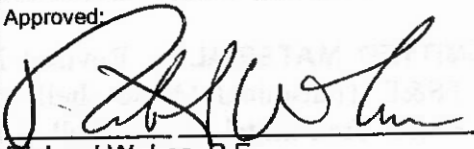


To: SUPERSEDED BY EB 11-010 EFFECTIVE 09/01/2011		New York State Department of Transportation ENGINEERING INSTRUCTION	EI 10-036
Title: ELECTRONIC PLANS, SPECIFICATIONS & ESTIMATE (PS&E) AND AMENDMENT SUBMISSIONS			
Distribution: ☒ Manufacturers (18) ☒ Surveyors (33) ☒ Local Govt. (31) ☒ Consultants (34) ☒ Agencies (32) ☒ Contractors (39) ☐ _____ ()		Approved:  Richard W. Lee, P.E. Acting Deputy Chief Engineer, Design 12/13/10 Date	

ADMINISTRATIVE INFORMATION:

- **Effective Date:** This Engineering Instruction (EI) is effective beginning with PS&E's submitted for the letting of May 5, 2011. Designers are encouraged to begin implementation immediately.
- **Superseded Issuance:**
 - EI 10-021 Disadvantaged Business Enterprise (DBE) Goal Setting Guidance for Federally-Aided Construction Contracts.
- **Disposition of Issued Materials:** The materials issued with this EI will eventually reside in Chapter 21 of the Highway Design Manual. A revision to Chapter 21 in its entirety is scheduled to be issued in 2011.

PURPOSE: To announce the issuance of revisions to HDM Sections 21.9 – PS&E SUBMISSIONS, 21.10 – AMENDMENTS, and the PS&E Transmittal Memo shell.

TECHNICAL INFORMATION:

- The revisions to HDM Sections 21.9, 21.10, and the PS&E Transmittal Memo shell are intended to provide clear, consistent guidance to designers on the electronic submittal of PS&E and Amendment materials to the Main Office Design Quality Assurance Bureau and M.O. cc's.
- **Other Changes Being Transmitted with this Issuance:**
 - All projects (both "contracts with plans" and "proposal-only contracts") must now have a contract D# requested and assigned prior to PS&E Transmittal, to facilitate electronic folder- and file-naming conventions.
 - Revised guidance on Engineer's Estimate submittal. A separate e-mail notification to DQAB's PS&E Section that the Engineer's Estimate has been uploaded to Trns*port PES is no longer required. This notification has been built into the PS&E Transmittal Memo shell. Additional information on uploading the Engineer's Estimate to Trns*port PES is referenced in Section 21.9 and available on the PS&E Section's Intradot site.
 - Elimination of Forms C114-1 (EE Title Sheet) and AD-102f (Project Description for Newspaper Use). Pertinent information from these forms have been built into the PS&E Transmittal Memo.
 - Improved guidance on the Listing of Additional Insured Parties.
 - Removed D/M&WBE goal setting process from Section 21.9 and replaced with internet references.

IMPLEMENTATION:

- Designers are required to comply with the transmitted guidance beginning with PS&E's submitted for the letting of May 5, 2011. Designers are encouraged to implement electronic PS&E submissions in accordance with the guidance immediately.

TRANSMITTED MATERIALS: Revised HDM Sections 21.9 and 21.10 (pages 1-24), and a revised PS&E Transmittal Memo shell (pages 1-9) are transmitted with this issuance. The revised PS&E Transmittal Memo shell is also available at the Department's HDM Chapter 21 website and the PS&E Section's Intradot site.

BACKGROUND: The Department will be discontinuing the production, distribution, and sale of hard copy bid documents to prospective bidders. Beginning with the letting of February 10, 2011, bid documents will be produced, distributed, and sold electronically. The materials transmitted with this EI have been developed to facilitate this change. It is anticipated that limited quantities of hard copy bid documents will be produced to meet construction contract administration, supervision, inspection, and other legitimate business needs.

CONTACT: Questions or comments regarding this issuance should be directed to Matt Bromirski, DQAB PS&E Section Leader, (518) 485-0822, mbromirski@dot.state.ny.us.

21.9 PS&E SUBMISSIONS

This section states the requirements for a PS&E submission, including the required format and content for PS&E transmittal memos. If it is determined during the preparation of the PS&E submission that changes will be required, the PS&E should be held and revised in order to avoid the amendment process.

PS&E components shall be posted electronically to the "P" Drive, with e-mail notification to affected Main Office program areas of the availability of the PS&E materials. See Section 21.9.2.5 for directions on the e-mail notification. The notification e-mail should not be sent until the plans, proposal materials, and supporting materials for project processing have been posted to the "P" Drive in accordance with the requirements of this Section; and the engineer's estimate has been uploaded to Trns*port PES.

Requirements for Design Phase IV submission, and instructions regarding the procedural steps to be followed in Design Phase IV for the type of project being progressed, are provided in Chapter 4 of the Project Development Manual. Preliminary plans and Advance Detail Plans should be prepared for submittal as discussed in Section 21.3.7 and 21.3.8 of this Chapter.

21.9.1 Deadlines

The Project Management Bureau issues the Department's bid opening schedule annually. The schedule is posted on the DQAB PS&E Section's Intradot site. This schedule tabulates letting dates, PS&E submission deadlines, special specification submittal deadlines, and amendment deadlines, among other information. These are dates by which material must be received by DQAB and must be followed in order to maintain the scheduled letting. Deadlines for projects requiring FHWA PS&E approval are critical due to FHWA review time requirements.

21.9.2 Format and Submittal

The PS&E submission to the DQAB, PS&E Section, shall consist of the following components:

1. Plans, if applicable (See Section 21.9.2.1). Some projects may be prepared and submitted in proposal only format as discussed in Section 21.2 of this Chapter.
2. Proposal materials (See Section 21.9.2.2)
3. Supporting materials for project processing (See Section 21.9.2.3)
4. Engineer's Estimate (uploaded to Trns*port PES, see Section 21.9.2.4)
5. PS&E transmittal memo (See Section 21.9.2.5)

These components are described in further detail in the following pages. PS&E processing will not commence until the above components have been submitted.

All PS&E submittal components other than the Engineer's Estimate shall be submitted to the DQAB, PS&E Section by posting the files to the Bid Documents directory on the "P" Drive at:

P:\Toolbox\Documents & Resources\Bid Documents\Mailbox\PS&E Transmittals\Dnnnnnn,

Where "Dnnnnnn" is the contract number for the individual project.

Please note that the Mailbox folder system is intended as a transfer directory only, and files will be periodically purged. If a back-up copy is desired by the Region, staff should be sure to save back-up copies to ProjectWise or another location.

21.9.2.1 Plans

The plans should be prepared as discussed in Section 21.2 of this Chapter. All plan sheets shall be submitted ready for printing to 11" x 17" sheet size.

Plans shall be submitted in Portable Document Format (pdf) as a single pdf file. Individual plan sheets used to create the single pdf file should be generated from Microstation when professional/seal signature is not required. Sealed/signed plan sheets must be scanned. Best practices for scanning include setting the scanner for at least 300 LPI Resolution (600 LPI is best). It is recommended to conduct a test scan using BITMAP mode. If the quality is not acceptable, change to Grayscale mode. RGB mode or any color scanning mode should be avoided.

The file naming convention for the pdf plan set shall be: Dnnnnnn_R#_Plans.pdf.

If more than one pdf file is required, the naming convention shall be:
Dnnnnnn_R#_Plans_VolXofY.pdf,

Where "Dnnnnnn" is the contract number, "R#" is a two-digit number representing the Region (i.e., "01", etc.), and "VolXofY" indicates the planset volume number, for example Vol2of3.

It shall be the responsibility of the designer to ensure that changes and amendments to the PS&E plans are coordinated in such a manner that the Microstation files transferred to Construction and the pdf files submitted to DQAB's PS&E Section remain in synch.

