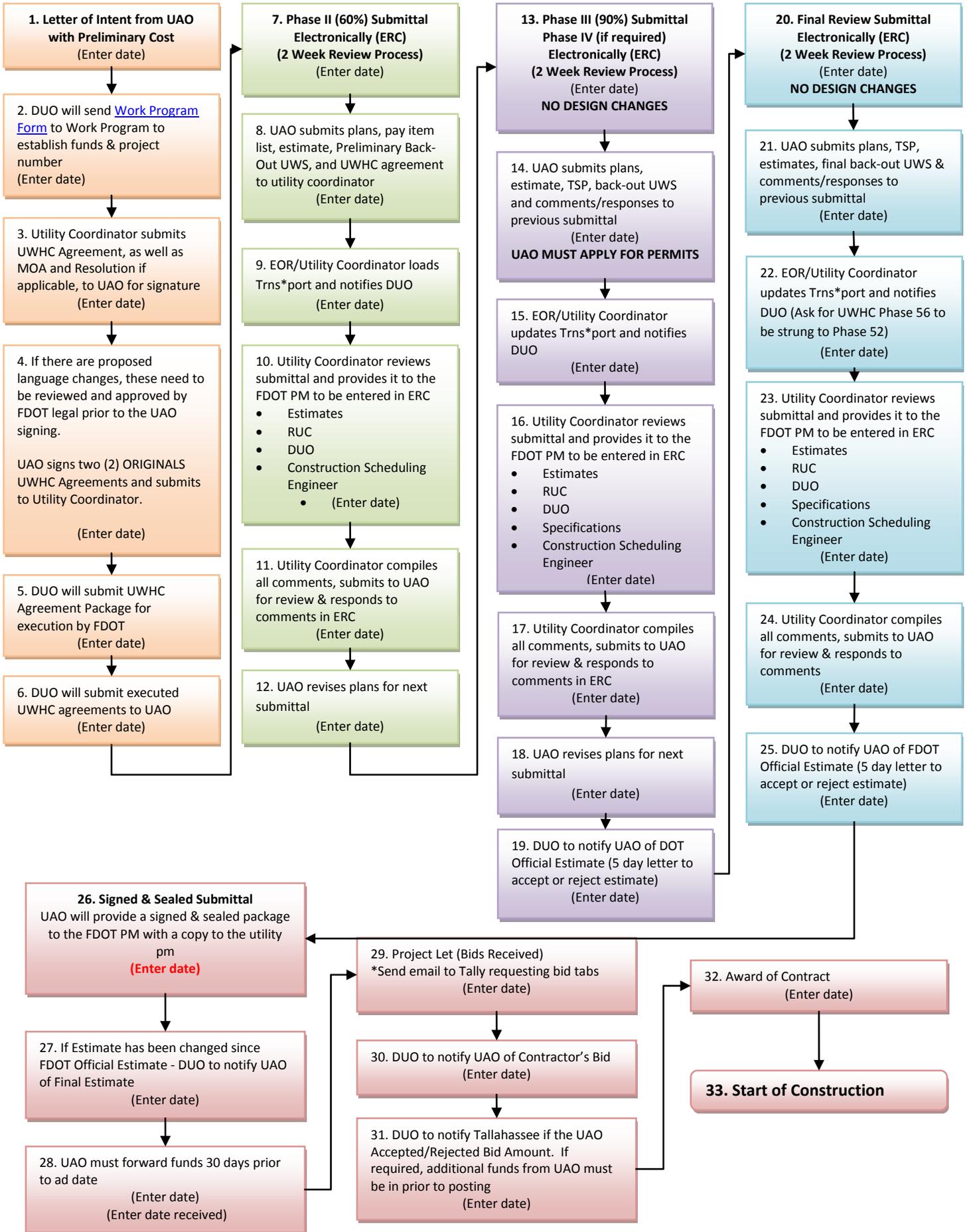


UWHC Process Flowchart & Instructions

Updated 9/3/2013



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Instructions

1. Letter of Intent from UAO with Preliminary Cost

- a. If a UAO is interested in a UWHC the following is required:
 - i. @ UAO expense; submit a letter of intent stating the scope of the utility work with a cost estimate, which includes allowances (2% for CEA and 10% for contingency).
 - ii. @ FDOT expense; submit a letter of intent stating the scope of the utility work with a cost estimate (do NOT include 2% and 10%)
 1. Utility Work Agreement for their preliminary engineering/design costs (Phase 36 in the same FY as Utility Contact is made)
 - iii. Lump Sum UWHC Process is not as involved as the UWHC @ Utility Work by Highway Contractor at Utility Expense or at FDOT Expense); submit a letter of intent stating the scope of the utility work with a cost estimate (which includes only 10% Contingency (does not include CEA).
2. DUO will send [Work Program Form](#) to D5-Work Program to have funds loaded & establish phase 56 and sequence number (Utility Coordinator cannot load Trns*port until funds have been loaded) *(FYI: UWHC Phase 56 funds are to be loaded in the same Fiscal Year as the phase 52 and will be authorized by Tallahassee at Letting (same time as Phase 52))*
 - a. The DUO utility project manager will assign a UWHC number for each UAO and complete the form (the form is also a sample of what fields need to be completed prior to sending to work program).
 - b. Add this information to the Tracking Chart ([H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx](#))
