the Design Request System provided by the [Iowa One Call](#) service.

The LPA should also prepare a preliminary list of utility contacts for the project. Contact information may be obtained using the Iowa One Call Design Request System, the Iowa DOT’s [Utility Company Contacts](#), or from previous utility company contacts.

At this point, it is not necessary to determine if utilities will be affected. Utilities should indicate whether or not they are affected in response to the Initial Utility Notification or at the Utility Coordination Meeting.

Initial Utility Notification

All utilities that may be within the project limits or corridor should be notified as early as possible. As required by Iowa Code Section 318.9, utilities in the highway right-of-way that must be adjusted shall be provided a minimum of 90 days notice. However, in order to allow adequate time for the utility coordination activities outlined in this I.M., the LPA should send the Initial Utility Notification approximately 4 to 6 months prior to when utility adjustments need to begin.

After determining which utilities may be present, the LPA should notify those utilities in writing and request them to confirm if they have facilities in the project area. If so, the LPA should request utilities to provide available information regarding the location of their facilities. At a minimum, the LPA's written notice should include the following:

1. Date of the notice
2. Project concept information (as described above)
3. LPA contact information (name, address, phone number, and e-mail of LPA or consultant staff person responsible for utility coordination)
4. Date the requested utility information should be provided (should allow at least 30 days from receipt of notification)
5. A request to confirm the name and contact information of the appropriate utility contact person for the proposed project.
6. If known, the anticipated project schedule (approximate letting date and / or beginning of construction)
7. If scheduled, the date, time, and location of the Utility Coordination Meeting

Utilities should acknowledge the Initial Utility Notification within 14 calendar days of receipt. Within 30 calendar days of receipt, utilities should respond by either confirming they do not have any facilities within the proposed project limits or by providing available information concerning their facilities. This information should include a general description of the type of facilities present and their location. The location may be indicated by providing utility system or plant maps, Geographic Information System (GIS) data, or other available data.

Utility Coordination Meeting

In accordance with Section 1 of House File 2651, 82nd General Assembly (Iowa Code Section 306.47), the LPA is required to meet with affected utilities during the design phase of the project. To comply with this requirement, the LPA shall invite all utilities within the project limits or corridor to at least one Utility Coordination Meeting. Additional meetings may be necessary, depending on the impacts to utilities and the complexity of the project. This meeting may be combined with other site visits and / or project design meetings, but adequate time must be allowed for discussion of utilities.

Notice of the Utility Coordination Meeting may be provided separately or in combination with the Initial Utility Notification. In either case, notice of the meeting should be provided at least 14 calendar days in advance. Use of certified mail is recommended. The notice should include the following:

1. The date, time and location of the meeting.
2. The anticipated project schedule (approximate letting date and / or beginning of construction).

The Utility Coordination Meeting has several objectives:

- provide an opportunity to confirm or establish the appropriate contact persons for both the LPA and the utility companies
- review the project concept
- review the proposed schedules of both the transportation project and possible utility adjustments, including anticipated lead times for delivery of materials
- communicate the goals and objectives of the project
- help identify the location of existing utility facilities
- clarify the status of utilities facilities (i.e., whether they are active, abandoned, or planned for removal, relocation or abandonment in the near future)
- discuss options that would limit the impact of the project construction on utility facilities
- provide an opportunity for the affected utilities to discuss and coordinate adjustments of their facilities with one another

In order to allow meaningful input from the utilities, the Utility Coordination Meeting should be held early in the design phase of the project. If held too late, it may be difficult to adjust the project plans without incurring additional costs and / or delays. Therefore, the Utility Coordination Meeting should be held approximately 3 to 5 months prior to when utility adjustments need to begin.

The Utility Coordination Meeting should be well documented, including an attendance list and a written summary of the issues discussed and / or decisions reached. After the meeting, the LPA should prepare and distribute the meeting notes to all attendees and retain a copy for their project file. Copies of the meeting notes should also be sent to all invited utilities that did not attend.

Preliminary Plan Submittal

For projects that will be let through the Iowa DOT, the preliminary plans shall be developed in accordance with [I.M. 3.405](#), Preliminary Plans. If available, the information provided by the utilities should be used by the LPA's designer to minimize impacts to utility facilities, even for those utilities that are required to move at their own expense. This does not mean LPA designers should attempt to avoid utility facilities at all cost, but simply that designers should strive to minimize the overall cost of the project to the general public, taking into consideration the potential costs to both the LPA and the utilities.