21.9.2.2 Proposal Materials

All proposal materials shall be submitted ready for printing to 8 ½" x 11" sheet size.

Proposal materials shall be submitted in pdf format as separate pdf files as indicated below. The pdf files should be generated directly from native file formats whenever possible. Sealed/signed pages must be scanned in accordance with the above best practices.

Proposal materials provided by the Region include the following:

- Signed Title Page (for proposal only projects) submitted as a pdf file named:
Dnnnnnn_R#_Title Page.pdf
- Professional Seal and Violation Note Page (for proposal only projects) submitted as a pdf file named:
Dnnnnnn_R#_ProfSeal.pdf
- Additional Location Map(s) (for proposal only projects, if provided) submitted as a single pdf file named:
Dnnnnnn_R#_LocationMap.pdf

- Earthwork Definitions and Earthwork Summary Sheet (for proposal only projects, as discussed in HDM Chapter 9, Section 9.7.1) submitted as a single pdf file named: Dnnnnnn_R#_Earthwork Summary Sheets.pdf
- Project Detail Sheets (for proposal only projects) submitted as a single pdf file named: Dnnnnnn_R#_Project Details.pdf
- Special Notes (discussed in Section 21.4). Each separate Special Note shall be submitted as a separate pdf file with an intuitive name. A Special Notes subfolder should be created within the Dnnnnnn parent folder.
- Special Specifications (discussed in Section 21.3). Each separate Special Specification shall be submitted as a separate pdf file. A Special Specifications subfolder should be created within the Dnnnnnn parent folder.
- Form CONR9 Supplemental Information Available to Bidders (discussed in Section 21.7), submitted as a pdf file named: Dnnnnnn_R#_CONR9.pdf.
- Railroad Agreement (if required and available), submitted as a pdf file named: Dnnnnnn_R#_RR Agreement.pdf
- Listing of Additional Insured Parties (discussed below) submitted as a pdf file named: Dnnnnnn_R#_Additional Insureds.pdf

A listing of Additional Insured Parties (Refer to Section 107-06 A.4. of the Standard Specifications and the below guidance) for which the Contractor must provide insurance coverage must be submitted with each PS&E. DQAB's PS&E Section will include this listing within the Required Contract Provisions section of the proposal.

The listing of Additional Insured Parties should include the State of New York/New York State Department of Transportation; any municipality (i.e. Village, Town, City, County) in which the work is being performed; and any public benefit corporation (e.g. Metropolitan Transportation Authority and its subsidiaries, NYS Thruway Authority, etc.), railroad, or public utility (e.g. National Grid, NYSEG, Verizon, etc.) whose property is occupied or facilities are affected by the work. The listing of Additional Insureds should also include the following notes:

"Coverage must also be provided for any consultant inspecting engineer or inspector (and their agents) working for or on the project", and;

"The above listing supplements Section 107-06 INSURANCE of the Standard Specifications."

For emergency contracts or other contracts where the precise location(s) and impact(s) of the contract work is not known at the time of the PS&E submission, the listing of Additional Insured Parties should include any known entities in accordance with the above guidance. In addition, for these types of contracts, the listing of Additional Insured Parties should include the statement "As the location(s) of work becomes known, the Engineer-In-Charge will call for the addition of Additional Insured Parties to the contractor's insurance requirements as specified in Section 107-06 A.4. of the Standard Specifications."

21.9.2.3 Supporting Materials for Project Processing

Supporting Materials for Project Processing, when applicable, shall be submitted in pdf format as separate pdf files as indicated below. The pdf files should be generated directly from native file formats whenever possible rather than scanned.

Supporting Materials for Project Processing, when applicable, may include the following:

- ROW Certificate and any accompanying materials (See Section 21.9.2.5.B, Content of PS&E Transmittal Memo, for additional information), submitted as a single pdf file named:
Dnnnnnn_R#_ROWCert.pdf
- ECOPAC, submitted as a single pdf file named:
Dnnnnnn_R#_ECOPAC.pdf
- Special Specification Inventory form, submitted as an Excel file named:
Dnnnnnn_R#_SpecialSpecStatus.xls
- GreenLITES Scorecard (required for all projects other than emergency standby, where and when, or job order contracts), submitted as an Excel file named:
Dnnnnnn_R#_GreenLITESScorecard.xls
- Request for Change in Goals Form, HC 258 (only when a change from the assigned goal(s) is being requested, see Section 21.9.2.5.B Content of PS&E Transmittal Memo for additional information), submitted as a pdf file named:
Dnnnnnn_R#_HC258.pdf
- Lump Sum Price Analyses – The computations performed to estimate the cost and quantity for lump sum items (only required for projects requiring FHWA PS&E approval). These should be submitted as a single pdf file named:
Dnnnnnn_R#_LS Price Analyses.pdf
- Betterment Work Sheets – Work sheets used in determining how to allocate project costs between funding shares when a betterment is provided, see Section 21.6.3.6 (only required for projects requiring FHWA PS&E approval). These should be submitted as a single pdf file named:
Dnnnnnn_R#_Betterment Sheets.pdf
- Resolutions and/or Agreements – Required executed resolutions and/or agreements, as determined by the Region, should be submitted as separate pdf files with intuitive naming conventions, for example:
Dnnnnnn_R#_Village of Hoosick Falls_Lighting Resolution.pdf

21.9.2.4 Engineer's Estimate Submittal

The Region shall upload the Engineer's Estimate to the Transport Proposal & Estimates System (PES), run several quality control processes to ensure the estimate is ready for submittal, and enter several key data components to the project in PES prior to providing e-mail notification of

the availability of the PS&E materials. These steps are explained in further detail at the "Tools You Can Use" page of the PS&E Section Intradot Site.

21.9.2.5 PS&E Transmittal Memo

The PS&E transmittal memo formally transmits the project from the Region to the Main Office to prepare for advertisement and letting. It should be prepared by the functional group responsible for the design and forwarded by the project manager via the Regional Planning and Program Manager (RPPM) to the Regional Director for signature. The RPPM's recommendation denotes administrative approval of the project (i.e., it is consistent with the Region's program). The Regional Director's signature constitutes the Region's recommendation to proceed to contract advertisement and letting.

The PS&E transmittal memo informs various groups that the PS&E is being submitted, and provides information needed for the Main Office to: distribute the PS&E materials for review; prepare the final contract documents; request FHWA PS&E approval (when necessary as indicated by the Region) and authorization to advertise the project (when federal funds are involved); advertise for letting; and let and award the project. Guidance and requirements regarding the distribution and content of the PS&E transmittal memo are provided in Sections A and B on the following pages.

The PS&E Transmittal Memo shall be submitted as a pdf file named:
Dnnnnnn_R#_PSE Transmittal Memo.pdf

A. Notification of Availability of PS&E Transmittal Memo and PS&E Materials

After the plans, proposal materials, and supporting materials for project processing have been posted to the "P" Drive in accordance with the requirements of this Section; and the engineer's estimate has been uploaded to Trns*port PES; a notification e-mail should be sent from the Region to DQAB's PS&E Section and appropriate MO Functional Units.

The e-mail should come from the individual responsible for submitting the PS&E, and be addressed to DQAB's PS&E Section at dot.dl.PSE.Section. It should include the PIN, D# and a brief project description. The e-mail should also provide a hyperlink to the path to the PS&E Transmittal Memo and PS&E materials available on the "P" drive. Regional notification of the availability of the PS&E Transmittal Memo and materials may also be built into this process.