 - i. If there is a change prior to the agreement being executed (funds added or reduced), a [Work Program Form](#) with the appropriate changes must be sent to D5-Work Program
3. Utility Coordinator submits UWHC Agreement, Memorandum of Agreement (MOA) (If applicable) and Resolution (if applicable) to UAO for signature. (Need two (2) signed ORIGINALS ***(1 for DUO and 1 for UAO – DFS will only sign ORIGINALS)***)

(Note: Orange County has requested four (4) original executed Agreements to be sent back to them, so therefore they will need to submit 6 original Agreements. (DFS will keep one original, DUO will keep one original and Orange County will get 4 originals)
4. If there are proposed language changes, these need to be reviewed and approved by FDOT legal prior to the UAO signing. Once any/all changes have been approved by DUO/Legal and the UAO sends the signed Agreement to the Utility Coordinator, the Utility Coordinator shall review the Agreement for completeness.
 - a. UWHC Agreement Package includes:
 - i. UWHC Agreement
 - ii. MOA (\$100,000.00 or greater)
 - iii. Resolution/Certified Minutes/Charter (Check that the person who signed the agreement is the same as on the Resolution/Minutes/Charter)
 - iv. Engineers Estimate
 - v. Appendix (for any language changes that are requested and previously approved by FDOT Legal)
 - vi. Click on hyperlink below for guidelines on what should be completed in the Agreement:
[H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\UWHC's \(JPA's\)\UWHC Guidelines for completing Agreement \(At Utility Expense\).pdf](#)
 - b. Once the Utility Coordinator has done their QC/QA review of the UWHC package and it is correct, the Utility Coordinator then sends the package to the DUO for processing.