Preliminary plans should be complete enough to allow utilities to determine possible impacts to their facilities and begin preparing their work plan, including design of any necessary facility adjustments. As a minimum, preliminary plans submitted to utilities should include the following information:

1. Title sheet, including a location map, type of work, project number, and other general project information
2. Typical sections
3. Horizontal and vertical geometry, such as plan and profile sheets, elevations, or grading plans
4. Existing and proposed right-of-way and easements
5. Cross sections
6. If available, the locations of existing utility facilities
7. Utility contact information

The LPA should submit preliminary plans to all utilities within the project limits or corridor. The submittal should be accompanied by a cover letter that includes the following:

1. The anticipated project schedule (proposed letting date and / or beginning of construction).
2. A request that all affected utilities prepare a Utility Work Plan and submit it to the LPA for review.

Utility Work Plan

If its facilities need to be adjusted, the utility should prepare and submit a Utility Work Plan to the LPA within 30 calendar days after the receipt of the preliminary plans. If submittal within 30 days is not possible, the utility should notify the LPA and provide an approximate date when the Utility Work Plan will be submitted. As a minimum, the Utility Work Plan should include the following information:

1. A narrative description of the work to be performed
2. A drawing showing the existing and proposed locations of the utility facilities in relation to the transportation project improvements, including the existing and proposed right-of-way
3. If the proposed utility adjustments are dependent on another utility owner or require coordination with other entities
4. If the proposed utility adjustments can be accomplished prior to beginning construction of the transportation project or if work must be coordinated with transportation project contractor
5. The estimated number of working days to complete the utility adjustments, including the anticipated lead time for delivery of materials
6. If permits or approvals from other agencies are required to complete the utility adjustments, a list of such permits or approvals and the estimated date such approvals will be obtained
7. If the utility adjustment is reimbursable, copies of documents that verify the utility has a property interest in its current location, and a detailed cost estimate for the utility adjustments (for more information see the "Utility Compensation" section below)

Note: If some or all of the above information is required as part of LPA's utility permit request or application form, and such a permit is required by the LPA, the permit request or application form, along with other information as appropriate, may be used to document the Utility Work Plan.

Within 14 calendar days of receipt, the LPA should review the Utility Work Plan and provide comments to the utility. If the LPA's review will require more than 14 days, the LPA should notify the utility and provide an approximate date when comments will be provided. The LPA should review each Utility Work Plan for compatibility with the following:

- the appropriate utility accommodation policy, if any
- the project requirements, such as design or environmental restrictions
- the project schedule
- other Utility Work Plans (if multiple utilities are involved)

If the Utility Work Plan is acceptable, the LPA should promptly notify the utility. If the Utility Work Plan is not acceptable, the utility should revise and resubmit its Utility Work Plan within 14 calendar days of receiving notice from the LPA.

Utility Compensation

Utilities may or may not be entitled to receive compensation for the cost of adjusting their facilities, depending on the terms of the applicable utility accommodation policy and / or utility permit. Utilities located on existing rights-of-way for Primary highways and non-primary Federal-aid highways must adjust their facilities at their own expense. Typically, this is also true for utilities located in the rights-of-way of other roadways; however, the LPA should verify the terms of its policies and / or permits for such roadways.

If a utility is entitled to compensation, an agreement should be prepared. This agreement should include the following as a minimum:

1. A description of the work to be performed by the utility
2. A detailed cost estimate
3. The method by which the work will be performed (e.g., utility forces, LPA forces, or by contract)
4. The method of compensation (e.g., actual cost, unit cost, lump sum, etc.)
5. Procedures for determining and applying credit for betterments and salvaged materials

For additional guidance concerning the content of utility agreements, refer to [I.M. 3.650](#), Federal-aid Participation in Utility Relocations. The procedures outlined in I.M. 3.650 are required for Federal-aid projects if the LPA plans to seek Federal-aid reimbursement for the cost of compensating utilities for the adjustment of their facilities. Although not required, the Iowa DOT recommends following the same procedures for non-Federal-aid projects, or if Federal funds will not be used for reimbursement of utility compensation costs.

If a utility is entitled to compensation, the LPA and utility should work together to draft an agreement. Most utilities have a standard form of agreement that may be used. A sample form of agreement used by the Iowa DOT is also available upon request. If Federal-aid reimbursement of the utility compensation costs will be sought, the LPA should also submit a draft agreement to the Iowa DOT for review and FHWA authorization, as per I.M. 3.650. A mutually acceptable compensation agreement should be executed before notice to proceed with utility adjustments is given to the utility. For all projects let through the Iowa DOT, a fully executed compensation agreement is required before a project may enter the letting process.

Acquisition of Utility Property Rights

If acquisition of utility property interests are required by the transportation project, the LPA must secure the necessary property interests in the same way as other private property required for the project. Typically this occurs when the utility is located in its own easement or property outside the existing highway right-of-way.

