

Utilities Criteria Manual
SECTION II – UTILITY MANAGEMENT PROCESS
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SECTION II – UTILITY MANAGEMENT PROCESS (UMP)

2.1.0. GENERAL

The ESDS Director shall manage the use of, and activities in, on, and above property owned, managed, and leased by the City. This property is referred to as CCP, which includes public R-O-W and PUEs. In meeting the requirements of this Section, the ESDS Director shall require planning and coordination of all work within CCP.

The ESDS Director shall establish a systematic process to provide coordination opportunities among the many active users of the CCP. The process shall be used to review and discuss any utility related activity that impacts vehicle/pedestrian traffic, safety, or causes liability, temporary or long term, for the City within CCP. The objective of the process is to identify and resolve any potential conflicts before the activity begins, and thus reduce the impact on all.

The infrastructure owner's failure to participate, share, and provide information in this process makes the infrastructure owner subject to the cost of any and all adjustments and repairs and all delay costs of the property owner and/or action provider which are related to the lack of information.

2.2.0. UTILITY MANAGERS COMMITTEE

The UMC is designated to administer the process. The UMC shall be composed of public and private entities that are authorized by law, franchise, or license to construct and/or maintain facilities in CCP. The DP in the ESDS shall chair the UMC. Projects that impact existing or proposed infrastructure located within the normal usage of CCP shall be processed through the UMC before proceeding to the permitting and construction phase. The Project Owner shall work directly with the UMC to obtain information of existing facilities located within CCP.

As needed, scheduled UMC meetings shall be used to discuss and resolve the following subjects within CCP:

- A. Identification and location of existing, proposed, new, and relocated utility infrastructures;
- B. Resolution of conflicts between existing and proposed utility infrastructure;
- C. Deposition of each stakeholder and tasking (Action Plan);
- D. Coordination of activities;
- E. Schedule of actions; and
- F. Critique of final product.

2.2.1. Organizational Elements

The UMC shall meet as necessary to discuss activities and projects in the public CCP. The DP shall schedule meetings with project/action owner or their representative (primary stakeholder), facility owners, other known stakeholders, and members of the UMC for the purpose of assimilating information pertaining to the proposed project/action plan.

2.3.0. QUALITY LEVELS AND TYPE OF INFORMATION

Information for a UMC meeting is gathered under a variety of formats, one of which is referred to as the quality of information. This information is divided into four (4) quality levels. The project/action plan owner or their representative, the primary stakeholder, and other existing infrastructure owners shall provide information related to their proposed action within the CCP, as required for each of the quality levels, as the project develops and proceeds through the UMC. The four (4) quality levels are described below.

2.3.1. Quality Level “D”

Information for Quality Level “D” is derived solely from utility records and system maps. Typically the information is treated with low confidence and may be used to determine the congestion of an area. All owners are asked to provide this information for the pre-design or long range planning activities. The information will consist of record information, as-builts, and other documents that may exist for the specific location.

2.3.2. Quality Level “C”

The information for Quality Level “C” consists of Surface Visible Feature Survey combined with information obtained in Quality Level “D”. Surveying and plotting visible surface utility features augments information from Quality Level “D”. The primary stakeholder shall instruct the surveyor to depict any utility markings in the topography survey, trees, structures, roads, and any other information which might impact the alignment or grade. The primary stakeholder is responsible for surveying the area and obtaining information of visible features (i.e. manholes, valve covers, telephone poles, street lights, trees, roadways, drainage structures, etc.). The primary stakeholder shall compare information gathered under Quality Level “D” with information gathered in the topography survey and pinpoint any discrepancies. The primary stakeholder shall investigate the discrepancies and resolve them with the proper facility owner.

2.3.3. Quality Level “B”

Quality Level “B” is sometimes referred to as “designation”. Data obtained for this level requires the application of appropriate surface geophysical methods to identify the existence and approximate position of utilities within the area of interest limits. The data must be reproducible by surface geophysical methods at any point of its depiction. This information is normally gathered through qualified engineering services and may be used to clarify and/or resolve disputed and questioned locations uncovered in Quality Levels “D” and “C”.

2.3.4. Quality Level “A”

Data for this level is highly accurate and typically obtained by actual exposure of the

existing infrastructure being measured. Accuracy is set for applicable horizontal and vertical standards. Other information to be gathered includes material type, surface elevation, facility type/size/capacity, outside dimensions, configurations and condition of the infrastructure. Each owner shall provide this information in writing at the request of the EDSD. This information is normally gathered through qualified engineering services with the use of vacuum excavation to reduce the potential risk of damage to all of the existing infrastructure sharing the area. Points should be surveyed to the local coordinate system.