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5. The DUO will submit the UWHC Agreement for signatures to appropriate FDOT Staff.
 - a. Once the UWHC Agreements are received from the Utility Coordinator, DUO Utility PM will review UWHC Agreements to verify (Need two originals **(1 for DUO and 1 for UAO – DFS will only sign ORIGINALS)**):
 - i. No changes have been made
 - ii. All blanks have been completed with the correct information
 - iii. Individual that has signed the Agreement is authorized
 - iv. All attachments are attached:
 1. Engineers Cost Estimate
 2. Resolution (if applicable)
 3. MOA (if applicable)
 4. Appendix (if applicable)
 - b. Prepare transmittal letter to send Agreements for signature by FDOT. (In the following order: District Utility Office (DUO), Legal, District Director of Transportation Development)
 - c. Once agreements have been signed by DUO, D5 Legal and District Director of Transportation Development, send MOA to Tallahassee for signature. MOA is required on Agreements over \$100,000.00.
 - i. If there is not a MOA or the Agreement is at FDOT Expense, skip to Step E.
 - d. Prepare Agreement Summary Sheet Form No. 350-020-03 (For Lump Sum and UWHC @ UAO Expense, this form contains the information Comptroller needs to set up an account and process the deposit) First page is the only page that needs to be completed and this form only needs to be completed once.
<http://webapp02.dot.state.fl.us/fdotforms/DisplayPdfForm.aspx/350-020-03>)
 - e. Prepare D5 UWHC Summary Sheet (*this form is a running total of all changes to the UWHC dollar amount, this form will need to be completed each time the dollar amount changes (Original Agreement, FDOT Official Estimate, Contractor's bid, etc) to keep track of funds in the work program.*
[H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\UWHC's \(JPA's\)\UWHC Summary Sheet.xlsx](H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\UWHC's (JPA's)\UWHC Summary Sheet.xlsx))
 - f. Send the MOA's to Tallahassee for signature with one (1) UWHC Agreement along with the Agreement Summary Sheet Form No. 350-020-03 and D5 UWHC Summary Sheet for their files (Items D and E above).
 - i. If at FDOT Expense
 1. Agreements do **NOT** need to be sent to Tallahassee for signature, but still need to complete D5 UWHC Summary Sheet (click on hyperlink in e above) to keep track of dollar amount changes.
6. DUO will submit executed UWHC agreement to UAO
 - a. If at Utility Expense, have to wait until signed MOA is received back from Tallahassee.
 - b. Send a complete UWHC Agreement (Agreement, Engineers Estimate, Resolution (if applicable) and MOA (If applicable) and D5 UWHC Summary Sheet back to the UAO for their records
- 7. Phase II (60%) Submittal Electronically (ERC) (2 Week Review Process)**
8. UAO submits plans, pay item list, estimate, preliminary Back-Out UWS, and UWHC Agreement to utility coordinator
9. EOR/Utility Coordinator loads Trns*port and notifies DUO
10. Project Manager reviews and loads submittal in ERC
 - a. Estimates
 - b. RUC
 - c. DUO
 - d. Construction Scheduling Engineer
11. Utility Coordinator compiles all comments, submits to UAO for review & responds to comments in ERC
12. UAO revises plans for next submittal

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STEPS 10-16 ARE ONLY TO BE DONE IF A PHASE III SUBMITTAL IS REQUIRED. IF NOT, SKIP TO STEP 17:

13. Phase III (90%) Submittal Phase IV (Electronically) (ERC) (2 Week Review Process)

- a. NO DESIGN CHANGES
14. UAO submits plans, estimate, TSP, Back-Out UWS and comments/responses to previous submittal
 - a. UAO MUST APPLY FOR PERMITS
15. EOR/Utility Coordinator updates Trns*port and notifies DUO
16. Project Manager reviews and loads submittal in ERC
 - a. Estimates
 - b. RUC
 - c. Specification
 - d. DUO
 - e. District Construction Engineer
17. Utility Coordinator compiles all comments, submits to UAO for review & responds to comments in ERC
18. UAO revises plans for next submittal
19. DUO to notify UAO of FDOT Official Estimate (5 day letter to accept or reject estimate) (Adjustment of Agreement via D5 UWHC Summary Sheet)
<H:\DeLand\Development\Utilities\Utility Coordination Documents\Letters and Forms\FDOT Letters\Letter sending FDOT Official Estimate to UAO.docx>
 - a. Update this information on the Tracking Chart (<H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx>)

20. Final Review Submittal Electronically (ERC) (2 Week Review Process)

- a. NO DESIGN CHANGES
21. UAO submits plans, TSP, estimates, Final Back-Out UWS (signed by FDOT's Engineer of Record) & comments/responses to previous submittal
22. EOR/Utility Coordinator updates Trns*port and notifies DUO
23. Project Manager reviews and loads submittal in ERC
 - a. Estimates
 - b. RUC
 - c. Specification
 - d. DUO
 - e. District Construction Engineer
24. Utility Coordinator compiles all comments, submits to UAO for review & responds to comments
25. DUO to notify UAO of FDOT Official Estimate (5 day letter to accept or reject estimate) (Adjustment of Agreement via D5 UWHC Summary Sheet). 1-2 months prior to advertisement date
<H:\DeLand\Development\Utilities\Utility Coordination Documents\Letters and Forms\FDOT Letters\Letter sending FDOT Official Estimate to UAO.docx>
 - a. Update this information on the Tracking Chart (<H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx>)
26. Signed & Sealed Submittal
 - a. UAO will provide a signed & sealed package to the FDOT PM to be included in the contract package to Tallahassee with a copy to utility PM for our files
 - b. Must have by production as it is included in the contract package to Tallahassee
27. If updates have been made since FDOT Official Estimate follow Step 25 to adjust to Final Estimate - DUO to notify UAO of Final Estimate (Adjustment of Agreement via UWHC Summary Sheet).