In such cases, after the utility property interests have been acquired, the LPA should send the utility a Disclaimer of Interest for the affected utility properties. After execution by both the utility and the LPA, the LPA should file the Disclaimer of Interest with the appropriate County Recorder. To obtain an example Disclaimer of Interest form, contact the appropriate District Utility Coordinator (see "Contact Information" section below). The compensation agreement should also contain a provision requiring the utility to execute a Disclaimer of Interest, as described above.

If the utility elects to relocate to a new easement or property outside of the proposed highway right-of-way, the cost of such replacement property rights should be included in the compensation agreement. Either the LPA or the utility may be responsible for acquiring the replacement utility easement or property, as specified in the compensation agreement. If the LPA is responsible for obtaining a new easement, it should coordinate

closely with the utility to ensure the necessary restrictions are included (e.g., limits on placement of trees or other landscaping items by the property owner).

Utility Permits

For any utility facilities that will be located within the highway right-of-way, the LPA should require the utility to obtain a permit. A permit review and approval process is important because it helps effectively manage and coordinate the use of the highway right-of-way by utilities. This is important for both new installations (i.e., facilities not currently located within the right-of-way) and adjustments of existing utility facilities (i.e., facilities already located within the right-of-way).

In either case, the LPA should be careful to review permit applications for potential conflicts with upcoming highway projects. As a minimum, this should include all projects that are currently programmed, and any others not programmed but anticipated within the foreseeable future. If a permit request may be affected by an upcoming transportation project, the LPA should consider delaying issuance of the utility permit until the transportation project design has been finalized. This reduces the possibility that new utility installations or utility relocations will be affected by the proposed transportation project.

The level of review performed by the LPA will depend on the stage of development of the proposed project(s). If a project is still in the planning or conceptual stage, the exact type and limits of construction are not known; therefore, the reviewer may only be able to check for obvious conflicts with the proposed highway improvements. If the proposed project is in the preliminary or final design stage, a more detailed review can be performed. The following items, as applicable, should be reviewed for utility permit requests:

1. Compliance with the appropriate utility accommodation policy.
2. Check locations of proposed utility facilities with respect to the proposed highway improvements, including: slope intercept lines, fill heights, driveways, culvert or sewer installations, bridge locations, construction staging, and areas for storage of materials and / or equipment. Any conflicts should be resolved before granting a permit.
3. Determine if above-ground installations will conflict with the recommended clear zone. If so, the facilities should be redesigned to be located outside the recommended clear zone if possible. For additional guidance, refer to [I.M. 3.215](#), Clear Zone Guidelines.
4. Determine if above-ground installations may conflict with aerial clearances required for construction cranes. If so, they should be redesigned to allow adequate room for construction operations.
5. Determine if above-ground installations will interfere with the desirable sight distance. If so, they should be redesigned to eliminate or minimize sight distance restrictions.
6. If the utility's plan includes proposed future expansion of utility facilities, check the proposed future expansions for possible conflicts.
7. Determine if the utility's plan contains appropriate erosion control measures.

Upon receipt of a utility permit request, the LPA should review and provide a response within 14 calendar days. If acceptable, the LPA should document the permit approval by signing the permit application form, or if a form is not used, by sending a letter of approval to the utility. If the request is not acceptable, the LPA should explain the reasons why. The utility should then revise their permit request as needed and resubmit.

Final Plan Submittal

For projects that will be let through the Iowa DOT, the final plans shall be developed in accordance with [I.M. 3.505](#), Check and Final Plans. For locally let projects, the final plans shall include all of the information normally included in the bid documents for local lettings. In either case, the plans should also include the contact information for all utilities with facilities located on the project.

In addition, if some or all of the utility adjustments will occur during construction of the transportation project, the final plans should explain the type of coordination that will be required. This information may be included on the plans and / or as an attachment to the bid documents. As a minimum, this information should include:

1. The names of affected utilities
2. The type and size of the affected facilities
3. The approximate location of utility facilities and any known utility conflicts
4. A summary of the work to be completed by the utilities, as specified in their approved Utility Work Plans.

When final plans are complete, the LPA should send a copy to all utilities with facilities within the project limits. The LPA's final plan submittal should be accompanied by a cover letter that includes the following:

1. The anticipated project schedule (proposed letting date, anticipated beginning of construction, and contract period, if known).
2. If scheduled, the time, date, and location of the pre-construction meeting.

If significant changes to the type or location of the transportation improvements have been made since the preliminary plan submittal, these should be identified. If easily described, this information can be included in the cover letter. If the changes are more complex, the plans should be marked-up to indicate the changes using highlighter, clouding, or other visible means.