2.4.0. UTILITY MANAGERS COMMITTEE MEETING (UMCM) PROCESS GENERAL OVERVIEW

The process begins when any primary stakeholder submits a request to the DP to place a project/action on the UMCM's agenda. The primary stakeholder shall submit the appropriate number of project/action plan drawings or specifications, a description of the project, and project contract, and telephone and fax numbers to the DP, with a request to place the item on the UMCM's agenda for each phase of the process. All submitted documents shall be marked with the appropriate phase number when an item is placed on the UMCM's agenda. The recommended size of paper to be used is legal size, eleven by fourteen inches (11" x 14").

The DP shall schedule a UMCM in two or more weeks, if appropriate, for the project's or action plan's time schedule.

In the UMCM a project/action is considered to have up to seven (7) phases. The seven (7) phases are:

- A. Phase I – Introduction;
- B. Phase II - Pre-Design/Long-Range Planning/Information;
- C. Phase III - Design/Planning/Proposing/Resolution/Action;
- D. Phase IV - Relocation/Justification/Design/Action;
- E. Phase V –Coordination;
- F. Phase VI – Scheduling; and
- G. Phase VII – Critique and Record Drawings.

Each phase is described below with the respective responsibilities of the stakeholders, facility owners, and the EDSD.

In general, in every phase, each owner shall bring or send to the meeting all written comments and copies of facilities' maps, if available, for the project or action plan limits. Every effort shall be made to incorporate the comments and information provided by each owner into the project design or acting plan. . Every effort will also be made to minimize the relocation of existing infrastructure and service connections if the owner submits accurate detailed information about existing facilities. Otherwise, it is the infrastructure owner that is responsible for the cost of adjustments and repairs. The owner is subject to liabilities for not providing accurate information during each phase of the process. If service connections are to be considered in the planning, detailed information must be submitted.

Each phase of the process may be repeated as many times as necessary to resolve conflicts during the design and redesign of a project or action plan. For smaller/less complicated projects, phases may be combined to expedite the process. The completion of this process is a prerequisite for obtaining a permit under Section III of this Manual for all major projects and action plans.

2.4.1. Phase I – Introduction

The primary stakeholder shall submit the appropriate number of project/action plan drawings marked “Phase I” for review to the DP, with a request to add an introduction item to the UMCM’s agenda. The primary stakeholder shall attend the UMCM and present the project/action plan’s details at the meeting. It is the responsibility of the primary stakeholder to get the contact information of each impacted owner and follow up with the contacts. The contact information consists of the name, telephone numbers, e-mail address, office location, etc for each impacted owner.

2.4.2. Phase II - Pre-Design/Long-Range Planning/Information

The primary stakeholder shall submit the appropriate number of project/action plan drawing sets marked Phase II for review to the DP, with a request to place a Phase II item on the UMCM’s agenda.

The primary stakeholder shall attend the UMCM with the minimum of three (3) drawing sets, for review and mark up during the meeting. The project or action plan owner or designated representative shall attend the Phase II Level UMCM prepared to answer questions pertaining to the project. Facility owners having facilities within the project or action limits shall submit record information and/or comments at the Phase II Level Meeting. Typically this information will be at a Quality Level “D”.

2.4.3. Phase III - Design/Planning/Proposing/Resolution/Action

In preparation for the Phase III Level Meeting, the primary stakeholder shall perform a survey of visible surface utility features and augment the information with information obtained in Phase II. The primary stakeholder is responsible for surveying the area and obtaining information of visible features (i.e. manholes, valve covers, telephone poles, street lights, etc.) and investigating any discrepancies, and will try to resolve them with the proper facility owner. Work done at this level will typically be at a Quality Level “C”.

The primary stakeholder will incorporate the known information into the project design and develop another set of drawings that indicate suspected locations of conflict with existing utilities. The primary stakeholder will submit a request to the EDSD to set the project/action plan on the UMCM’s agenda as a Phase III item. The request will include the names of the facility owners that have the facilities in possible conflict with the project/action plan. The request shall also include any updates on the project/action plan, such as R-O-W acquisition needs and status, etc.

The primary stakeholder shall attend the Phase III UMCM with the appropriate number of drawing sets, a minimum of three (3), marked “Phase III” for review and mark up during the meeting.

The facility owners shall review the plans and make sure that the drawings are marked in red, indicating corrections to the horizontal location of existing facilities. Facility

owners shall reference the location of their facilities to a permanent feature of the project (i.e. property line or existing curb line). Facility owners may elect to field mark the facilities in the area of the project and arrange with the project owner to field survey the locations of the facilities. The ESDS shall prescribe rules for the identification of facilities in the R-O-W. The expected quality at this stage of the design is at a Quality Level "B".

At this phase of the design, the facility owner may be requested to provide vertical location of their facilities at the indicated location of possible conflict of the major infrastructure. The expected quality level of these details is at Quality Level "A".

