



DEMYSTIFYING THE UC PROCESS:

DAMAGE PREVENTION BASICS



Daniel McMurtry

Daniel McMurtry is a utility engineer for INDOT's Vincennes District. He is a husband and father and enjoys talking at length about niche topics in the utility world to anyone who will listen.

Daniel has been with INDOT for just under a total of 5 years, and has spent time both in project development and construction.

He graduated from the University of Southern Indiana with a Bachelor's Degree in Civil Engineering in 2017, and from Oakland City University with a Master of Divinity in 2023.

Daniel enjoys a good cup of coffee paired with a Tolkien novel.





Josshe Palm

Josshe Palm is the utility and railroad engineer for INDOT's Greenfield District.

Josshe has a dual architectural and civil engineering degree from Missouri University of Science and Technology, formerly UMR, MSM.

Josshe has over a decade of experience including time with MODOT, Norfolk Southern, and in the private sector. She recently joined INDOT and would be happy to discuss with you about ways to improve the utility installation and relocation processes.

Josshe has an empathetic approach to utility coordination and is always excited to learn from other industry professionals.





ROLES OF UTILITY COORDINATION

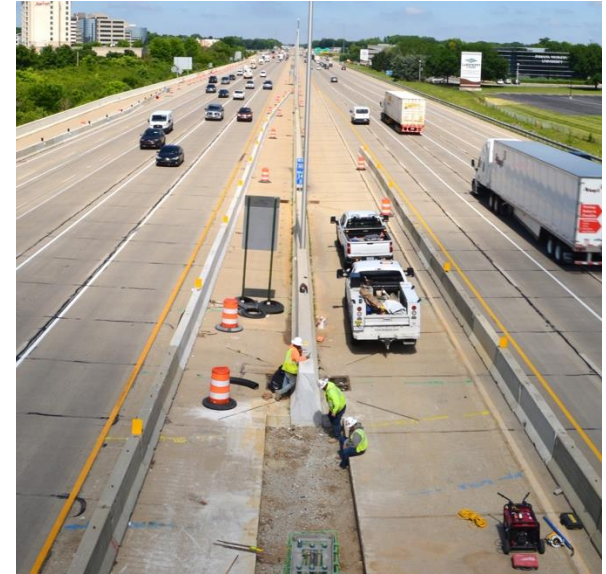
ROLES OF UTILITY COORDINATION



PROJECT PLANNING



UTILITY COMPANIES



CONSTRUCTION

PROJECT PLANNING



Photo Courtesy of: 37 Thrives, SR 37, INDOT Greenfield District



DESIGN TEAM

The Design Team includes:

- Design Manager
- Project Designer
- Survey Group
- Environmental
- Right-of-Way
- Utilities & Railroad

UTILITY COORDINATION TEAM

The Utility Coordination Team includes:

- Utility Coordinator
 - consultant or INDOT personnel
- INDOT Utility Oversight Agent
- INDOT Utility Administrator
- INDOT Utilities Director

PROJECT MANAGEMENT TEAM

The Project Management Team includes:

- INDOT Project Manager
- INDOT Area Engineer
- INDOT Program Manager
- INDOT District Funds Manager

UTILITY COMPANIES



Photo Courtesy of: Shamon Bailey, INDOT Greenfield District



UTILITY GROUP

The Utility Group includes:

- Utility Authorized Representative
- Utility Designated Contact
- Operations Staff
- Engineering
 - in-house or consultant
- Governing body
 - whether local government (LPA) or private ownership.

CONSTRUCTION



CONSTRUCTION GROUP

The Construction Group includes:

- Utility operations crews or contractors
- INDOT Maintenance & Contractors
- INDOT Area Engineer & Inspection Staff
- Utility Coordination Team



Best Common Practices for Utilities when working with INDOT Coordinators

The Different Phases of Utility Coordination



Initial Notice

Utilities are notified of project's existence and the planned scope. Direct coordination begins here. Correspondence sent to Authorized Contacts.



Verification Request

Preliminary plans are sent to the utilities, including the surveyed 811 marks. Utilities are asked to verify the accuracy of facilities depicted or identify missing facilities.



Conflict Analysis

60% to 90% Design plans are provided. Utilities collaborate with design team and utility coordinator to determine if there are conflicts and if they can be avoided.