Work Plan Revisions

If changes to the plans require changes to a previously submitted or approved Utility Work Plan, the utility should notify the LPA and submit a revised Utility Work Plan for review and approval within 14 calendar days of receipt of the final plans. Within 14 calendar days of receipt from the utility, the LPA should review the revised work plan and provide comments or notification of approval.

If the utility has already completed adjustments to its facilities after receipt of notice to proceed from the LPA, and the changes to the final plans will require the facilities to be adjusted again, the utility should be entitled to compensation for the costs of such adjustments.

Notice to Proceed

After the Utility Work Plan has been approved, and after the compensation agreements and utility permits have been approved, as applicable, the LPA should provide written notice to proceed to each affected utility. Such notice should be provided at least 14 calendar days prior to when the utility adjustments must begin.

Please Note: For Federal-aid projects, Environmental Concurrence, and if Federal reimbursement is desired, FHWA Authorization of utility costs, must be obtained prior to beginning construction of any utility adjustments. For more information, refer to [I.M. 3.650](#), Federal-aid Participation in Utility Relocations.

Pre-Construction Meeting

The LPA should invite all affected utilities to the pre-construction meeting. Notice of this meeting should be provided at least 14 calendar days in advance. The pre-construction meeting provides an excellent opportunity to coordinate any utility adjustments that will be concurrent with the transportation project construction. As a minimum, the following items should be discussed at the pre-construction meeting:

1. Updates to either LPA or utility contact information (changes may have occurred since the plans were developed)
2. If the necessary utility adjustments are not complete, the current status and the proposed schedule for completion.
3. Whether or not any utility adjustments are dependent on transportation project construction, or vice-versa.
4. Whether or not any utility adjustments may impact environmentally sensitive areas, and if so, the project constraints for working in or around those areas.
5. Installation and maintenance of erosion control measures for utility adjustment work.

The pre-construction meeting should be well documented, including an attendance list and a written summary of the issues discussed and / or decisions reached. After the meeting, the LPA should prepare and distribute the meeting notes to all attendees and retain a copy for their project file. Copies of the meeting notes should also be sent to all invited utilities that did not attend.

Construction

If utility adjustments will be concurrent with construction of the transportation project, close coordination between the LPA, the utilities, and the contractor will be required. The LPA should invite utility representatives to regularly scheduled construction progress meetings as appropriate. Maintaining close communication during this phase of the project is essential in order to avoid delays and added expense for all parties involved.

If the utility's work is dependent on the contractor's work, the contractor should provide at least 48 hours notice to the utility before beginning and after completing its work. Likewise, if the contractor's work is dependent upon utility relocations, the utility should provide at least 48 hours notice to the contractor and the LPA before beginning and after completing its work. If the contractor has fulfilled its utility coordination obligations in accordance with the contract documents, but is not able to work on the controlling item of work because of delays caused by a utility, the contractor should not be charged working days.

