

MODIFIED BY EI 88-025
EFFECTIVE 10/6/88

ENGINEERING INSTRUCTION

NEW YORK STATE DEPARTMENT OF

SUPERSEDED BY EI 89-001
EFFECTIVE 12/1/88

SUBJECT: FINAL PS&E SUBMISSION

Subject Code: 7.26-1

DESIGN	LANDSCAPE
TRANSPORTATION	RECEIVED
JAN 14 1988	
CIRC.	FILE

Distribution:

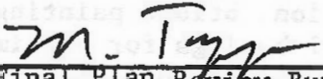
30 Main Office 32 Regions 34 Special

Code: EI 87-1

Date: 1-6-87

APPROVED:

Supersedes: EI 83-1


M. TEGZA, Final Plan Review Bureau, Director

This instruction functions as Phase VI of the Design Procedure Manual. It supersedes EI 83-1 and modifies the previous PS&E submission requirements as follows:

- A. Bridge Maintenance by contract, contract size criteria.
- B. BAMS, (Bid Analysis Monitoring System) Project Location reference.
- C. Engineer's Estimates, Reletting Case II projects.
- D. "Approved by" and "Recommended by" signatures on plans.
- E. Identification of responsible unit
- F. Handicapped pedestrian facilities standards.
- G. Form C-258a, Disadvantaged/Women's Business Enterprise Goals revised.
- H. Landscape Development Specifications.
- I. "Quick Award" letting procedure.
- J. Beginning and ending reference point markers.

All designers are hereby notified that all PS&E Transmittal Letters must follow the format outlined in this instruction.

The PS&E submission should be received by the Final Plan Review Bureau 12 weeks before a scheduled letting. Project designers are responsible for seeing that the final PS&E submission is a complete and coordinated product. PS&E for all NCA (Non-Certification Acceptance) projects must meet submission deadlines.

A PS&E consists of the following required material.

A. FINAL PLANS

- 1. One (1) BOUND set of 22" x 36" tracings and a minimum of two (2) bound sets of prints.

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The submitting office is to transmit one additional set of prints for each of the following if the project involves: Bridges, Railroads or the Non-Certification Acceptance procedure with FHWA for a total of five (5) prints under maximum conditions.

PS&E without full size plans can be on 8-1/2" x 11" format whenever permanent type construction is not involved. Typical cases for this format are: demolition, bridge painting, pavement markings, test wells, soil borings for preliminary engineering, resurfacing only and projects off the State System regardless of type of construction.

RE: HDM 21.02 (HDM - Highway Design Manual), EI 78-1.

2. Two "white prints" of Earthwork Summary Sheet ES-1 (and ES-2 where applicable). EI 81-41, EI 83-14, EI 85-49.
3. If main office is to add summary of quantities, a title block must be included as per HDM 21.02.06.
4. 100% State funded projects are to be approved by the Regional Director on title sheets; Federal Aid projects are to be recommended by the Regional Director (R. H. Edwards memo 4/16/82).
5. Beginning and ending of contract by reference marker identification is to be shown on title sheets where it is reasonable and practical to do so, such as construction, reconstruction and resurfacing projects.

B. 8-1/2" x 11" MATERIALS

One (1) unbound set of ORIGINALS or REPRODUCIBLE copy and the appropriate number (equal to number of plan prints) of bound duplicate sets of the following:

1. Report on Design RE: HDM 21.07
2. Special Notes RE: HDM 21.04, EI 82-50, EI 86-6
3. Special Specifications RE: HDM 21.03, EI 74-23, 75-81

Insert all special specifications not listed as main office inserts in the "checks" program.

4. Form CONR 9g, Supplemental Information Available to Bidders, HDM 21.09
5. Form C-258a, Disadvantaged/Women's Business Enterprise Goals, EI 85-52
6. Project Description for Newspaper Use, Form AD-102b Newspaper Use, RE: Letter 67-83.

This material should be assembled in the order listed above.

7. Appropriate copies (equal to number of plan prints) of the ENGINEER'S ESTIMATE - TITLE SHEET (FORM C114-1) for each estimate share and the combined estimate. RE: HDM 21.02.03

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8. One (1) original and appropriate copies (equal to number of plan prints) of the project location map. RE: EI 78-1, HDM 21.02.03

C. PS&E LETTER OF TRANSMITTAL

The PS&E letter shall transmit the PS&E to the Final Plan Review Bureau. One (1) original and appropriate number of copies (equal to number of plan prints) of the PS&E letter must be sent with the PS&E.

Additionally, copies of the PS&E letter must be sent to the following Main Office Units:

Capital Projects Coordination Bureau	(all projects)
Construction Division	" "
Preliminary Plan Review Bureau	" "
Landscape Architecture Bureau	" "
Contracts Bureau	" "
Structures Division	(projects involving structures)
Rail Operations Bureau	(projects involving RR's)
Soil Mechanics Bureau	(projects involving Soils)
Traffic & Safety Division	(projects involving safety programs)
Real Estate Division	(projects involving acquisition of right-of-way)
Highway Maintenance Division	(projects with Maintenance Funding)

All PS&E Transmittal Letters MUST address the following items:

1. A detailed listing of what is being transmitted - indicate if plans or materials are to be added by others.
2. Type of contract, anticipated letting date.
3. Location Approval Date.
4. Design Approval Date.
5. Advance Detail Plan submission date and date that comments were resolved.
6. Status of Resolutions and Agreements (RE: EI 79-27). If some or all have already been submitted, indicate the date(s) when.
 - a. Examples of resolutions and agreements are given in Chapter 14 of the Highway Design Manual.
 - b. The copies sent to the Main Office, usually 2, are filed: 1 in project file and 1 in Final Plan Review Bureau file.

