

**DIVISION 100 SUPPLEMENTAL GUIDANCE 5 -  
UTILITY RELOCATION**

<b>CONTENTS:</b>	
Introduction	1
Documentation	1
Qualifications, Credentials, and Training	3
Contract Administration and Inspection	3
Process Review and Evaluation	7
Contract References and Resources	7

**INTRODUCTION**

This supplemental guidance to Division 100 is incorporated into the ALDOT Construction Manual due to the topic’s broad application for many different types of projects and its encompassing of multiple contract specification sections. Administration and inspection related to the subject of this topic also require specific technical training, expertise, and credentialing. For other technical information related to subjects addressed within this topic, see Construction Manual Topics that correspond to specific ALDOT Standard Specifications for Highway Construction (SSHC) divisions and sections. A listing of related SSHC references and resources that provide additional information regarding this subject are provided in Contract References and Resources portion of this document.

ALDOT is responsible for notifying all known utility companies (utility) that may be affected by a construction project. ALDOT will notify the utility of the types of conflicts present and needs for adjustments or relocations.

The determination of utility facilities requiring relocation or adjustment and the reimbursement for the cost thereof will be in accordance with the current version of the Alabama Department of Transportation Utility Manual, or “Utility Manual.” The Utility Manual is issued by the Utility Section of the Design Bureau and is available online. In the case of conflict, the Utility Manual will take precedence over this manual in matters related to utilities.

**DOCUMENTATION**

Complete and accurate documentation of utility adjustments made by the Utility is mandatory for quality assurance and for payment and reimbursement purposes. Documentation is also vital from the standpoint of providing documentation of possible claims submitted by the contractor for utility-related conflicts and delays.

**Utility Agreements.** A utility agreement is executed when changes to existing utilities are initiated by ALDOT because of proposed highway or bridge construction or when a utility desires to construct new facilities during a highway construction project. This written agreement defines ALDOT’s and the utility’s separate responsibilities for financing and accomplishing the relocation work.

Utility agreements used by ALDOT can be categorized based on the type of utility project (retention, relocation, or new construction), the party responsible for performing the utility design and the utility construction work (the utility or ALDOT), and whether the work is reimbursable. There are several common methods for performing the utility construction. Potential methods are listed below.

- ▼ Utility's own forces
- ▼ Utility's continuing contract
- ▼ Utility's low bid contract
- ▼ Combinations of 1, 2, and 3
- ▼ ALDOT's contractor as a part of the construction contract

ALDOT has elected to utilize a limited number of standard agreement forms. These forms are listed and described below.

- ▼ **SAHD No. 1.** Non-reimbursable agreement for relocation of utilities on public right-of-way
- ▼ **SAHD No. 2.** Reimbursable agreement for relocation of utility facilities on private or public right-of-way
- ▼ **SAHD No. 3.** Reimbursable agreement for relocation of utility facilities, work to be accomplished by state contractor
- ▼ **SAHD No. 4.** Non-reimbursable agreement for adjustment of utility facilities, work to be done by state contractor
- ▼ **SAHD No. 5.** Letter of retention of utility facilities, no conflict on project
- ▼ **SAHD No. 6.** Supplemental agreement for utility relocation cost
- ▼ **SAHD No. 12.** Agreement to terminate a reimbursable utility relocation agreement
- ▼ **Special Permit.** Permit Agreement initiated by the Utility when the Utility desires to construct new facilities within the limits of an ongoing Department construction project on public right-of-way

Utility agreements include the number of days after a notice to proceed that work will start, and the number of days to complete the work. This information is used to calculate the utility relocation completion dates provided in the bid proposal and contract documents for the project. In addition to relocation information being provided in the bid proposal, the contractor is provided with copies of all utility agreements associated with a project. The contractor is expected to coordinate its work with and around facilities and the work of utilities as described in the agreement.