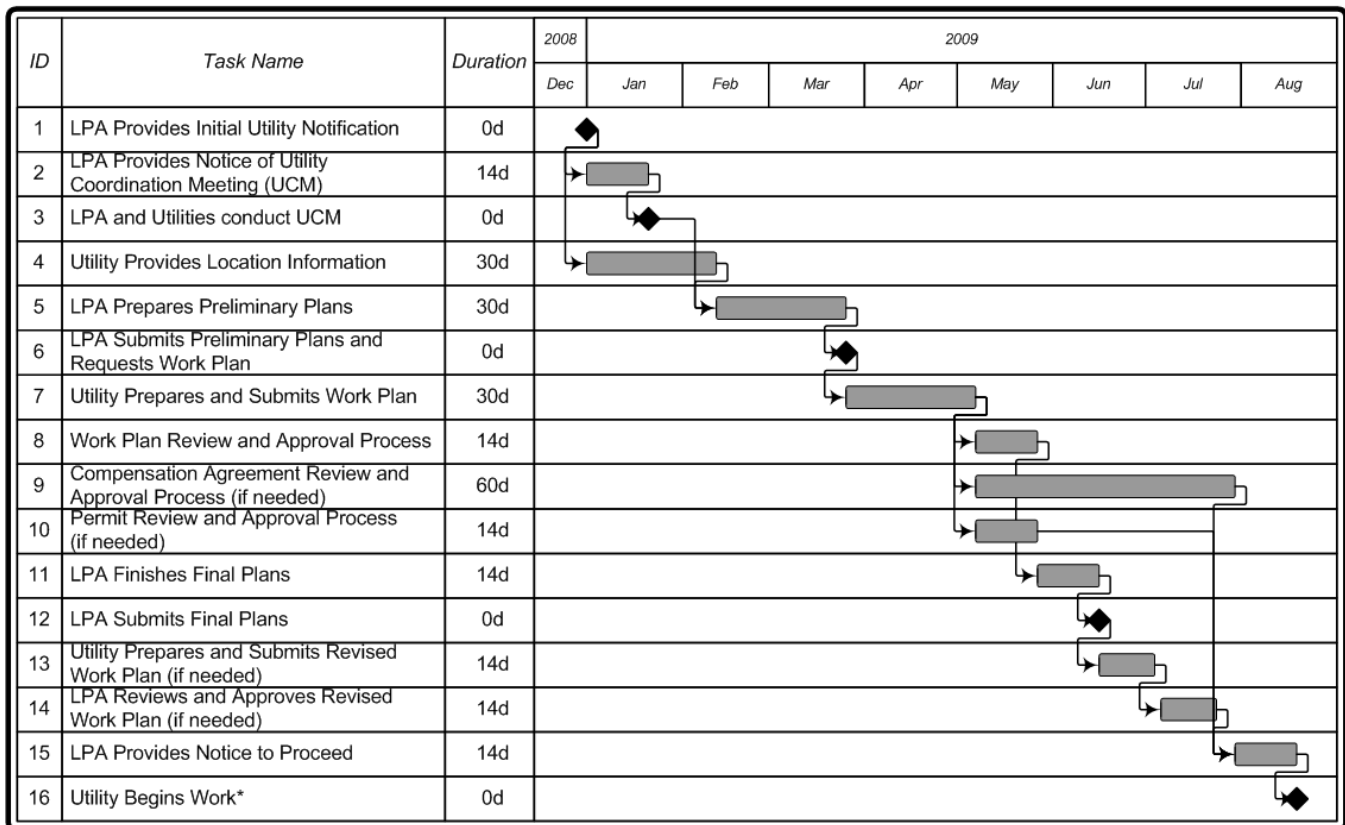
If unexpected utility conflicts arise during construction, the LPA, utility, and the contractor should work together to obtain a mutually agreeable solution.

Utility Coordination Schedule

The schedule shown below is intended to illustrate the relationship between the utility coordination activities outlined in this I.M. and indicate the approximate lead time required for adequate utility coordination on most LPA transportation projects. The recommended time frames included in the preceding text are based on the schedule shown below.

Please Note: This schedule is presented as a general guide and should only be used as a starting point for setting a project-specific utility coordination schedule. Substantially more or less time may be required, depending on the complexity of the project, the number of utilities affected, and other project development requirements, especially for Federal-aid projects.

Utility Coordination Schedule



* Depending on the lead times required for certain material deliveries, the utility may not be able to begin work within 14 days of notice to proceed. LPAs and utilities should discuss the impact of lead times early in the project development process and adjust the project schedule as needed.