Main Office Functional Units must be copied on the notification e-mail as indicated below:

<u>Main Office Functional Unit</u>	<u>Outlook Group Name</u>
DQAB PS&E Section (All Projects)	dot.dl.PSE.Section
Project Management Bureau (All Projects)	dot.dl.Project.Mgmt
Office of Construction (All Projects)	dot.sm.mo.construction
Contract Management Bureau	dot.dl.PSE.contracts

(All Projects)	
Geotechnical Engineering Bureau (All Projects)	dot.dl.mo.Geotech
Office of Real Estate (All Projects)	dot.dl.RE.programming
Statewide Policy Bureau (All Projects)	dot.sm.mo.green.lites
Office of Environment (All Projects)	dot.dl.MO.Landscape.Architecture.REL
DQAB DSS, Rail Agreements Unit (Projects Involving Railroads)	dot.dl.MO.Rail.Agreements.Unit
Office of Structures (Projects Involving Bridges)	dot.dl.Structures.PSE.Review
Office of Traffic Safety and Mobility (Projects Involving Safety Programs, Intersection Improvements, and Intelligent Transportation Systems) ,	dot.dl.MO.Traffic.Safety&Mobility
Office of Transportation System Maint. <u>(Projects Involving Pavement and/or Bridge Preventive Maintenance)</u>	dot.sm.mo.transportation.maintenance

B. Content of PS&E Transmittal Memo.

The PS&E Transmittal Memo, in addition to transmitting the PS&E to DQAB, conveys information regarding the project's status (i.e., information to support advertisement, letting, and award) to groups within the Department and outside agencies.

The latest PS&E Transmittal Memo shell is available on both the Department's Internet and the PS&E Section's Intradot sites. The shell contains sample statements for the various items. Additional guidance on completing the shell appears as redlined text. Redlined and bracketed letters "[A]", "[B]", etc. contain alternate responses from which one must be chosen. All redlined text should be deleted from the final version of the memo. Designers should always download the most recent version of the memo.

General guidance on addressing the information required in the PS&E Transmittal Memo is provided below. The item numbers correspond to those in the shell.

At the beginning of the PS&E Transmittal Memo, the designer shall indicate if a review of the PS&E Materials by the FHWA (for projects requiring FHWA PS&E approval or that involve an Interstate (including bridges over an Interstate)), NYS Thruway Authority or Canal Corporation (for projects involving those entities), the Office of Structures (for bridge projects requiring a PS&E review per Section 20 of the Bridge Manual), or DQAB's Rail Agreements

Unit (for projects involving railroads) is required, The PS&E Section will coordinate these reviews.

B.1 PS&E Materials Indicate that the Engineer's Estimate has been uploaded to Trns*port PES. List the Engineer's Estimate Total, Number of Items, Number of Engineering Shares, and Specification Year/Units.

List all files that have been posted to the "P" Drive.

The notification e-mail should not be sent until the Engineer's Estimate has been uploaded and all files have been posted.

B.2 Project Description The Project Description is useful to all recipients of the PS&E Transmittal Memo as a general reference, and should be particularly useful to the Regional Public Information Officer and Regional Construction staff. In addition, the information provided is used by DQAB's PS&E Section to request wage rates, prepare the newspaper advertisement, and enter the project into the Record Plans database.

- a. Route Number(s) (State Highway Number(s)). Each Route (e.g., I-90, US 9W, NY 155, etc.) and corresponding State Highway Number that the project includes work on should be listed. For Region- or County-wide projects, emergency standby projects, job order contracts, etc., "various" is an appropriate response.
- b. Counties. List all counties in which contract work will be performed.
- c. Categories of Work. List the major types of work that are included in the contract, such as drainage installation, pavement resurfacing, sidewalk installation, bridge rehabilitation, and so on. This information is useful for both obtaining wage rates from the Department of Labor and analyzing the D/M/WBE goals, if applicable.
- d. Project Limits. Using familiar local points/crossroads, describe the work begin and end points. This item will not be applicable for some projects.
- e. Project Length. State approximate (within 0.1 mile) centerline length of the project for general reference purposes.
- f. Roadway Improvements. The intent of this item is to highlight improvements that will be included in the project, such as adding a turning lane, widening or reconstructing the shoulders, replacing or adding closed drainage, adding sidewalk and/or curbs, and so on.
- g. Structure Improvements. Again, the intent is to highlight improvements, such as replacing the structural deck, replacing the bridge rail, joints, substructure components, and so on. The BIN for each structure being worked on should be listed. For bridge rehabilitation or replacement projects, the Bridge Type (e.g., multigirder) should be listed for inclusion in the advertisement.
- h. Other Public Benefits/Noteworthy Features. Other features not described above, such as a new off-street parking lot, access modifications, pocket parks, and so on. In general, things that the media, public, or Department management would be interested to know are part of your project.
- i. Traffic Management Plan. As brief a description as possible. Indicate whether lane closures are expected, or if a detour will be in effect. For complex, multi-phase projects, a statement to that effect with a reference to the plans will suffice.

- j. **Special Required Contract Provisions.** Indicate whether the project includes alternate bidding, night work, or any time related or other special contract provisions. This information is important to prospective bidders and will be highlighted in the advertisement for the contract.
- k. **General Project Description.** Write a short sentence or paragraph that describes the project in terms understandable to the general public.

B.3 Agency Coordination List agencies directly involved in construction, maintenance, or ownership of the project, and state that the Region has provided them with a copy of the plans and other project documents as appropriate.

B.4 Project Work Type State the project work type per Appendix 5 of the Project Development Manual. If the project is a Pavement or Bridge Preventive/Corrective Maintenance project, additional information is required as explained in the PS&E Transmittal Memo shell. This information is tracked by the Office of Transportation Maintenance.

B.5 Previous Letting(s) If the project is being relet, indicate previous Contract D number and letting date(s). Also indicate why the project is being relet (i.e. all bids were rejected or no bids were received).

B.6 Letting Date and Contract Completion Date State the suggested letting date and contract completion date. The contract completion date will be listed on page 1 of the contract proposal. As project letting dates are in a state of flux to meet the Department's program needs, it is not recommended to repeat the letting date or contract completion date in Special Notes or any other portion of the bid documents. This will enable the Department to implement changes to contract completion dates with minimal conflicts.

When proposing a completion date, consider the time of year construction will start, project urgency, length of construction season, waiting time for embankments, planting seasons, utility facility adjustments, lead time for materials (e.g., structural steel, signal poles), and probable construction sequencing. Consult Regional Construction before establishing the completion date.

On separate landscape development contracts where planting work will be the major part of the project, the Regional Landscape Architecture and Environmental Services Group should be consulted and contract completion dates should be set at the end of the period of establishment.

B.7 Construction Inspection State whether inspection of construction will be performed by State or consultant forces.

B.8 Prebid Meeting State whether or not a prebid meeting will be held, and if so, where and when. The notice for a prebid meeting will be included in the advertisement for project letting and on page 1 of the contract proposal.

Prebid meetings are worthwhile to clarify contract requirements with contractors, and identify areas where additional or revised information is required to be issued by amendment (based on the meeting) before bids are received. In addition, they provide an opportunity to alleviate confusion and provide useful discussion concerning contract construction issues and D/M/WBE goals.

Department policy is for the Region to schedule a prebid meeting for all projects with an estimated construction cost equal to or greater than \$10 million. The Regional Director may approve a waiver to this policy at his/her discretion. The reason(s) for the waiver should be discussed in this section of the memo.

For projects less than \$10 million, prebid meetings are optional. Prebid meetings should be considered for these projects when they require special construction methods, equipment, time constraints, sequential operations, or exhibit unusual features. The Director of the Audit and Civil Rights Division shall notify the Regional Director of any project less than \$10 million which may require a prebid meeting on the basis of affirmative action matters.

Prebid meetings should not be scheduled on letting dates. Additionally it is desirable to avoid the two previous days, or at a minimum, the day before a scheduled letting. To meet the amendment deadline, the prebid meeting should be held approximately five weeks before the letting date.

In order to provide bidders a reasonable amount of time to examine the bid documents and determine possible problem areas in the period between the date the bid documents are available and the pre-bid meeting, a six week ad is the minimum necessary.