**Progress Reports and Payment Requests.** Following authorization of work by the Area Office, the Area Construction Engineer submits **Form SP-3, Utility Relocation Progress Report** to the Utilities section of the Right of Way Bureau. This Form originates at the Project Manager and is submitted on

the first day of the month following authorization and continues monthly whether the owner has begun work or not, until such time as the work is completed.

The assigned inspector uses Form **SP-1, Daily Utility Relocation Report** to report daily progress for each utility working on the project. This form requires acknowledgement of the report by a representative of the utility. The inspector will also track daily progress on utility sheets showing as-built locations and highlighting completed elements of the work.

**Form SP-4, Statement of Charges** is a standardized payment request form that reimbursable utilities use to invoice or request payment from ALDOT. These forms are further described below and in the ALDOT Utility Manual. They are maintained and available through the Utility Section of the ALDOT Right of Way Bureau.

---

## QUALIFICATIONS, CREDENTIALS, AND TRAINING

This subtopic describes qualifications, designations, certifications, and licensure that may be required in order to inspect, document, and implement requirements associated with the topic of the supplemental guidance. These may be dictated internally (by ALDOT), or by state or federal requirements.

Inspectors should have a general understanding of the types of agreements that may be employed during utility construction and of the appropriate inspection requirements and forms to complete. However, there is no requirement for specialized training or certification to inspect utility relocation.

---

## CONTRACT ADMINISTRATION AND INSPECTION

**Preconstruction meetings.** Prior to beginning work on a construction project, the Area Construction Engineer will coordinate a preconstruction conference. See also CM 108-4. The Area Utility Manager is to be notified of the time and location of this meeting if utility conflicts are involved. Relevant utilities with relocation work associated with the construction project are required to attend.

Rights of way and easements, locations of relocated utilities in relation to planned roadway and bridge improvements, conflicts with the required work, clearing requirements and debris disposal, and expected condition of areas of utility adjustment should be discussed as they relate to utilities and the work of utility companies. If the project is of such magnitude and/or is in a highly developed urban area, arrangements should be made for separate or supplemental utility conferences to be held as work progresses.

¶ When utility relocation is to be accomplished prior to project letting, the Area Office may consider it advantageous to hold a utility-specific preconstruction meeting with representatives of ALDOT and affected utilities. Area, District, and/or project personnel responsible for ensuring that facilities are

relocated to proper horizontal and vertical alignment and for documentation of cost should be present at this utility preconstruction meeting. The Area Utility Manager or Area Construction Engineer is responsible for coordinating this meeting.

**Inspection and Reporting.** In addition to documenting quantities related to utility relocation, inspectors should also be observing the work to confirm quality and conformance with plans and specifications. The horizontal and vertical location of the relocated utilities should be checked periodically to verify clearance with future roadway and bridge construction.

The Area Utility Manager is responsible for communicating with utilities and coordinating inspection activities when adjustments by utilities begin prior to letting and award of the construction contract. Construction project staff may be requested to assist with inspection of this work.

Where utility adjustments are underway when the contractor begins the work of the project, it is important that the Project Manager and inspectors clearly document any conflicts between the contractor's operations and utility adjustments. In addition to utility relocation forms described above, project diaries and inspector's daily reports should detail all operations and areas of work available to the contractor, even though utility adjustments may only be in conflict in one specific area. Photographs may be appropriate to adequately document conflicts and/or available work areas. Meeting minutes should be prepared for any formal meetings held between ALDOT personnel, utility representatives, the contractor, and/or other relevant stakeholders. Copies of meeting minutes should be provided to all parties in attendance.

The Project Manager should notify the Area Construction Office and Area Utility Manager if the utility work is being carried out in a manner that is not in the best interest of ALDOT. Potential issue areas may include a pursuit of work completion, water quality protection, traffic handling, and public health and safety. The Construction Bureau and Utilities Section of the Right of Way Bureau may be contacted for assistance if Area Office and project personnel are unable to determine the cause of the problem or cannot effectively and satisfactorily resolve encountered issues.