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7. Project determinations - FHWA concurrence date for:
 - a. Clearinghouse reviews.
 - b. Environmental Determination.
8. Give status of the following; when appropriate, include dates (RE: EI 79-27):
 - a. Final Environmental Impact Statement, Finding of No Significant Impact. Environmental Impact Statement Re-evaluation.
 - b. Section 4(f)/106 involvement review.
 - c. Noise report - provisions for abatement measures.
 - d. State Environmental Quality Review Act determinations (SEQR).
 - e. Permits such as:
 - (1) Indirect source Air Quality Permit (ENCON-PART 203)
 - (2) Corps of Engineer Permit - navigable waters - (Sect. 404)
 - (3) Coast Guard Permit
 - (4) Freshwater/Tidal Wetlands Permit (ENCON-IPDG # 19 & 21)
 - (5) State Pollutant discharge Elimination System Permit (SPDES)
 - (6) Flood Plain hazard work permit (ENCON)
 - (7) Adirondack Park Agency permit (letter of compliance with Park use from APA)
 - (8) Involvement/Non-involvement with NYSHPA (100% State Projects)
9. Status of force accounts (Railroad, utilities, etc.).
10. Provide a list of fixed price items and a list of proprietary items. For the proprietary items, indicate the date they were approved for use on the project. Also, if granite curbing has been specified for highway purposes, indicate the date its use was approved (see HDM 3.03.05 & EI 82-23).
11. List of agencies directly involved in construction, maintenance or ownership of the project. Statement that the agency has received a copy of the PS&E submission.
12. Statement whether supervision of construction is to be by State or Consultant forces.
13. Statement of availability of right-of-way. (RE: EI 79-27)
14. Statement whether the project either has or does not have a total of five or more acres of forest cover containing marketable forest products. If more than five acres, indicate that the Region has coordinated with the Department of Environmental Conservation.

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15. Statement that the Engineer's Estimate has been finalized and is ready for ownership transfer. (Note: A message is to be sent via the computer terminal that the estimate files have been finalized no later than the date of PS&E Transmittal, and preferably a week earlier. RE: EI 77-55.
- 15a. Engineer's Estimate: indicate its previous letting(s) if the project is a relet project. If the project was a Case II project in its last letting, check EI 85-54 for additional data that must be submitted to justify price increases.

DO NOT SUBMIT THE PLANS & SPECIFICATIONS UNTIL THE ESTIMATES ARE TRANSFERABLE.

16. Statement whether or not the Engineer's Estimate exceeds the approved current work program cost estimate or action memorandum estimate by more than 10%.
17. Official Order Required: Indicate if an Official Order for a temporary detour is required per Section 42 of the Highway Law.
18. Projects being let under specifications other than NYS DOT specifications:
Statement that the Region has reviewed the plans and specifications and that the proposed contract meets applicable State and Federal requirements.
19. Date of the approved Construction Maintenance and Protection of Traffic Plan.
20. Statement that all pedestrian facilities that will be constructed, reconstructed, reconditioned or altered as part of this project have been designed in accordance with applicable handicapped accessibility standards. (RE: EI 84-6, EI 85-3, EI 86-21 & HDM Chap. 18).
21. Projects under Certification Acceptance - The Regional Director is to add the following statement: "I have had the plans for this project reviewed and am satisfied that the engineering requirements have been met." followed by his signature or his designated representative's.
22. There are some projects that use traffic signal equipment that is supplied by the State. In those projects where there is State supplied traffic signal equipment, the PS&E submission must contain the appropriate number of copies of form TE 200b (3/81).
- RE: EI 81-10, & EI 86-32
23. Statement addressing Bridge Maintenance by Contract, Contract size criteria. See June 24, 1986 memo - J. Thomas to All Maintenance Engineers.
24. Statement providing BAMS, Bid Analysis Monitoring System Project Location Reference (EI 86-37).
25. Statement indicating who was the responsible unit. (ie. Traffic & Safety; Structures Division).

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26. Statement regarding "Quick Award" letting of emergency highway projects. (See MAP 7.1-7-3).

27. Last minute problems.

D. UTILITY RELOCATION

1. The Special Notes (B.2. above) will include COORDINATION WITH THE UTILITY SCHEDULE. Refer to sample copy of same found in Attachment B of EI 82-4.

2. The Status of utilities (C.9. above) is to be a FINAL UTILITIES INVENTORY (Form HC 203) prepared by the Designer with support from the Utilities Engineer. Refer to EI 73-35 for sample copy.

3. A Final Utilities Inventory (Form HC203) must also be submitted directly to the Main Office Utilities Section. The report must include all utility agreements still outstanding, with an indication of the type of action (reimbursable, non-reimbursable, betterment, etc.).

RE: EI 73-35, 74-67, 77-14, 80-22, 80-31, 82-4.