Although bidders will be advised to attend the prebid meeting at a specified Regional location, attendance is not a mandatory prerequisite to submitting a bid. However, attendance at prebid meetings will be viewed as an element of good faith for the purpose of clarifying D/M/WBE issues. An agenda for a prebid meeting may include a brief project description and a discussion of:

1. Unusual construction features.
2. Environmental concerns (such as protected wetlands), and special commitments included in the Design Approval Document.
3. Additional approvals, permits or requirements by other agencies or groups.
4. Special utility involvements.
5. Special notes or specifications.
6. Maintenance and protection of traffic requirements.
7. Schedule conditions - incentive/disincentive clauses.
8. D/M/WBE provisions and other Department procedures.
9. ROW availability.

The Regional Design Engineer will notify the different Departmental organizations, and consultants, if appropriate, who have an interest in, or are requested to participate in the prebid meeting. At the meeting, all contractors will be required to enter their name, title, and function onto an attendance sheet that notes: "The contractor's attendance at this prebid meeting is not a substitute for compliance with Article 3 of the Standard Form Agreement. This Article requires, among other things, the bidder's careful examination of the contract documents, the site of the proposed work as well as its surrounding territory, and all of the conditions affecting the work to be done as specified in the contract documents."

This meeting attendance record will be considered part of the contract records. There will be no formal transcript of the meeting proceedings, but notes or recordings may be kept for internal Department use.

The Regional Design Engineer will designate the individual responsible for conducting a prebid meeting. Care must be taken in prebid meetings to avoid off-the-cuff interpretations which could contradict and vary from the terms required by the contract or make interpretations without the benefit of a normal detailed review. Oral responses by Department personnel should be in conformance with specification requirements. If, as a result of the prebid meeting, any clarification of the specifications is warranted, it will be incorporated into an amendment (assuming there is time to meet the amendment deadline) and sent to all prospective bidders. If there is not time to issue an amendment, consideration should be given to postponing the letting.

B.9 Federal Aid Procedure For Federal Aid projects, state if FHWA approval of the PS&E is necessary. This determination should be based on the SAFETEA-LU Design Related Approval Matrix, provided as Exhibit 4-2 in the *Project Development Manual*. In addition, reference approval status of any proprietary specifications shown on the Special Specification Inventory form. Also reference any approvals associated with the use of salvaged materials (See Section 21.3.6 of this Manual).

For projects that require FHWA PS&E approval, the designer must also submit the computations performed to estimate the cost and quantity for lump sum items, and work sheets used to calculate utility betterment participation, if applicable.

B.10 Design Approval **State** the type of Design Approval Document used, the date of design approval, and who granted design approval. List any non-standard feature approvals since design approval was granted.

B.11 Priority Award **State** if a priority award is being requested, and if so, state why. A priority award refers to shortening the duration between project letting and award. The duration is reduced from the usual 45 days maximum to 22 days maximum (Reference Manual of Administrative Procedures, Code 7.1-7).

B.12 Newspaper Advertisement Length Indicate the desired advertisement length.

The length of contract advertisement must provide enough time for bidders and suppliers to determine estimated costs of the work to be performed. Guidance regarding advertisement durations is provided in Table 21-9 on the following page. Cost alone may not be an appropriate guide for determining an ad length. For example, a 4-week advertisement may be appropriate for a 10 mile freeway resurfacing contract with an engineer's estimate over \$5,000,000, since it may not be substantially more difficult to estimate than a similar project half as long and less expensive. Conversely, an increase in the recommended advertisement duration may be appropriate for complex projects and projects requiring special trade expertise.

Table 21-9 Recommended Newspaper Advertisement Lengths

News Ad Length (weeks)	Project Parameters
6 or more	- Engineers estimate over \$10 M. - Complex projects (e.g., unusual designs, alternate bridge designs, traffic control plans consisting of several stages).
5	Engineers estimate of \$5 M to \$10 M.
4	Recommended ad length for engineers estimates under \$5 M.
3	Approved by Regional Director. Limited to small, noncomplex projects or projects initiated as a result of an emergency.
Less than 3	Rare. See note below for special requirements.

Note. Projects with News Ad lengths of less than 3 weeks require special handling due to a legal requirement that contract notices be published in the New York State Contract Reporter a minimum of 15 business days prior to the date the bid is due. In addition, if the project requires FHWA PS&E approval, the FHWA has approval authority over proposed News Ad lengths of less than 3 weeks (reference 23CFR635.112 Advertising for Bids). DQAB's PS&E Section should be consulted prior to proposing a News Ad length of less than 3 weeks.

B.13 Prerequisites to Advertisement Right-of-way, environmental determinations, permits, approvals, resolutions, and agreements (i.e., state-railroad force account agreements, and agreements with municipalities) should be finalized or obtained prior to advertisement. If any of these activities are not completed at the time of PS&E submission to DQAB, the Region shall address the status of these activities in the PS&E Transmittal Memo.

B.13.a Right of way (ROW) State that the ROW Clearance Certificate (ROW 9-14A) is being transmitted with the PS&E. In general, the ROW Clearance Certificate is prepared by the Regional Real Estate Group and provided to the Regional Functional Group preparing the PS&E Transmittal Memo (Reference - Real Estate Division Procedure A02-1-07 "Certification of Right of Way Clearance for Capital Projects" and the Project Development Manual Phase VI steps).

If item (c) of the ROW Clearance Certificate is checked, the Acquisition and Clearance Status Report (ROW 9-15A) should accompany the ROW Clearance Certificate, as provided by the Regional Real Estate Group.

If item (d) of the ROW Clearance Certificate is checked, it is indicative that necessary property will not be acquired and cleared prior to project advertisement. In these rare situations, called projections, the Acquisition and Clearance Status Report (ROW 9-15A)

and Special Note – Availability of ROW (ROW 9-16A) should accompany the ROW Clearance Certificate, as provided by the Regional Real Estate Group. In addition, the Regional Functional Group preparing the PS&E Transmittal Memo is responsible for preparing an engineering justification to proceed to advertisement, letting & award without having all of the right of way necessary for the project; and a contract plan sheet showing the projected area(s) with expected date(s) of availability(s). This is in accordance with Real Estate Division Procedure A02-1-08 "Projection of Right of Way on Capital Projects".

B.13.b Environmental Issues

1. National Environmental Policy Act (NEPA) - For federally funded projects, state which one of the following types of environmental determination has been made, the date of the determination, and who (i.e., NYSDOT Regional Director, FHWA, Thruway Authority, etc.) made the determination.
 - A. Categorical exclusion (Class II projects). Also state the type (automatic, programmatic, or categorical exclusion with documentation).
 - B. Finding of No Significant Impact (FONSI) (Class III projects). Processed with an Environmental Assessment (EA).
 - C. Record of Decision (Class I projects). Processed with an Environmental Impact Statement (EIS). For those projects subject to reevaluation, state the date that the reevaluation was made.
2. State Environmental Quality Review Act (SEQR) - For all projects, state which one of the following types of project and environmental determination has been made, the date of the determination, and who within the Region made the determination.
 - A. Exempt – not subject to SEQR
 - B. Type II projects – No Significant Effect on the Environment.
 - C. Non-Type II projects processed with an Environmental Assessment - Determination of No Significant Effect (DONSE) (i.e., Negative Declaration).
 - D. Non-Type II projects processed with an EIS - Record of Decision.
3. Environmental Permits/Approvals - List all environmental permits/approvals required for the project and their status.

B.13.c Statewide Transportation Improvement Program (STIP)/ Transportation Improvement Program (TIP) - State whether or not the project is on the STIP (and TIP, for projects under the jurisdiction of a local Metropolitan Planning Organization), and if the STIP (and TIP, if applicable) needs to be amended. This information should be obtained from the Regional Planning and Program Management Group.

B.13.d Resolutions/Agreements List all resolutions and agreements required for the project, and the status of their transmittal to DQAB's PS&E Section.

B.13.e List Affected Utilities and give an indication of the status of any pending agreements and other contract provisions (i.e., betterments) which have an influence on the contract award. State that a final Utilities Inventory (Form HC 203) has been submitted directly to the Design Support Services Section of DQAB by the Regional Utilities Engineer.