The primary stakeholder may elect to have facilities located, using outside services if facility owner does not provide the requested information. The cost to locate the facilities will be billed to the facility owner. The primary stakeholder will be responsible for billing the facility owner.

At the Phase III Level Meeting, the primary stakeholder shall attend the meeting to answer the questions pertaining to the project/action plan. Facility owners having facilities within the project limits shall submit record information and/or comments not previously submitted. Typically this information will be at a Quality Level "B". Facility owners shall indicate any facilities they intend to install, upgrade, or replace. Once a project/action plan enters the utility coordination process, all work or proposed work within the project/action plan limits shall be coordinated with the project owner.

The primary stakeholder may elect to have facilities located if facility owner does not provide the requested information within the agreed upon time. The cost to locate the facilities will be billed to the facility owner. The primary stakeholder will be responsible for billing the facility owner.

The primary stakeholder shall communicate to the facility owner the locations of areas of potential conflict and strive to work out design solutions. If no infrastructure and service connection adjustments are required and/or no conflict exists, utility coordination ends at this point. If the scope of the work changes or the primary stakeholder changes the design, the project/action plan shall be resubmitted to the UMC for additional reviews. This phase shall be repeated until conflicts are identified and resolved.

2.4.4. Phase IV – Relocation/Justification/Design/Action

The primary stakeholder will strive to design around existing facilities as much as possible to reduce relocation of existing facilities. All possible alternates to the relocation of existing facilities need to be evaluated as to cost and impact on the final product, versus cost of relocation and service impact on existing facilities. If the results of the cost/benefit study show a warrant for facilities relocation, then a request can be submitted to the DP for placement on the UMCM's agenda as a Phase IV item. Impact analysis shall include time, service outages, schedule, traffic, safety, cost, and secondary impacts and cost/benefits. The request will include three (3) drawing sets that clearly indicate the area needing to be cleared, which utilities need to be adjusted, and the justification for relocation/adjustment.

The primary stakeholder shall attend the UMCM for the Phase IV item. The primary stakeholder shall be prepared to justify that the relocation/adjustment of the existing

facility is the best long term solution, and communicate with the owners, or design representative of the owners, if any clearance and schedule requirements are needed. The primary stakeholder must be prepared to work with the installation of new facilities and the upgrading of existing facilities, both those requiring relocation/adjustment and those that do not. The results of the meeting must be an action plan with all of the major required tasks clearly assigned to the correct firm with a defined contact person, standard set, and planned intercommunication between the parties. The primary stakeholder shall be responsible for insuring that all the correct facility owner's contacts are made, schedules are clear and realistic, and follow ups and communications are maintained.

2.4.5. Phase V - Coordination

Facility owner shall prepare a relocation plan to clear the project within the agreed time frame. All adjusted and new facilities will have a minimum depth of thirty inches (30"), or in case of rock/limestone formations, a minimum depth assigned by the facility owner that assures an appropriate cover depth of the utility below sub-grade. The utility owner shall ensure that the depth assignment is based on a sub-grade level that extends below any existing severely weathered rock/limestone layers (i.e. layers composed of fissured rock/limestone imbedded with clay, silt, sand, etc.). Facility owners shall provide as-built drawings to the EDSD no later than ten (10) days after adjustments are completed by facility owner.

The primary stakeholder may elect to have facility relocation/adjustments designed, scheduled, contracted, and constructed, if the facility owner does not agree to provide the services within an acceptable time frame. The cost for all of the work, including materials and direct impact, will be billed to the facility owner. Costs for direct impact includes any delay, added contract administration, insurance, etc. Primary stakeholders will be responsible for billing the facility owner.

2.4.6. Phase VI - Scheduling

After all of the designs have been finalized, the primary stakeholder will provide the EDSD with one (1) copy of the drawing set marked "Final Plans Including Utility Adjustment". The primary stakeholder shall submit a request to the EDSD to schedule this Phase VI item on the UCMC agenda. The primary stakeholder shall attend the meeting with three (3) sets of drawings. The goal for a Phase VI agenda item is for the primary stakeholder, the EDSD, and the facility owners to develop a utility adjustment schedule. Each shall develop a contact list of those responsible for the work to be completed. The primary stakeholder shall monitor the utility adjustment schedule. Adjustments will commence after receiving written notice from the primary stakeholder.

The primary stakeholder will be responsible for arrangements to have the project staked and provide final cuts as needed to the facility owners. The primary stakeholder will provide control points. The project owner shall fund the inspection for the adjustments during the relocation.

Normally, facility owners will be expected to adjust one time for each project unless owners relocate or install facilities that are in conflict with the current design. If the design of the project/action plan changes after the facility owners have cleared a

project, the cost for second relocation will be borne by the primary stakeholder. Facility owners, who relocate facilities before facility relocation plans are complete, will do so at their own risk. Facility owners will be allowed to adjust, install, and upgrade their facilities during the period of advertisement and bidding of the project up until the notice to proceed is given to the successful bidder. No utility work, except emergencies, will be allowed during construction unless arrangements have been made with the project owner or the contractor.

