

Design, Bid, Build Utility Admin. Diagram

Issue Resolution and Escalation Process

Contractor Responsibilities:

- Notify the Resident Engineer of any circumstance that may lead to a contractor delay claim.
- Request the Resident Engineer escalate the issue.
 - Follow coordination and documentation requirements outlined in this flow diagram for the duration of the Project.
 - Demonstrate adherence to all requirements set forth in any Supplemental or Project Agreement

Note: Contractor may request assistance in seeking Utility Company cooperation from the Department at any step in the coordination process.

Resident Engineer (RE) Responsibilities:

- Document any written or verbal discussions with Contractor and/or Utility Company on details regarding a specific Utility Company's participation or lack thereof.
- Request required documentation / deliverables from Contractor in the form of a formal submittal package.
- Review submittal package with Region Utility Leader and PM to determine if the Administrative Order process is required.
- Notify the Utility Company of request to escalate .
- Meet with Utility Company in an attempt to resolve the issue prior to further escalation to the Statewide Railroad and Utilities Director. If no timely resolution is agreed on, escalate issue to the Statewide Railroad and Utilities Director.
 - Statewide Railroad and Utilities Director meets with Utility Company and decides whether to begin the Administrative Order process.

Note: Two Administrative Orders may be required. The First Order is a legal notice of action that may be taken by the Department and provides a reasonable schedule/timeline for the Utility Company to correct the issue(s). The Second Order comes after the Utility Company fails to comply with the First Order. This is a legal notice of the action the Department is taking against the Utility Company.

Required Coordination - by Milestone

Preconstruction/Utility Coordination Meetings

- **RE** notifies Utility Company and Contractor of the required preconstruction meeting 2 weeks in advance . Notice must provide the Utility Company a reasonable opportunity to meet and time to schedule an alternate time and location. Provide the notice verbally with written follow-up.
- **Contractor** notifies Utility Company and RE 1 week in advance of any subsequent utility coordination meetings. Notice must provide the Utility Company a reasonable opportunity to meet and time to schedule an alternate time and location. Provide the notice verbally with written follow-up.
- **Contractor and RE** meet with the Utility Company to coordinate any required relocation work. **Contractor** documents who attends each meeting, what commitments were made, and what materials were distributed or received by the Utility Company in the meeting minutes.
- **Contractor** documents Utility Company commitments made during meetings, verbal or written. Distribute an electronic copy of the commitments, distributed materials, meeting minutes, and attendance sheet to the Utility Company and the RE.
- **Contractor** records attempts and methods to seek Utility Company cooperation and participation (including alternate meeting dates, Utility Company point of contact, and contact method, e.g., telephone, voicemail, text, email).

Baseline Schedule & Utility Work Plan

- **Contractor** requests baseline schedule and Utility Work plan during the Preconstruction or subsequent coordination meeting for Utility Work performed by the Utility Company. Provide a verbal and written deadline (per the terms of each Supplemental or Statewide agreement) but no less than 2 weeks from the written request.
- **Contractor** obtains written acknowledgement from Utility Company of agreed upon Contractor baseline schedule and Utility Work plan for Utility Work performed by Contractor. A copy of this acknowledgement shall be delivered to the Utility Company and the RE.
- **Contractor** documents verbal/written correspondence to/from Utility Companies.

Revised/Updated Schedule & Utility Work Plan

- **Contractor** requests revised/updated schedule and Utility Work plan during subsequent coordination meetings for Utility Work performed by the Utility Company. Provide a verbal and written deadline (per the terms of each Supplemental or Statewide agreement) but no less than 2 weeks from the written request.
- **Contractor** obtains written acknowledgement from Utility Company of agreed upon Contractor revised/updated schedule and Utility Work plan for Utility Work performed by Contractor. A copy of this acknowledgement shall be delivered to the Utility Company and the RE.
- **Contractor** documents verbal/written correspondence to/from Utility Companies.

Notification and Utility Work Performance

- **Contractor** ensures record of verbal correspondence log, Utility Company commitments, and written acknowledgement from Utility Company of agreed upon baseline/updated/revised schedule and Utility Work plans from previous coordination efforts is kept for each specific conflict.
- **Contractor** notifies Utility Company, verbally and with written follow-up, of Utility Work performance regarding Utility Company failure to:
 - Provide required advanced notification before beginning Utility Work
 - Utility Company failure to provide required notification of changes in agreed upon schedule and Utility Work plan
 - Utility Company failure to complete Utility Work by agreed upon schedule date
 - Utility Company failure to complete Utility Work according to approved design
- Document **Contractor's** adherence to Utility Company requests for information or action items, agreed upon schedule and schedule, and Utility Work plans.
- **Contractor** will show evidence of unchanged site conditions or work factors which limit or prohibit Utility Company from completing its Utility Work as planned. For example, dated photo showing work area is available for Utility Company to perform Utility Work.

Required Documentation – ALL Milestones

- Verbal correspondence log
- Written notifications (email/mail)
- Verbal/written response from Utility Companies
- Meeting minutes
- Utility Company commitments
- Attendance sheets
- Record of attempts and methods to contact non-responsive Utility Companies

Additional Required Documentation – by Milestone

- Complete Required Documentation – ALL Milestones

- Complete Required Documentation – ALL Milestones, and;
- Utility Company baseline schedule and Utility Work plan
- Utility Company acknowledgement of Contractor baseline schedule and Utility Work plan

- Complete Required Documentation – ALL Milestones, and;
- Utility Company updated/revised schedule and Utility Work plan
- Utility Company acknowledgement of Contractor updated/revised schedule and Utility Work plan

- Complete Required Documentation – ALL Milestones, and;
- Baseline/Updated/revised schedule and Utility Work plan with Utility Company commitments/acknowledgement
- Field logs
- Record of Contractor adherence to schedule
- Evidence of unchanged site conditions and no work factors outside of the utility's control which limits the utility work
- Copy of notification requirements from the utility agreement.