B.13.f Railroad State whether or not a railroad exists within the contract limits. If a state railroad agreement is necessary, indicate the current status and anticipated completion date.

B.14. Disadvantaged/Minority/Women's Business Enterprise Goals

For projects funded wholly or partially with any amount of federal funds, provide the appropriate Contract Group Type # and corresponding Disadvantaged Business Enterprise (DBE) Goal for the project, and indicate if a change to the Department's assigned goal is being requested (see discussion below). The Procedural Steps for Setting DBE Goals, Table of Construction Contract Groups, Table of Region/County breakdown, and Table of DBE Goals for Construction Contracts are available through the Chapter 21 website.

For 100% state-funded projects, provide the appropriate Contract Group Type # and corresponding Minority Business Enterprise (MBE) and Women's Business Enterprise (WBE) goals for the project. Indicate if a change to the Department's assigned goals are being requested (see discussion below). As with DBE goals, the procedural steps and tables for M/WBE goals are available through the Chapter 21 website.

The Region may request a change (increase, decrease, or waiver) to the assigned goal(s). For projects which are of a specialized nature with only a few pay items, resulting in limited opportunities for D/M/WBE participation, a waiver or decrease to the goal(s) shown may be requested. Changes to the assigned goal(s) may also be requested on an exception basis if the project is the result of significant public interest, or if there are other extenuating circumstances. Conversely, the Region or Office of Civil Rights may have an interest in increasing D/M/WBE participation on any given project. Changes in assigned goals must be pursued using form HC-258, Request for Change in Goals. Requests for changes in goals should not be routine, and any questions regarding the appropriateness of goals should be referred to the Office of Civil Rights. The specific reasons for the request must be stated on the signed form.

When requesting a change in goals, a signed form HC-258 must be submitted with the PS&E. DQAB's PS&E Section will coordinate the review of the Request for Change in Goals with the Office of Construction and the Office of Civil Rights. In the interest of expediting processing, designers are encouraged to consult with the Regional Compliance Specialist and get their recommendation on the assigned goal(s) prior to submitting the PS&E.

B.15 Incomplete Items State what's needed to complete the PS&E package (e.g., indicate whether or not plans or other materials are to be submitted at a later date).

Failure to finalize items 13a through 13f may delay proceeding to advertisement, letting, and award because these items are considered prerequisites to those activities. Proceeding to advertisement, letting, and award without completing items 13a through 13f puts the

Department at risk, and may result in contractor delay claims and/or violations of law if an award is made. Therefore, it is imperative that any of these activities which are not finalized are followed up on by the Region. The project may need to be delayed/postponed or amended to include appropriate special notes.

B.16 Contact Persons List the names and telephone numbers of a primary and secondary contact for the PS&E Submission, as well as the Program Area (e.g., Regional Design Group) responsible for the PS&E. The primary contact person and telephone number will be listed as the Regional Contact for project-related technical questions or comments in the contract proposal.

21.10 AMENDMENTS

An amendment is a formal alteration of a proposed contract by addition, deletion, or modification, issued subsequent to the initiation of the sale of bid documents and prior to the opening of bids. Changes to the contract documents that arise shortly after PS&E submittal may be able to be incorporated without an amendment. The assigned Reviewer in DQAB's PS&E Section should be contacted to make this determination.

The following items discuss when an amendment is, and is not, warranted. If an amendment is not warranted, the project should proceed to letting and award as advertised.

1. When errors are discovered in quantity computations, an amendment request should be prepared and submitted if the changes meet either of the following criteria:
 - Any item quantity change with a magnitude of 20%, either plus or minus.
 - Any item quantity change where the change, either plus or minus, multiplied by the estimated unit price, changes the total engineer's estimate by more than 1%.
2. Amendment requests to add entire segments of work to a project should be avoided. The Region should request that the submitted project be returned, so that it may be redesigned to include the additional work.
3. Changes that are significant enough to warrant an amendment should not be deliberately deferred for inclusion by order-on-contract. They should be incorporated by amendment.

21.10.1 Deadlines

Amendment requests shall be submitted to DQAB's PS&E Section by the amendment deadline noted in the Department's highway letting schedule, available on the PS&E Section's Intradot page. As noted on the letting schedule, the amendment deadline varies with the magnitude of the changes to the contract documents; minor changes require less time to process and digest than extensive changes. Extensive changes and minor changes (defined below) which cannot be submitted by the published amendment deadline should be coordinated with DQAB's PS&E Section on a case-by-case basis.

"Extensive" and "minor" changes are defined as follows:

Changes are considered "extensive" when the cumulative effect of modifications to the contract documents meet or exceed the following thresholds:

- 1 Addition, deletion and / or replacement equal to or exceeding 20% or 25 sheets of the contract plans; or
- 2 Addition, deletion and / or replacement equal to or exceeding 20% or 25 pages of the contract proposal; or
- 3 Pay item quantity changes equal to or exceeding 20% or 25 pay items, or resulting in a cost change of \$250,000 or 10% of the engineer's estimate at PS&E; or
- 4 Any addition, deletion or replacement of special contract provisions (e.g., A+B Bidding, Incentive/Disincentive Specifications, Lane Rental, Night Time Construction, etc.).

Changes are considered "minor" when they do not meet any of the thresholds defined above. Minor changes can be reasonably processed and digested by prospective bidders in the time available.

Postponement of a project to accommodate amendments should be considered when time is limited and a significant effort will be required for prospective bidders to account for the changes in their bids. If the situation is serious enough to warrant a postponement of the project, a postponement request and explanation must be submitted (e-mail is acceptable), by the Regional Director or his/her designee, to the Project Management Bureau as soon as possible prior to the scheduled letting date. Copies of the official postponement letter will be forwarded to all involved Department Units.

21.10.2 **Format and Submittal**

Prior to preparing the amendment request, Designers should contact the PS&E Section Reviewer assigned to the project. (The reviewer assigned to the project can be determined by viewing the Regional PS&E Submission Report for the appropriate Region from the PS&E Section's Intradot page.) The Reviewer may be able to offer guidance to streamline the amendment request submittal process.

Amendment requests shall be submitted electronically, with .pdf files generated from native file formats whenever possible rather than scanned. Scanned files are larger than generated files, and scanned documents are not searchable. The exception is signed/sealed plan sheets, which currently must be scanned. Best practices for scanning include setting the scanner for at least 300 LPI Resolution (600 LPI is best). It is recommended to conduct a test scan using BITMAP mode. If the quality is not acceptable, change to Grayscale Mode. RGB mode or any color scanning mode should be avoided.

Amendment request submissions should consist of the following components, as applicable:

- Amendment plan sheets shall be submitted as individual portable document format (.pdf) files set for printing on 11" x 17" paper. Refer to Section 21.10.3.
- Amendment proposal pages (replacement and added) shall be submitted as a single .pdf file set for printing on 8 ½" x 11" paper. Refer to Section 21.10.4.
- Pay item changes shall be prepared and submitted in table format as specified in Section 21.10.5.
- The Amendment Transmittal Memo shall be prepared as outlined in Section 21.10.6.
- An Amendment Body document, summarizing all changes in statement form and forming the basis of the amendment sent to all plan buyers, shall be prepared in accordance with Section 21.10.7.

These components are described in further detail in the following pages. Amendment processing will not commence until the necessary components have been submitted.

All Amendment components shall be submitted to the DQAB, PS&E Section by posting the files to the Bid Documents directory on the "P" Drive at:

P:\Toolbox\Documents & Resources\Bid Documents\Mailbox\To Dqab\Dnnnnnn,

Where "Dnnnnnn" is the contract number for the individual project.

After the submitting individual has placed the files in the appropriate folder, he/she must send a notification e-mail to the PS&E Section Reviewer assigned to the project, with a copy to the dot.dl.pse.section e-mail address. The Amendment Transmittal Memo should be attached to the notification e-mail.