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28. UAO must forward funds 30 days prior to ad date (Click on hyperlink for Advertisement Date :)
<http://www.dot.state.fl.us/specificationsoffice/ProjectReview/Files/CriticalDatesChart2012-2013.pdf>
- a. First determine letting date “transmit package for letting” (most projects are 30 day ads. If it’s a 60 day ad, there will be a (60) next to the letting date.
29. Project Let (Bids Received) (Tallahassee typically sends us email if there is a Phase 56 on project, however in case they do not) *(FYI- Phase 56 and 52 funds will be authorized by Tallahassee at this time)*
- a. *Send email to Tallahassee (Renasia.Scott@dot.state.fl.us) requesting bid tabs.
 - b. If the Phase 56 is for a Lump Sum Agreement, send an email to Renasia Scott to let them know that this was a Lump Sum Agreement, no further action is required and the DUO approves. (See hyperlink below for example)
[H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\UWHC's \(JPA's\)\Example of Approval Email to Tallahassee for Lump Sum Agreement.pdf](H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\UWHC's (JPA's)\Example of Approval Email to Tallahassee for Lump Sum Agreement.pdf)
30. DUO to notify UAO of Contractor’s Bid (Adjustment of Agreement via UWHC Summary Sheet).
(BID TABS ARE CONFIDENTIAL UNTIL AFTER AWARD OF THE PROJECT)
- a. Once bid tabs have been received, need to add 2% CEA and 10% Contingency (allowances) to the Contractor’s Bid Amount.
 - i. If the Contractor’s Bid Amount (plus allowances) is less than the FDOT Official Estimate, skip to 29(b).
 - ii. If the Contractor’s Bid Amount (plus allowances) is more than the FDOT Official Estimate Amount, need to complete spreadsheet to determine if 110% Rule applies ([Spreadsheet to help in determining if 110% Rule is applied](#)).
 1. If 110% Rule applies, need to send an e-mail to District Director of Transportation Development ([Example Email to Director asking for FDOT Participation.pdf](#))
 2. Once approval of FDOT’s participation is received, continue to next step.
 - b. Complete the D5 UWHC Summary Sheet for this project and prepare letter to send the UAO notification of the Contractor’s Bid Amount (plus allowances).
 - c. Update this information on the Tracking Chart (<H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx>)
- *The bid tab results can be found at the following hyperlink (and may be shared with the UAO only after award of the project): http://www.dot.state.fl.us/cc-admin/Lettings/Letting_Project_Info.shtm*
31. DUO to notify Tallahassee if the UAO Accepted/Rejected Bid Amount.
[Example of Approval Email to Tallahassee - Contractors Bid.pdf](#)
[Example of Approval Email to Tallahassee for FDOT Expense - Contractors Bid.pdf](#)
- a. If required, additional funds from UAO must be in prior to posting. (Click on hyperlink for Letting and Posting Dates: <http://www.dot.state.fl.us/cc-admin/postlet.shtm>)
 - b. Update this information on the Tracking Chart (<H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx>)
32. Award of Contract
- a. If the Contractor’s Bid came in lower than the FDOT Official Estimate, if at UAO Expense, need to prepare letter to the UAO notifying them they can request excess funds.
[H:\DeLand\Development\Utilities\Utility Coordination Documents\Letters and Forms\FDOT Letters\Letter sending Notice to UAO to request excess escrow amount \(After Award\).docx](H:\DeLand\Development\Utilities\Utility Coordination Documents\Letters and Forms\FDOT Letters\Letter sending Notice to UAO to request excess escrow amount (After Award).docx)
 - b. If at FDOT Expense, need to let Work Program know these excess funds can be deleted
 - c. Update this information on the Tracking Chart (<H:\DeLand\Development\Utilities\Utility Coordination Documents\Reimbursement & UWHC Information\Reimbursement & UWHC Tracking Chart.xlsx>)
33. Start of Construction