A facility owner shall remove, relocate, or alter a facility in a public R-O-W if the UMC determines the removal, relocation, or alteration of the facility is reasonably necessary for the construction, operation, repair, maintenance, or installation of a City or other governmental entity's facility.

A facility owner shall remove, relocate, or alter the location of its facility in a public R-O-W not later than the one hundred twentieth (120) day after the written notice is issued by the primary stakeholder.

A facility owner shall remove, relocate, or alter the location of its facility in a CCP by no later than the deadline assigned by the DP, unless:

- A. The facility is located outside of CCP; or
- B. The DP determines the proposed changes in the action is reasonably necessary to abate an obstruction that poses an unreasonable risk to public health, safety, or welfare.

The facility owner shall provide the EDSD with documentation and field location records for a relocated facility.

The information provided by the facility owner shall become part of the documentation to be used by the contractor during construction.

A facility owner shall coordinate excavation plans with City transportation and utility programs in the R-O-W.

A facility owner shall follow facilities replacement schedules that avoid construction conflicts and prevent delays of proposed City utility and street projects.

A facility owner of a permitted facility that is installed in a paved area shall identify the facility in a manner approved by the DP. If ownership changes, the new owners shall change the identification markings on all surface infrastructures, such as manhole covers and valves.

The primary stakeholder, with or without the agreement of the facility owner, may elect to have the relocations/adjustments included in the general construction project contract. The cost for all of the work, including materials and direct impact will be billed to the facility owner. Costs for direct impact may include any delay, added contract administration, insurance, etc. The primary stakeholder will be responsible for billing the facility owner(s).

If a facility owner fails to remove, relocate, or alter a facility by the deadline described above, the city may remove or relocate the facility at the facility owner's sole expense.

2.4.7. Phase VII – Critique and Drawings

- A. A facility owner shall provide to the DP information concerning the facility owner's facilities located in CCP, including:
 - 1. Plan of record drawings of all facilities installed in CCP by the facility owner no later than the thirty-fifth (35th) day after excavation, as described in the permit, is complete unless otherwise prescribed by the DP; and
 - 2. The horizontal and vertical elevation of all underground facilities previously unrecorded in an owner's drawings, plans, or specifications that are discovered in CCP five feet (5') or less from the facility owner's excavation.
- B. A facility owner shall notify the DP and other facility owners of proposed excavation in CCP, and meet with the DP and other facility owners to schedule adjustment or relocation of facilities.
- C. Information concerning facilities located in CCP shall be in the format designed by the DP.
- D. If an owner fails to provide information to the DP on or before the thirty-sixth (36th) day following the DP's request, the DP may obtain the information and charge the facility owner the cost to obtain the information.

Each facility owner that has facilities located within CCP must maintain accurate maps and records of their facilities. The information shall be made available to the DP upon request. Maps and records shall indicate horizontal location, condition of the existing facility, and a description of the facility. The information may be provided in electronic or paper format. Facility owners shall provide Quality Level "B" information to the DP.

A facility owner shall, no later than the fourteenth (14th) day before the City begins excavating a City water, wastewater, storm water, electric facility, or a street project, provide to the DP:

- A. The horizontal location and vertical elevation of the facility owner's underground facilities in CCP that are located five feet (5') or less from CCP assignment, and
- B. A condition survey of the facility owner's underground facilities.

Facility owners may be requested to provide vertical location at certain points within a construction project. The information will normally be obtained by field verification of the facility. The information may be provided in electronic or paper format. Facility owners shall provide Quality Level "A" information to the DP within five (5) weeks after notification. The DP may elect to have facilities located, if the facility owner does not provide the requested information. The cost to locate the facilities will be billed to the owner.

Facility owners providing their own information will be responsible for the accuracy of the information. Facility owners not providing accurate information through the DP process will be responsible for the cost related to delays, redesign, and relocation related to their facilities that may be in conflict with the construction of the project. The accuracy of information provided by a service provider through DP, but paid for by the facility owner, will be the responsibility of the service provider.

Information concerning City facilities and those private facilities approved by ordinance, permit, or City Council resolution shall be converted to electronic computer files and be part of a universal GIS system.

Each facility owner shall be provided a dedicated layer on the GIS system and shall be required to provide as-built information on all of their facilities that are both operating and abandoned. The responsibility to regularly update the dedicated layer remains with the facility owner.

2.5.0. Pre-Construction and Construction Meetings

Facility owners shall attend the pre-construction and construction meetings when requested by the primary stakeholder to coordinate adjustments and placement of facilities within the project limits.