Please note that the Mailbox folder system is intended as a transfer directory only, and files will be periodically purged. If a back-up copy is desired by the Region, staff should be sure to save back-up copies to ProjectWise or another location.

It is highly recommended that designers use the Amendment Generator files when preparing an amendment. The Amendment Generator files are available at the PS&E Section's Intradot site. The files include detailed instructions on preparing an amendment, as well as samples of the various tables and shells required to submit the amendment.

21.10.3 Plan Sheets

Guidance on amending plan sheets is as follows:

1. Plan sheets are typically amended with the issuance of either replacement plan sheets or added plan sheets. A replacement sheet is issued when a revision of a previously submitted sheet is necessary. This replacement sheet will supersede the previously submitted sheet in its entirety. An added sheet shall be prepared and submitted when a new plan sheet that is not a revision of any previously submitted sheet is necessary. Plan sheets may also be deleted by amendment. When deleting a plan sheet from a contract, a replacement sheet is always needed. The submitted replacement sheet should have an "X" through the sheet with "N.I.C." (not-in contract) in large bold font.

2. Amendment plan sheets should be submitted as individual .pdf files named:

Dnnnnnn_A#_Plans_Sheet #.pdf

Where Dnnnnnn is the contract number, A# is the amendment request number, and Sheet # is the amendment plan sheet number in accordance with the numbering convention explained in No. 6 below.

3. For minor changes to plan sheets (for example adding a note, deleting a detail, etc.), Designers may be able to avoid the issuance of a replacement plan sheet by simply including a statement in the Amendment Body document (see Section 21.10.7). Example statements are provided below.

- On Contract Plan sheet 20, add the following note: "_____".
- On Contract Plan sheet 23, delete detail "A".

4. When replacing, adding, and/or deleting plan sheets, a table summarizing the changes shall be prepared and submitted with the amendment. A Word file (Changes to Plan Sheets.doc) containing a sample table is available in the Amendment Generator files. Replacement and added plan sheets should include a brief description of the revision/addition, so that the change(s) is readily discernible to prospective bidders. This table may be submitted as a file named Dnnnnnnn_AR#_Changes to Plan Sheets.doc, or it may be submitted as part of the Amendment Body document (see Section 21.10.7).
5. When submitting a replacement sheet, the following note shall be conspicuously placed in the upper right corner of the replacement sheet:

"THIS SHEET SUPERSEDES SHEET ____."

When submitting an added sheet, the following note shall be conspicuously placed in the upper right corner of the added sheet.

"THIS SHEET DOES NOT SUPERSEDE ANY SHEET."

6. Amendment plan sheets shall be numbered as described below:
 - ▶ Replacement sheets. To replace (or to delete) sheet 42 of 272, the replacement plan sheet number should be 42A1. If more than one sheet is required to replace sheet 42, they should be numbered 42A1, 42A2, etc.
 - ▶ Added sheets. To insert a sheet to supplement sheet 42 of 272, the added sheet should be numbered 42A1. If more than one sheet is required to be inserted in this section of the plans, they should be numbered 42A1, 42A2, etc. Added sheets that do not supplement any previously submitted sheet should be numbered 272A1, 272A2, etc.
 - ▶ Replacing plan sheets from a previous amendment. To replace sheet 42A1 of 272, the replacement plan sheet number should be 42A2, and the note should indicate "THIS SHEET SUPERSEDES SHEET 42A1".
7. When revisions to plan sheets affect pay items (e.g., changes in quantities, prices, etc.), the guidance in Section 21.10.5 should also be followed.

21.10.4 Proposal Pages

Guidance on amending proposal pages is as follows:

- Proposal pages are also typically amended with the issuance of either replacement proposal pages or added proposal pages. Proposal pages may also be deleted by amendment.
- When replacing, adding, and/or deleting proposal pages, a table summarizing the changes shall be prepared and submitted with the amendment. A Word file (Changes to Proposal Pages.doc) containing a sample table is available in the Amendment Generator files. Replacement and added proposal pages should include a brief description of the revision/addition, so that the change(s) is readily discernible to

prospective bidders. This table should be submitted as a file named Dnnnnnn_A#_Changes to Proposal Pages.doc, or it may be submitted as part of the Amendment Body document (see Section 21.10.7).

- When it is necessary to replace a proposal page, the following note shall be placed at the top of the page:

"THIS PAGE SUPERSEDES PAGE ____."

- When it is necessary to issue added proposal pages, the following note shall be placed at the top of each page:

"THIS PAGE DOES NOT SUPERSEDE ANY PAGE."

- Amendment proposal pages shall be numbered as described below:

- If a proposal page replaces another proposal page it would retain the original page number with the suffix A1. For example, if page 292 were to be replaced by a single page, the replacement page number would be 292A1. If more than one page is required to replace page 292, they will be numbered 292A1, 292A2, etc.
- Added proposal pages will be numbered to indicate the logical location where each page or group of pages would be inserted into the proposal. If three added pages logically followed after existing page 153, they would be numbered as 153A1, 153A2, and 153A3.

- Amendment proposal pages should be combined and submitted as a single .pdf file named:

Dnnnnnn_A#_ProposalPages.pdf

Where Dnnnnnn is the contract number and A# is the amendment request number.

- When revisions to proposal pages affect pay items (e.g., changes in quantities, etc.), the guidance in Section 21.10.5 should also be followed.

21.10.5 Pay Item Changes

Changes by amendment to the estimate in Transport PES (including quantities, fixed prices, and schedule changes), require a new Expedite file to be created and posted to the internet so that plan holders may download and update their electronic bid. When such changes occur, a statement in the amendment will direct the recipients to the website to download the updated Expedite file. Inclusion of this statement in the amendment is the responsibility of DQAB's PS&E Section.

Pay items to be deleted, added, or modified (quantity or unit price changes, changes in share distribution) should be transmitted as discussed in Tables 10a through 10e below. The tables

presented are formatted to reduce the potential for errors and to facilitate data entry into Trns-port PES. They should not be combined into one table.

To assist with the preparation of the tables, an Excel worksheet (Pay Item Changes.xls) is available in the Amendment Generator files. Separate tabs titled DELETE, ADD, CHANGE (SAME SHARE), CHANGE (NEW SHARE), and UNIT PRICE CHANGES corresponding to Tables 21-10a thru 21 -10e on the following page are contained within the worksheet.

Tables 21-10a thru 21-10e, as applicable, may be submitted as a single Excel file named:

Dnnnnnn_A#_Pay Item Changes.xls

Table 21-10a thru Table 21-10e - Summary of Pay Item Changes

10a. Summarize pay item(s) to be deleted from the contract as follows:

Item No.	Unit of Payment	Total Estimated Quantity	Quantity by Engineering Share		
			1	2	3, etc.

10b. Summarize pay item(s) to be added to the contract as follows:

Item No.	Unit of Payment	Unit Price	Total Estimated Quantity	Quantity by Engineering Share		
				1	2	3, etc.

10c. Summarize changes in quantities to pay items already in the contract (within the same engineering share(s) as follows:

Item No.	Unit of Payment	Total Estimated Quantity		Quantity by Engineering Share(s) ^{1,2,3}		
		Existing	New	1	2	3, etc.

1. Indicate no change (i.e., NC), if no change has been made to the share quantity from the original submission.
2. If deleting an item from a share, indicate this with (DEL).
3. Adding items already in the contract to additional shares is to be submitted in a separate table as noted in item 4 below.

10d. Summarize changes in quantities to pay items already in the contract (but not already in the engineering share(s) in question) as follows:

Item No.	Unit of Payment	Unit Price	Total Estimated Quantity	Quantity by Engineering Share		
				1	2	3, etc.

10e. Summarize unit price changes to pay items as follows:

Item No.	Unit	Unit Price		Fixed Price Item (See Note 1)	Min/Max Item (See Note 2)
		Old	New		

1. Indicate if the item is a Fixed Price Item by placing an "FP" in this column.
2. Indicate if the item is a Minimum or Maximum Item by placing either "Min" or "Max" in this column.