Additional Resources

Reference Information

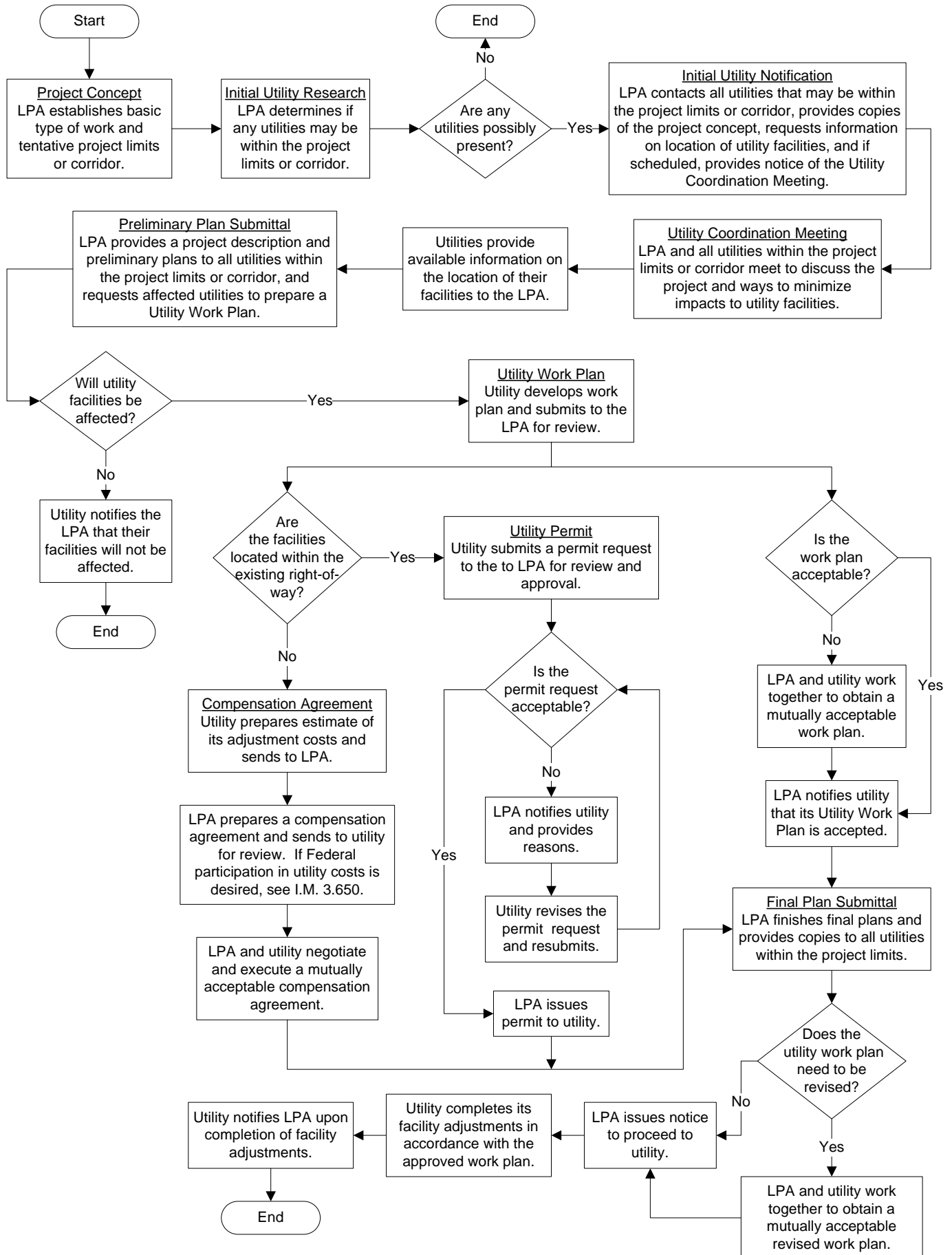
- [Iowa DOT Utility Accommodation Policy](#) (for Primary highways only)
- Iowa Guide to Utility Coordination (for Primary highways only)
- [Iowa One Call web site](#)
- [Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System](#)
- [Program Guide – Utility Relocation and Accommodation on Federal-aid Projects](#) (provides guidance and interpretation of applicable Federal laws and regulations)

Contact Information

- [Iowa DOT Utility Coordination Contacts](#) (includes central complex staff, District Utility Coordinators, and Engineering Operations Technicians)
- [Utility Company Contacts](#) (Iowa DOT database of utility contact information)

Utility Coordination Flowchart

For Non-primary Highway Transportation Projects



Utility Coordination Checklist

LPA Name: _____ Project Number: _____

Project Description: _____

The following checklist summarizes the tasks a Local Public Agency (LPA) should complete in the utility coordination process, as outlined in this I.M. This checklist may also be used to track and document the utility coordination process.

- Initial Utility Research** Based on the project concept, determine if any utility facilities may be present within the proposed project limits or corridor. Obtain contact information for all utilities identified.

Date completed: _____

Initial list of utilities identified:

- Initial Utility Notification** Send written notice and project concept to all potentially affected utilities within the project limits or corridor, request utilities to verify if they have facilities within the project limits or corridor, and if so, request information on the location of their facilities.

Date sent: _____

List of utilities notified:

- Invite Utilities to Utility Coordination Meeting** Send an invitation to all utilities within the project limits or corridor (may be done in conjunction with the Initial Utility Notification).

Date sent: _____

List of utilities that were invited:

- Utility Coordination Meeting** Conduct at least one Utility Coordination Meeting during the design phase of the project. If more than one meeting was held, record those in the space below also.

Date held: _____ Location: _____

List of utilities that attended:

Date meeting notes were distributed:

- Incorporate Utility Information** Use utility information received to show approximate locations of utilities on the preliminary plans. Field locate above-ground utility facilities. If practical, revise the design to minimize impacts to utility facilities.

Date completed: _____

Information was received from the following utilities:

- Preliminary Plan Submittal** Submit preliminary plans to all utilities within the project limits or corridor and request a Utility Work Plan from those utilities that need to adjust their facilities.

Date sent: _____

List of utilities that received plans:

- Utility Work Plans** Review and provide comments on Utility Work Plan. Once acceptable, provide written approval to utility.

Utility Name:	Date Received:	Date Comments Provided:	Date Approved:

- Follow-up with Non-responsive Utilities** Contact those utilities that either did not provide a Work Plan or confirm their facilities will not be affected.

