UTILITIES & RAIL MANUAL

W/ YOUR HOST
GREG SMITH

Partnering Conference 2012
Chapter 1

INTRODUCTION

101 Design of This Guidance Manual
102 Manual Purpose & Overview
Chapter 2
LAWS, RULES, & RESOURCES

201 General
202 Federal Eligibility
204 State Laws
205 Pertinent Resources
Chapter 3

ROLES & RESPONSIBILITIES

301 General
Chapter 3 (cont.)
Utilities & Rail Branch Personnel

302-1  Branch Responsibilities Overview
302-2  Utility Area Coordinator
302-3  Rail Safety Coordinator
302-4  Rails Coordinator
302-5  Program Coordinator
302-6  Administrative Support
302-7  Branch Manager
Chapter 3 (cont.)
District Office Personnel

303-1 District Responsibilities Overview
303-2 Utility Supervisor
303-3 Utility Agent
303-4 Project Engineer
303-5 Project Development B/M
303-6 Administrative Support
304 Support Teams

304-1  Overview
304-2  Construction
304-3  Right of Way
304-4  Highway Design
304-5  Surveying
304-6  Permits
304-7  Legal Services
304-8  Federal Highway Administration
401-1 Overview
401-2 Design Considerations
401-3 Underground Facility Design
401-4 Overhead Facility Design
401-5 Construction Maintenance Practices
Chapter 4 (cont.)
Utility Installations on Fully Controlled Access Highways

402-1 Allowable Installations
402-2 Utility Crossings for At Grade Separation Structures
402-3 Utility Crossings for Overhead Utility Lines
402-4 Utility Crossings for Underground Utilities
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>403-1</td>
<td>General Requirements</td>
</tr>
<tr>
<td>403-2</td>
<td>Existing Longitudinal Facilities</td>
</tr>
<tr>
<td>403-3</td>
<td>New or Relocated Longitudinal Facilities</td>
</tr>
<tr>
<td>403-4</td>
<td>Underground Crossing Installations</td>
</tr>
<tr>
<td>403-5</td>
<td>Overhead Installations</td>
</tr>
<tr>
<td>403-6</td>
<td>Installations on Bridges</td>
</tr>
</tbody>
</table>
Chapter 5
PLANNING OF UTILITY RELOCATIONS

501 General
502 Field Review
503 Initial Contact Letter
504 Utility Contact Lists
505 Facility Mapping
Chapter 6
UTILITY ESTIMATING & PROGRAMMING FUNDS

601 General
602 Estimate Development Procedures
603 Funds Request & Authorization
604 Utilizing Non-Utility Phase Funding
Chapter 7
PROJECT AUTHORIZATION LETTERS (STATE LETTERS)

701 General
702 Program Funding Requirement
703 Format Requirements
Chapter 8

JOINT UTILITY INFORMATION MEETING

801 General
802 Preparation for the Joint Utility Meeting
803 Holding the Joint Utility Meeting
804 Complicating Factors to Consider
Chapter 9
ENGINEERING SERVICE CONTRACTS

901 General
902 Proposal Package Contents & Submittal
903 Proposal Review & Approval
904 Contract Compliance with Cabinet Policies & Procedures
Chapter 10
UTILITY COMPANY SUBMISSIONS

1001  General
1002  Utility Relocation Plan Contents
1003  Utility Cost Estimate Review
1004  Calculating Cabinet Participation
Chapter 11
Compensation

1102-1 Instances Where Compensation Is Allowed
1102-2 Instances Where Compensation Is Not Allowed
Chapter 11 (cont.)
Agreement Development & Execution

1103-1 General
1103-2 Agreement Preparation
1103-3 Agreement Execution
1103-4 When Agreements Cannot Be Reached
Chapter 11 (cont.)
Agreement Types

1104-1 Keep Cost Agreements
1104-2 Lump Sum Agreements
1104-3 KRS 177.035 Agreements
1104-4 KRS 179.265 Agreements
Chapter 11 (cont.)
Special Agreements

1104-5 Engineering Service Agreements
1104-6 Second Move Agreements
1104-7 Prior Rights Agreements
1104-8 Easement Agreements
1104-9 Work by Highway Contractor Agreements
1104-10 Work by Highway Contractor Betterment Agreements
Chapter 11 (cont.)
Permits