Utilities may contract with a consulting engineering firm to perform all engineering and inspection and documentation work. When this is the case, the consultant should be on the project and should supervise the utility contractor's work. ALDOT project personnel should not give instructions or deal directly with the utility contractor but should go through the utility or its representative.

Daily inspection reporting and Form SP-3 as described above will be used for reporting of progress and completion of the work.

**Reimbursable Relocation Reporting.** Reimbursement described under Agreement Form SAHD No. 2, Reimbursable Agreement for Relocation of Utility Facilities on Private or Public Right-of-Way is

supported by ALDOT records compiled at the project or field level. It is imperative that appropriate and accurate records are compiled and maintained by qualified project personnel. Listed below are guidelines that must be followed to properly handle reimbursable utility relocation work and facilitate processing invoices.

- Project personnel assigned to inspection of utility relocation work should have a copy of the estimate and approved plans in their possession when performing inspection work. In addition, they should familiarize themselves with sections of the ALDOT Utility Manual that apply to construction and relocation.
- The inspector assigned to relocation work completes Form SP-1 each day for each utility working on the project. In addition, the inspector should utilize utility plans or appropriate project plan sheets to show the work performed daily in contrasting colors.
- The inspector should be especially careful to see that the work being performed is accounted for in the previously approved design plans and agreement. Discrepancies should be reported immediately to the Project Manager, the utility representative, and to the Area Utility Manager. This applies regardless of whether the owner or its contractor is performing the work.

**Non-Reimbursable Relocation.** Record keeping at the project level for relocation and/ or adjustments covered under Agreement Form SAHD No.1, Non-Reimbursable Agreement for Relocation Of Utility Facilities On Public Right-Of-Way is not as detailed as that required for reimbursable work. However, project records for this type of work must show on a daily basis the same general information as that required for reimbursable work such as number of personnel, number and type of equipment and the location and extent of work accomplished. Any conflicts between the utility relocation and the project work should be noted. Form SP-1 should be used for non-reimbursable relocation also.

**Relocation by ALDOT's Contractor.** In special and limited cases, relocation of facilities, such as water lines, sanitary sewers, manhole covers, and valve boxes may be included in ALDOT's construction contract. Agreement Form SAHD No. 3, Reimbursable Agreement For Relocation Of Utility Facilities On Private Or Public Right-of-Way, Work To Be Performed By State Contractor is used when the Utility is to be compensated for all or part of the costs with the in-kind work by ALDOT's contractor and for inspection by utility owner.

Agreement Form SAHD No. 4, Non-Reimbursable Agreement for Relocation of Utility Facilities on Public Right-of-Way, Work to Be Done By State Contractor is used when the Utility is required to relocate said facilities at its own expense. Under this agreement the Utility will reimburse the Department for the costs involved in the relocation. Documentation for payment of utility adjustment items included in the Department's contract will be the same as any other contract item.

This will include daily entries of work accomplished in the daily inspector's report, daily field measurements placed in field books and, if appropriate, sketches and notations on construction plan sheets or separate cross section sheets. Payments for adjustments covered under either of these agreements will be made directly to the ALDOT contractor on its monthly estimate.

**Extra Work and Overruns Related to Utilities.** During construction, conditions affecting the work may be encountered which were not anticipated during relocation design and utility agreement execution. Advanced planning by the Utility and ALDOT will minimize the number and severity of such instances.

If a price for the required extra work can be agreed upon, a supplemental agreement may be executed. If no agreement for compensation can be reached, or if an emergency response is required records may be kept and payment may be made under force account. Reference also CM 104-3.

Payment for extra work associated with utility relocation must be approved by the Region Engineer and the Right of Way Bureau Chief. Like other ALDOT contracts, reasonable effort and documentation must be provided to justify agreed-upon payment for the extra work.

Approval authority and documentation requirements for minor and major changes are described in Section 6.9 of the ALDOT Utility Manual. Identification, approval, and reporting of minor and major overruns are described in section 6.10 of the Utility Manual.