Work Plan

Whether facilities are not in the area, not in conflict, or in conflict, a document must be prepared to state what each utility will do in response to the proposed project.

Initial Notice

Provide as much information up front as possible

- Easement documentation
- Attachers for pole owners
- Material type
- Facility size
- Deprecated materials (e.g., asbestos concrete, VCP, lead, wood, etc.)

Verification Request

- If you have questions, just ask!
- If facilities are missing from survey, make that clear, and provide details, if available. A sketch works wonders!





If you have conflicts, bring it to the attention of the utility coordination team and request a meeting to review design mitigation methods



CONFLICT ANALYSIS CATEGORIES:



01

Direct Location

Occurs when a utility facility occupies the proposed location of the project infrastructure.

If your utility has methods to mitigate the conflict, let the designer know as early as possible.

02

Regulatory Conflict

Occurs when a utility facility will no longer comply with the Utility Accommodation Policy, OSHA standards, or other industry standards because of the project.

If your utility has methods to avoid this conflict, let the utility coordinator and design team know.

03

Constructability Conflict

Occurs when :

1. construction of the project cannot be completed without utility facility relocation, or
2. the utility has an easement with requirements that will no longer be achievable including but not limited to accessibility, maintenance, or exclusive land rights.

Photo Courtesy of: Matt Madden



WORK PLAN



No Facilities

Your utility does not have any facilities in the proposed project limits.

Utility would sign section 1C of the work plan.

Best practice to include a facility or aerial map.

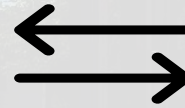


No Conflict

Your utility does have facilities in the proposed project limits.

Utility would sign section 2F of the work plan.

Should not include term "confirm conflicts or potential conflicts".



Relocation

Your utility does have facilities in conflict and is required to relocate.

Utility shall provide relocation info and sign section 10 of the work plan.

Work with the coordinator to assure your relocation does not conflict with others.



Work Plan Revisions

You are allowed to revise your work plan after you submit it if you have valid reasons.

Revisions should not create new conflicts.

Communicate change as early as possible.

Provide the as-built records if you are relocating.



CALENDAR & DEADLINES

Initial Notice

Utility has 30 days to respond to this notice

Verification Request

Utility has 30 days to respond to this notice

Conflict Analysis

Dependent on the project status:

Minor Project: 30 days

Major Project: 60 days

Work Plans

Dependent on the project status:

Minor Project: 60 days

Major Project: 120 days

Relocations

Relocations should be coordinated to avoid constructability conflicts between utilities and to maintain stated timelines.





COLLABORATION TO ENSURE ACCURATE LOCATING FOR PROJECT SURVEY



WHAT CAN WE DO?



WHAT CAN WE DO?



WHITE LINING



PROVIDE INFO UPON REQUEST



COORDINATE WITH LOCATORS



WHAT CAN YOU DO?



WHAT CAN YOU DO?

- Organize with contracted locators and utility coordinators to ensure needed locates are completed
- Furnish facility maps to survey crews (when possible and upon request)





CONSIDERATIONS DURING CONSTRUCTION

CONSIDERATIONS DURING CONSTRUCTION



BABAA CERTIFICATION



NATURAL DISASTERS



UTILITY RELOCATION PERMIT
State Form 56838 (9-19)

Permit Number
LU-101823-7

District
LaPorte

District addresses can be found at <https://entapps.indot.in.gov>

Designation Number
1703004

Type of work
Bridge Replacement

Description of project location
Us 30@.-Dyer Ditch, 01.10 W US 41

PERMITS & COMPLIANCE



BUILD AMERICA BUY AMERICA ACT (BABAA) CERTIFICATION

Provide Certification with Reimbursable Relocations

To assure that your utility is reimbursed for relocation activities that have federal funds, please keep a record of the materials and provide the BABAA documentation with your final invoice.

Contact the INDOT Central Office Utilities Department For Assistance

We have personnel that can help with BABAA questions. Bill Plant from INDOT Central Office is henceforth known as “BABAA Bill,” and he may be contacted through the e-mail below.

BABAA Bill: wplant@indot.in.gov





If you have BABAA questions, INDOT Central Office has personnel to help you better understand if your relocation meets the De Minimis requirements.