21.10.6 Amendment Transmittal Memo

The Amendment Transmittal Memo explains the rationale supporting the amendment request and provides a summary of the materials submitted.

At a minimum, the following information should be provided in the memo:

1. Provide the PIN, letting date, contract number (i.e., "D" number), and amendment number.
2. State who initiated the amendment, how the amendment improves the quality of the PS&E submittal (e.g., corrects quantities, clarifies notes, etc.), and whether it includes "extensive" or "minor" changes.
3. List what is being transmitted. (File names and contents). Include the approval status of any Special Specifications to be added to the contract.
4. The directory to which the associated files have been posted.

A Word file (Amendment Transmittal Memo.doc) containing a sample Amendment Transmittal Memo is available in the Amendment Generator files. The Amendment Transmittal Memo shall be submitted as a single Word file named:

Dnnnnnn_A#_TransMemo.doc

21.10.7 Amendment Body Document

The Amendment Body document communicates all the changes for a given amendment in statement form. The statements are presented in a particular order to aid the PS&E Section reviewer in preparing the final amendment. The Amendment Body document contains several types of estimate changes in tabular form. These tables are required in addition to the tables described in Section 21.10.5. The tables introduced in Section 21.10.5 were designed to facilitate accurate data entry into Trns-port PES. The tables included in the Amendment Body document are designed to convey information to the plan holders.

A Word file (Amendment Body Document.doc) containing a sample Amendment Body document is available in the Amendment Generator files. The Amendment Body document shall be submitted as a single Microsoft Word file named:

Dnnnnnn_A#_Body.doc

Figure 21-4 on the following page contains a list of statements and the order in which they should appear in the Amendment Body document. This list is not all-inclusive, but does include the majority of statements that will appear in an amendment. Note that no single statement necessarily applies to all amendments.

Figure 21-4 - Amendment Body Document

1. The letting for this contract has been rescheduled to **MONTH XX, 20XX**, and an amended Expedite file has been posted at:
<https://www.nysdot.gov/portal/page/portal/bids-and-lettings/construction-contractors/electronic-bid-system/expedite-download-center> Bidders are authorized to change the cover of the Contract Proposal to read **LETTING OF MONTH XX, 20XX**

2. On page one of the Contract Proposal, the **COMPLETION DATE** of MONTH XX, 20XX has been changed to **MONTH XX, 20XX**. Bidders are authorized to change page one to read **MONTH XX, 20XX**.

3. Delete the following items:

ITEM NO.	UNIT	QUANTITY	CONTRACT PROPOSAL PAGE

The Bidder shall not enter a bid for these items. He/she shall **CROSS OUT** the above items now shown in the Contract Proposal.

If the Bidder fails to make these changes, the Department will do so and adjust the **TOTAL BID** accordingly.

Delete all other references to the above items in the Contract Plans and Contract Proposal.

4. Change the **ESTIMATE QUANTITIES** for the following items:

ITEM NO.	UNIT	QUANTITY

The Bidder shall **CROSS OUT** the **ESTIMATE QUANTITIES** for the above items now shown in the Contract Proposal and **SUBSTITUTE** the above quantities for the appropriate item with the bid based on the above quantities. If the Bidder fails to make these changes, the Department will do so and adjust the **AMOUNT BID** and the **TOTAL BID** accordingly.

Figure 21-4 Continued on following page

Figure 21-4 - Amendment Body Document, continued

5. The Pay Items listed below are hereby added to the Contract Proposal. Special Specifications are attached for items marked with an asterisk. **BE SURE TO RETURN PAGES _____ WITH YOUR BID.**

PAY ITEMS

6. In the Contract Proposal on page ____, Item XXXX.XXXX, change the Fixed Price Amount Bid to \$ ____.
7. Wherever in the Contract Plans or Proposal the old item listed below appears, the new item shall apply.

OLD ITEMNEW ITEM

8. Plan sheet deletions/additions/replacements are summarized in the following table:

Old Plan Sheet # (Replaced or Deleted Sheets Only)	New Plan Sheet #	Dwg. #	Description of Changes

9. Proposal page deletions/additions/replacements are summarized in the following table:

Old Prop. Page # (Replaced or Deleted Pages Only)	New Prop. Page #	Dwg. # (if applicable)	Description of Changes

10. Continue with additional statements to explain changes as necessary.

PLEASE BE GOVERNED ACCORDINGLY WHEN SUBMITTING BIDS.



MEMORANDUM

Department of Transportation

TO: PS&E Section, Design Quality Assurance Bureau, Pod 23
Outlook Group: dot.dl.PSE.Section)

FROM: _____, Regional Director, Region _____

SUBJECT: PS&E TRANSMITTAL MEMO

PIN _____, **D** _____ (if already assigned)

PROJECT TITLE (include Route Number & Name, Project Limits if applicable)

VILLAGE/TOWN/CITY

COUNTIES (list all)

DATE: _____ (DATE)

cc: Project Management Bureau (*Outlook Group: dot.dl.Project.Mgmt*)
 Office of Construction (*Outlook Group: dot.sm.mo.construction*)
 Office of Contract Management (*Outlook Group: dot.dl.PSE.contracts*)
 Geotechnical Engineering Bureau (*Outlook Group: dot.dl.mo.Geotech*)
 Office of Real Estate (*Outlook Group: dot.dl.RE.programming*)
 Office of Environment (*Outlook Group: dot.dl.MO.Landscape.Architecture.REL*)
 Statewide Policy Bureau, GreenLITES Administrator
 (*Outlook Group: dot.sm.mo.green.lites*)
 (All projects other than emergency standby, where and when, or job order contracts)
 DQAB DSS, Railroad Agreements
 (*Outlook Group: dot.dl.MO.Rail.Agreements.Unit*)
 (Only projects involving RR's)
 Office of Structures (*Outlook Group: dot.dl.Structures.PSE.Review*)
 (Only for bridge projects per Section 20.2.2 of the Bridge Manual)
 Office of Traffic Safety and Mobility
 (*Outlook Group: dot.dl.MO.Traffic.Safety&Mobility*)
 (Only for projects involving safety programs, traffic signals, intersection improvements, intelligent transportation systems)
 Office of Transportation System Maintenance
 (*Outlook Group: dot.sm.mo.transportation.maintenance*)
 (Only pavement preventive maintenance and bridge preventive maintenance projects)

The following is not required, but is an example Regional distribution:

Regional Design Engineer, Region _____

Regional Construction Engineer, Region _____

Regional Planning and Program Manager, Region _____
 Regional Traffic Engineer, Region _____
 Regional Technical Services Engineer, Region _____
 Regional Transportation Maintenance Engineer, Region _____
 Regional Real Estate Officer, Region _____ (for projects with ROW).
 Regional Structures Engineer, Region _____
 Regional Quality Control Engineer, Region _____
 Regional Public Information Officer, Region _____

Please coordinate a review of the PS&E Materials with the following entities:
 Retain all that apply

- FHWA (if FHWA PS&E approval is required or the project involves an Interstate)
- New York State Thruway Authority
- New York State Canal Corporation
- Office of Structures
- DQAB Rail Agreements Unit

The following information is provided to progress this project to advertisement, letting, and award.

1. PS&E Materials

The Engineer's Estimate has been uploaded to Trns*port PES.