**Utility Reimbursement Invoices.** The utility's reimbursement invoice, along with Form SP-4, Statement of Charges are submitted to the Area Utility Manager by the utility. The Area Utility Manager and Project Manager will check the invoice against the project records. Required signatures and the "invoice check sheet" are forwarded to the Utilities Section of the Right of Way Bureau for payment processing.

ALDOT's daily project records must support the owner's invoice for reimbursement. A comparison of records by the utility representative and the ALDOT inspector should be made daily with signatures as provided on Form SP-1. Invoices may include charges for work accomplished by a combination of forces provided each category is clearly identified and the invoice properly supported.

Invoices covering work let to contract by the utility must be accompanied by the contractor's monthly claim for reimbursement. This is generally referred to as the "contractor's monthly estimate". This monthly estimate must carry the endorsement of both the contractor and the utility.

Utilities should be encouraged to submit their final invoices as soon as the reimbursable work is completed. Utilities should be reminded that in no case should invoice submittal be extended beyond six months of the completion date.

Submitted reimbursement invoices containing errors or items not shown in the approved estimate or supplements thereto are returned to the utility for correction.

---

## PROCESS REVIEW AND DOCUMENTATION

No additional oversight or quality assurance is provided for utility relocation beyond what is described in this document.

---

## CONTRACT REFERENCES AND RESOURCES

Below are listings of contract specifications, special and standard drawings, and other resources and references that may be related to the work of this topic.

CONTRACT SPECIFICATIONS	
SSHC Reference	SSHC Topic Description
104.04	Contractor Responsibility for Replacing, Restoring, Connecting Utilities Incidental to The Work
105.05	Cooperation with Utilities
106.01	Material Sources and Buy America
107.04	Restoration of Surfaces Opened by Permit
107.11	Use of Explosives, Warning of Blasting
107.12	Contractor Duty to Protect and Restore Utility Features
108.03	Progress Schedule of Operations
205	Removal and Relocation of Structures
215.03	Cofferdams Sheeting or Shoring
640	Minor Utility Adjustments
641	Water Line
645	Sanitary Sewers
646	Natural Gas Line
649	Encasement Pipe for Utilities
853	Sanitary Sewer Pipe, Manholes, and Appurtenances (materials)
861	Gas Pipe, Valves, and Appurtenances (materials)
862	Utility Encasement Pipe (materials)
863	Water Pipe, Fire Hydrants, Valves, and Appurtenances (materials)

<b>SPECIAL DRAWINGS</b>		
<b>Drawing Index Number</b>	<b>Drawing Number</b>	<b>Drawing Name</b>
62180	MH-621-1	MANHOLE MODIFICATION DETAILS FOR INCREASING OR REDUCING HEIGHTS OF EXISTING MANHOLES
62183	MH-621-2 (SHEET 1 OF 5)	DETAILS OF CONCRETE OR BRICK MANHOLE (TYPE L) CONSTRUCTED IN PLACE FOR 6"-42" PIPE
62184	MH-621-2 (SHEET 2 OF 5)	DETAILS FOR PRECAST AND BRICK & CONCRETE (CONSTRUCTED IN PLACE) MANHOLES FOR 6"-84" PIPE
62185	MH-621-2 (SHEET 3 OF 5)	DETAILS OF BRICK MANHOLE (TYPE O) CONSTRUCTED IN PLACE FOR 48"-84" PIPE
62186	MH-621-2 (SHEET 4 OF 5)	DETAILS OF PRECAST CONCRETE MANHOLE (TYPE M) CONSTRUCTED IN PLACE FOR 6"-72" PIPE
62187	MH-621-2 (SHEET 5 OF 5)	DETAILS OF PRECAST CONCRETE MANHOLE (TYPE M) CONSTRUCTED IN PLACE FOR 6"-72" PIPE

<b>Resource</b>	<b>Maintained By</b>
ALABAMA DEPARTMENT OF TRANSPORTATION UTILITY MANUAL	ALDOT Right of Way Bureau Utility Section