DE MINIMIS PARAMETERS FOR CONSTRUCTION MATERIALS (AND SOON MANUFACTURED PRODUCTS)

01

The total value of the non-compliant products is no more than the lesser of \$1,000,000 or 5% of total allowable costs under the Federal financial assistance award

02

OR the size of the Federal financial assistance award is below \$500,000.





If you have BABAA questions, INDOT Central Office has personnel to help you better understand if your relocation meets the De Minimis requirements.



Photos Courtesy of: Brandi Redd, INDOT Greenfield District

DE MINIMIS PARAMETERS FOR STEEL & IRON

01

The total value of the non-compliant steel and iron is no more than the greater of \$2,500 or 0.1% of total allowable costs under the Federal financial assistance award.



BUILD AMERICA BUY AMERICA ACT (BABAA) CERTIFICATION

To reiterate: if certification of BABAA-obligated materials is not provided with or prior to the final invoice, INDOT cannot reimburse you.



IMPACTS FROM NATURAL DISASTERS

Directly Impacting Relocation

Natural disasters can destroy relocations in progress. Communication of delays due to facility destruction by storms, earthquakes, etc. is critical to project delivery for all parties.

Indirectly Impacting Relocation

Disasters in other areas of operation or in supplier locations can lead to unforeseen complications of relocation timelines and material availability. Communication of these risks is always the best policy!





If you have changes to your relocation, bring it to the attention of the utility coordinator as early as possible.



01

NTP for Pre-Construction

This is official written notice from the Department or its representative that the utility may begin ordering materials, applying for applicable permits, and scheduling crews to prepare for the NTP for Construction notice.

02

NTP for Construction

The official written notice from the Department or its representative that all items in the utility's work plan required to be completed prior to the utility's construction have taken place and the utility should mobilize their prescheduled crews and begin construction

03

Relocations Comply with UAP

It is INDOT's policy that all installations and relocations comply with the Utility Accommodations Policy (UAP) requirements for the permitting and placement of utility facilities within Department right-of-way.



Utility Accommodation Policy (UAP)

Indiana, like all states, has minimum requirements for every utility installation in public rights-of-way.



Photo Courtesy of: Brandi Redd, INDOT Greenfield District





UAP KEY Requirements

- Transverse aerial crossings
- Minimum depth of cover for underground facilities
- Minimum separation from INDOT structures
- Attaching to INDOT Bridges
- R/W Access Control

RESOURCE PAGE FOR UTILITY REPRESENTATIVES

INDOT Resources:

- [Indiana Department of Transportation Utilities Page](#)
- [105-IAC-13](#)
- [Utility Accommodation Policy \(UAP\) \(Revised 6/26/24\)](#)
- [IDM Ch. 104](#)

New INDOT BABA Resources:

This act applies to contracts that are fully or partially federally funded and is included in the Infrastructure Investment and Jobs Act, Public Law 117-58, Title IX, Div. G. The BABA Act further strengthens the Buy America requirements.

- [Buy America and BABA Cheat Sheet Q&A](#)
- [Buy America and BABA Cheat Sheet Table](#)

Build America, Buy America (BABA):

| Reference | Applies to... |
|--|---|
| Example Util Rail Buy America Cert Rev. 2024-8.13 | Projects with either state or federal funds |
| Public Law 117-58 – See Div G Title IX | Projects with federal funds |
| 23 U. S. C 313 23 | Projects with federal funds |
| 49 CFR 661 | Projects with federal funds |
| 49 US Code 5323j | Projects with federal funds |
| IC 5-16-8-1 | Projects with state funds and without federal funds |
| FHWA Buy America Issues to Consider for Utility Work | Projects with either state or federal funds, updated for BABA on July 11,2023 |



RESOURCE PAGE FOR UTILITY COORDINATORS

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- [105-IAC-13](#)
- [Utility Accommodation Policy \(UAP\) \(Revised 6/26/24\)](#)
- [IDM Ch. 104](#)
- [Buy America and BABA Cheat Sheet Q&A](#)
- [Buy America and BABA Cheat Sheet Table](#)

Utility Research Resources:

- <https://811.indiana811.org/login>
- <https://pvnpm.phmsa.dot.gov/PublicViewer/>
- <https://www.indianamap.org/>
- <https://entapps.indot.in.gov/opsm/Dashboard/UserRequest>

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Q & A


CONTACT US

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THANK YOU!