List of utilities, date contacted, and status:

- Compensation Agreement** If a utility is entitled to compensation, prepare a draft compensation agreement, send for review, negotiate compensation and other terms of agreement, and execute final agreement.

Utility Name:	Date Sent:	Date Comments Received:	Date Executed:

Please Note: If Federal reimbursement of utility compensation costs will be requested, additional review and approval of agreement(s) are required by the Iowa DOT. For more information, see [I.M. 3.650](#), Federal-aid Participation in Utility Relocations.

- Utility Permits** For utility adjustments within the right-of-way, review, provide comments, and approve utility permits for affected utilities.

Utility Name:	Date Permit Request Received:	Date Comments Returned:	Date of Permit Approval:

- Final Plan Submittal** Send final plans to all affected utilities within the project limits.

Date sent: _____

List of utilities that received plans:

- Utility Work Plan Revisions** If required by changes between preliminary plans and final plans, review, provide comments, and approve revised Utility Work Plans as needed.

Utility Name:	Date Received:	Date Comments Provided:	Date Approved:

- Issue Notice to Proceed** After the Work Plan and compensation agreement or utility permit (as applicable) have been approved, send written notice to proceed to each affected utility.

List of utilities and date of notice for each:

Please Note: For Federal-aid projects, Environmental Concurrence, and if Federal reimbursement is desired, FHWA Authorization of utility costs, must be obtained prior to beginning construction of any utility adjustments. For more information, refer to [I.M. 3.650](#), Federal-aid Participation in Utility Relocations.

- Invite Utilities to Pre-construction Meeting** Send an invitation to all utilities within the project limits or corridor (may be done in conjunction with final plan submittal).

Date sent: _____

List of utilities that were invited:

- Pre-Construction Meeting** Include discussion of utility coordination required during construction, if any, as part of the meeting.

Date held: _____

List of utilities that attended:

- Disclaimers of Interest** Follow up on any disclaimers of interest that are required from utilities whose property interests have been acquired. Record documents with the County Recorder.

Utility Name:	Date Contacted:	Disclaimer of Interest Fully Executed:	Date Filed:

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities	Date: December 11, 2008
From: Office of Local Systems	I.M. No. 3.810
Subject: Federal-aid Construction by Local Agency Forces	

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures to receive Federal-aid reimbursement for the costs of construction performed by Local Public Agency (LPA) forces. Topics addressed include eligible costs and activities, submittal requirements, and the procedures for requesting, reviewing, and authorizing Federal funds for such use.

Introduction

Federal regulations ([23 CFR 635.114\(a\)](#)) require Federal-aid projects to be constructed by contracts awarded on the basis of competitive bidding. However, in rare cases, this requirement may be waived if the LPA finds it is more cost effective to use some other method, as provided for in [23 CFR 635, Subpart B](#). One such method is the use of LPA forces to perform the construction. The LPA's finding of cost effectiveness shall be reviewed and approved by the Iowa Department of Transportation (Iowa DOT) before construction by LPA forces can proceed.

The term "cost effective" means the efficient use of labor, equipment, materials, and supplies to assure the lowest overall cost. A "finding of cost effectiveness" must demonstrate two things:

1. completing the proposed construction work using LPA forces will be cost effective; and
2. there are special or unique circumstances that justify deviating from the competitive bidding process.

Eligible Costs

Subject to the approvals and procedures outlined in this I.M., Federal funds may participate in the direct costs of labor, equipment, materials, or supplies provided by LPA to complete the project construction, either in whole or in part. Labor costs include salaries, wages, and other related payroll expenses, such as leave, holidays, social security, retirement, and other payroll benefits.

Federal funds may also participate in the associated indirect costs, provided such costs have been allocated to the Federal-aid project in accordance with an approved cost allocation plan that meets the requirements of [2 CFR 225](#) (previously OMB Circular A-87). Such cost allocation plans must be reviewed and approved on annual basis by the Iowa DOT. The Federal Highway Administration (FHWA) may also elect to review the LPA's cost allocation plan. If reimbursement of indirect costs is desired, the LPA should contact the Administering Office for additional assistance.

Submittal Requirements

To receive Federal-aid reimbursement for construction by LPA forces, the LPA must submit the following information to the Iowa DOT Administering Office to support its finding of cost effectiveness:

1. An explanation, including supporting documentation, of the reasons or special circumstances that justify using LPA forces in lieu of traditional competitive bidding. Examples of supporting documentation may include things such as:
 - a) a failed attempt to accomplish the proposed work by competitive bidding due to lack of bids or unreasonable bids; or
 - b) a history of failed competitive bidding in the local area on similar work due to lack of bids or unreasonable bids, including reasons why competitive bidding, if attempted, would be unlikely to succeed for the requested work.