1105-1 General
1105-2 No Charge Relocation Permits
1105-3 New Facility Permits in Road Projects
Chapter 12
FINAL PREPARATION FOR
UTILITY CONSTRUCTION

1201 General
1202 Plan Preparation
1203 Budget Preparation
1204 Field Preparation
<table>
<thead>
<tr>
<th>Chapter 13</th>
<th>UTILITY CONSTRUCTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1301</td>
<td>General</td>
</tr>
<tr>
<td>1302</td>
<td>Site Preparations</td>
</tr>
<tr>
<td>1303</td>
<td>Meetings</td>
</tr>
<tr>
<td>1304</td>
<td>Requirements</td>
</tr>
<tr>
<td>1305</td>
<td>Utility Relocations Prior to the Road Contract</td>
</tr>
<tr>
<td>1306</td>
<td>Inspection Duties</td>
</tr>
<tr>
<td>1307</td>
<td>Completion</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>------------------------------------</td>
</tr>
<tr>
<td>1401</td>
<td>Definition &amp; Types</td>
</tr>
<tr>
<td>1402</td>
<td>Required Documentation</td>
</tr>
<tr>
<td>1403</td>
<td>District Processing Procedures</td>
</tr>
<tr>
<td>1404</td>
<td>Central Office Processing Procedures</td>
</tr>
<tr>
<td>1405</td>
<td>Auditing</td>
</tr>
</tbody>
</table>
Chapter 15
CHANGE ORDERS

1501 General
1502 Policy
1503 Required Documentation
1504 Processing Change Orders
1504-1 Based on Change Order Amount
1504-2 Based on Agreement Type
1504-3 Balancing Change Orders
Chapter 16
UTILITY IMPACT NOTES

1601 General
1602 Type of Data Included
1603 Contents of a Utility Impact Note
1604 Completion Guidelines
Chapter 17
UTILITY WORK IN THE ROAD CONTRACT

1701 Decision-Making Technique
1702 Utility Contractor Prequalification
1703 Relocation Design
1704 Plans, Specifications, & Estimate Submission
1705 Project Plan Changes
1706 Contract Administration
Chapter 18
Closeouts

1801 General
1802-1 Agreement
1802-2 60-Day Notice of Closure
1802-3 Recovering Costs
1802-4 Permits
Chapter 18 (cont.)

Project Closeouts

1803-1  Project Completion
1803-2  Audits
Chapter 19

RECORDS & RETENTION

1901 General
1902 Archiving Process
1903 Retrieving & Destroying Archives
Chapter 20
RAIL COORDINATION PROGRAM

2001  General
2002  Planning
Chapter 20 (cont.)
Agreement Process

2003-1 Term Agreement
2003-2 Agreement Addendum
2003-3 Individual Project Agreement
Chapter 20 (cont.)
Plans Development

2004-1 Preliminary Plans Development
2004-2 Final Plans Development
<table>
<thead>
<tr>
<th>Year</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005</td>
<td>Road Project Bid Package</td>
</tr>
<tr>
<td>2006</td>
<td>Construction &amp; Inspection</td>
</tr>
<tr>
<td>2007</td>
<td>Fiscal Management</td>
</tr>
<tr>
<td>2008</td>
<td>Highway-Rail Crossing Rehabilitation</td>
</tr>
<tr>
<td>2009</td>
<td>Crossing Protective Device Maintenance</td>
</tr>
</tbody>
</table>
Chapter 21
RAIL SAFETY PROGRAM (SECTION 130 PROGRAM)

2101 General
2102 Rail Safety Program
2102-1 Funding
2102-2 Statewide Inventory
2102-3 Crossing Inspections
2102-4 Reporting
Chapter 21 (cont.)
Section 130

2103    Rail Safety Projects
2103-1  Project Identification & Approval
2103-2  Estimating & Programming Funds
2103-3  Review of Rail Company Submissions
2103-4  Agreements
2103-5  Project Construction
2103-6  Invoicing & Change Orders
2103-7  Closeouts
Chapter 22
SPECIAL PROJECT PROGRAMS

2201 General
2202 Special Programs
2202-1 Local Public Agency (LPA) Projects
2202-2 Highway Safety Improvement Program (HSIP) Projects
2202-3 Maintenance Projects