There may be other reasons or situations that justify the use of LPA forces. However, in all cases, they must be unusual and are unlikely to recur.

2. Identification of the project in the Statewide Transportation Improvement Program (STIP), a description of the project, and the kind of work to be performed by LPA forces.

3. An estimate of the construction costs to be performed by LPA forces that includes the following:
 - (a) Staff time (hours) for each different phase of the work. Staff time should be estimated separately for each employee or classification of employees.
 - (b) Wage rates for each employee or classification of employee including any payroll expenses that are part of the wage rate, such as IPERS, FICA, employee benefits, etc.
 - (c) Equipment type, hours of use, and unit costs (such as the rental rate per hour or per mile). **Note:** If an LPA must acquire or rent substantially more equipment than required for its normal operations, it may be difficult to justify the use of LPA forces.
 - (d) Costs of materials and supplies to be incorporated in the project. Include sources and suppliers, if known.
 - (e) Source documentation for the unit costs (labor, equipment, and materials) used to prepare the estimate.
4. A cost estimate of the work that assumes the work will be competitively bid. This estimate is for comparison purposes with the estimate described in item 3 above. Source documentation for the unit costs should also be included with this estimate. Unit bid price averages maintained by the Iowa DOT may be used as source documentation for this estimate.
5. The amount of Federal funds requested.

Procedures

The necessary procedures to request, review and approve Federal participation in construction by LPA forces are summarized below:

1. The LPA submits a finding of cost-effectiveness and a request for Federal-aid participation in construction by LPA forces to the Administering Office, including a cost estimate and all supporting documentation, as described above.
2. The Administering Office reviews the cost estimate and completeness of submittal. If the submittal is incomplete or is not acceptable, the Administering Office works with the LPA to address any concerns. The Administering Office also verifies that Environmental Concurrence has been obtained. If not, the Administering Office reminds the LPA that construction work by LPA forces may not proceed until Environmental Concurrence and FHWA Authorization has been obtained.
3. The Administering Office requests a pre-audit from the Office of Finance (External Audits).
4. External Audits reviews the pre-audit request and either performs a pre-audit or notifies the Administering Office that the pre-audit has been waived. If a pre-audit is conducted, External Audits sends 2 copies of the pre-audit report to the Administering Office and 1 copy to Office of Finance (Project Accounting and Payables).
5. The Administering Office sends 1 copy of the pre-audit report (if completed) to the LPA. If the pre-audit report requires modifications of the LPA's submittal, the LPA must respond to the findings of the pre-audit report. The Administering Office will work with the LPA and External Audits until the LPA's request is acceptable.
6. Once the LPA's request is acceptable, and after verifying that Environmental Concurrence has been obtained, the Administering Office requests FHWA authorization. The Administering Office's request shall indicate its concurrence with the LPA's finding of cost-effectiveness and include all supporting documentation.

Note: The Administering Office shall also provide a copy of the request and all supporting documentation to the FHWA prior to initiating action in the Fiscal Management Information System (FMIS). In addition, the "State Remarks" of the FMIS document shall indicate the request is for construction by LPA forces.
7. After FHWA authorization is received, the Administering Office notifies the LPA and provides the effective date of FHWA authorization. The Administering Office sends 1 copy of this notice to External Audits,

Project Accounting and Payables, and the appropriate Metropolitan Planning Organization (MPO) or Regional Planning Affiliation (RPA).

8. After incurring construction costs by LPA forces, the LPA may submit periodic requests for reimbursement to the Administering Office. The requests shall document the actual costs incurred, including: staff hours and rates, equipment usage and rates, and costs of materials or supplies.
9. The Administering Office reviews and processes the requests for reimbursement as appropriate.
10. Upon completion of construction by LPA forces, the LPA notifies the Administering Office and requests final reimbursement for such costs.
11. The Administering Office requests a final audit from External Audits.
12. External Audits reviews the final audit request and either performs a final audit or notifies the Administering Office that the final audit has been waived. If a final audit was conducted, External Audits sends 2 copies of the final audit report to the Administering Office and 1 copy to Project Accounting and Payables.
13. The Administering Office provides a copy of the final audit report to the LPA. If additional reimbursement is due, the Administering Office processes the final reimbursement. If the final audit finds the LPA has been over-reimbursed, the Administering Office will request the Office of Finance, Financial Management and Reporting, to invoice the LPA for the appropriate Federal share or deduct this amount from the balance of Federal reimbursement that is due to the LPA for other project costs.