The Engineer's Estimate is: _____

The Specification Year/Units are: _____

The total number of engineering shares is: _____

The total number of unique items (for determining the required number of estimate of quantities sheets) is: _____

The following materials have been posted to **P:\Toolbox\Documents & Resources\Bid Documents\Mailbox\PS&E Transmittals\Dnnnnnn:**

Plans

- Dnnnnnn_R#_Plans.pdf

Proposal Materials:

- Signed Title Page, Dnnnnnn_R#_Title Page.pdf (for proposal only projects)
- Professional Seal and Violation Note Page, Dnnnnnn_R#_ProfSeal.pdf (for proposal only projects)
- Additional Location Map(s), Dnnnnnn_R#_LocationMap.pdf (for proposal only projects, if provided)
- Earthwork Definitions and Earthwork Summary Sheet, Dnnnnnn_R#_Earthwork Summary Sheets.pdf (for proposal only projects)
- Project Detail Sheets, Dnnnnnn_R#_Project Details.pdf (for proposal only projects)

- Special Notes
- Special Specifications
- Supplemental Information Available to Bidders, Dnnnnnn_R#_CONR9.pdf
- Railroad Agreement, Dnnnnnn_R#_RR Agreement.pdf (if required and available)
- Listing of Additional Insureds, Dnnnnnn_R#_Additional Insureds.pdf

Supporting Materials for Project Processing:

- ROW Certificate, Dnnnnnn_R#_ROWCert.pdf (along with any accompanying materials if item (c) or (d) is checked, see Item 13a of this memo)
- ECOPAC, Dnnnnnn_R#_ECOPAC.pdf
- Special Specifications Inventory Form
- GreenLITES Scorecard, Dnnnnnn_R#_GreenLITESScorecard.xls
- Request for Change in Goals Form HC-258, Dnnnnnn_R#_HC258.pdf (only if applicable)
- Lump Sum Price Analyses, Dnnnnnn_R#_LS Price Analyses.pdf (only for projects requiring FHWA PS&E approval)
- Betterment Work Sheets, Dnnnnnn_R#_Betterment Sheets.pdf (only for projects requiring FHWA PS&E approval)
- Resolutions and/or Agreements, Dnnnnnn_R#_Municipality_Type.pdf

2. Project Description

- Route Number(s) (State Highway Number(s)) (list all routes (e.g., I-90, US 9W, NY 155 etc.) and corresponding State Highway Numbers that the project includes work on)
- Counties (list all counties where contract work will be performed)
- Categories of Work (e.g. drainage, pavement resurfacing, landscaping, sidewalk, bridge rehab, curb installation, pavement marking, etc.)
- Project Limits
- Project Length (along centerline, specify miles or kilometers)
- Roadway Improvements (e.g. widening, realigning, new sidewalks/curbs, etc.)
- Structure Improvements (include BIN for all bridges, and Bridge Type for rehabilitated or new bridges)
- Other Public Benefits/Noteworthy Features
- Traffic Management Plan Strategy
- Special Required Contract Provisions (Alternate Bidding, Night Work, A+B Bidding, Incentive/Disincentive Provisions, Lane Rental, Other)
- General Project Description (short paragraph describing the project in layman's terms)

3. Agency Coordination

- [A] No other agency is directly involved in the construction, maintenance or ownership of the project.

- [B] The following agencies are directly involved in construction, maintenance or ownership of the project and have received a copy of the PS&E submission from the Region: (list)
- [C] (For applicable parkways) The Office of Parks, Recreation, and Historic Preservation has ownership of the facilities within this project and NYSDOT will maintain them after project completion. No other agencies will be involved in the actual construction of this project. A copy of the PS&E submission was forwarded to the New York State Office of Parks, Recreation and Historic Preservation.

4. Project Work Type

- [A] The project work type per Appendix 5 of the Project Development Manual is (Choose one of the following: Safety Related Work; 3R – Resurfacing, Restoration, and Rehabilitation; Minor Intersection Reconstruction; Major Intersection Reconstruction; Minor Bridge Rehabilitation; Major Bridge Rehabilitation; New and Replacement Bridges; Other/Miscellaneous/Special (supplement with a specific description)).
- [B] The project work type per Appendix 5 of the Project Development Manual is (Choose one of the following: Pavement Preventive and Corrective Maintenance; Preventive and Corrective Bridge Maintenance). The project is located in (List all Counties that the project includes work in).
Then also include either statement [B1], [B2], or [B3]:
- [B1] This is not a pavement preventive maintenance project.
- [B2] This is a pavement preventive maintenance project that is a 1R project.
- [B3] This is a pavement preventive maintenance project that is not a 1R project (example: crack sealing)

5. Previous Letting(s)

- [A] None.
- [B] This project was previously let on _____ (date) as D _____.
(Indicate that EITHER "All bids were rejected on _____" OR "No bids were received".)

6. Letting Date and Contract Completion Date

The suggested contract letting date is _____ (date). The suggested contract completion date is _____ (date).

7. Construction Inspection

- [A] Construction inspection will be performed by State forces.

- [B] Construction inspection will be performed by Consultant forces.

8. Prebid Meeting

- [A] A prebid meeting is not required and is not scheduled.
- [B] A prebid meeting is required, but a waiver to this requirement is hereby approved. (Briefly discuss the reason why the Regional Director is approving the waiver)
- [C] A prebid meeting is scheduled for _____ (time and date)
at _____ (location).

9. Federal Aid Procedure

a. PS&E Approval.

- [A] This project is not federally funded.
- [B] This project is federally funded, but the PS&E does not require FHWA approval.
- [C] This project is federally funded. Please request FHWA's approval of the PS&E. The computations performed to estimate the cost and quantity for lump sum items, and work sheets used to calculate utility betterment participation, if applicable, have been posted.

b. Proprietary Specifications and Salvage Items.

- [A] There are no proprietary specifications. Salvage is consistent with Department policy.
- [B] Proprietary specifications have been approved in accordance with the Special Specifications Inventory Form. Salvage is consistent with Department policy.

10. Design Approval (Include the type of Design Approval Document, date of approval, and approving authority.)

The Design Approval Document for this project was a

(IPP/FDR, PSR/FDR, FDR, FDR/EA, or FDR/FEIS). Design Approval was granted on _____ (date) by _____ (title and name).

- [A] No nonstandard features have been identified since Design Approval.
- [B] The following nonstandard features, which were not approved at Design Approval, have since been identified and approved (list, state approving authority, and date).

11. Priority Award

- [A] A priority award is not requested.
- [B] A priority award is requested because _____ (describe).

12. Newspaper Advertisement Length

- [A] The newspaper advertisement length is (indicate 4, 5, 6 or greater) weeks.
- [B] A 3 week newspaper advertisement period is approved because (discuss).
- [C] A (indicate 2 week or 8 day) advertisement period is hereby approved because (discuss). DQAB's PS&E Section has been consulted, and the information necessary to provide notice in the NYS Contract Reporter has been furnished. Please seek FHWA's approval of this advertisement period (only required for projects requiring FHWA PS&E approval).

13. Prerequisites to Advertisement

If any of these activities (i.e., 13 a through f) are not complete, provide a projected date of completion.

- a. **ROW.** The Right of Way Clearance Certificate has been posted. (Required for all projects).

When item (c) of the Right of Way Clearance Certificate is checked, add the statement: "Item (c) of the ROW Clearance Certificate is checked. The Acquisition and Clearance Status Report is attached to the ROW Clearance Certificate."

When item (d) of the Right of Way Clearance Certificate is checked, add the statement: "Item (d) of the ROW Clearance Certificate is checked. The Acquisition and Clearance Status Report, Special Note – Availability of ROW, Engineering Justification, and applicable contract plan sheet(s) accompanies the ROW Clearance Certificate."

b. Environmental Issues

1. NEPA

[EITHER]

This project is not Federally-funded.

[OR]

Based on 23 CFR Section 771, this project was determined to be a NEPA (select from the following):

- [A] Class II Categorical Exclusion (specify Automatic, Programmatic, or w/Documentation)
- [B] Class III project with a FONSI
- [C] Class I project with a ROD

on _____ (date) by _____ (state who made the determination).

2. SEQR

Based on 17 NYCRR Part 15, this project was determined to be a SEQR (select from the following):

- [A] Exempt
- [B] Type II
- [C] Non-Type II (EA) with a DONSE
- [D] Non-Type II (EIS) with a ROD

on _____ (date) by _____ (state who made the determination).

3. Environmental Permits/Approvals

State "None Required" or use table.

Permit/Approval Type	Permit Status	Date of Receipt

c. **Statewide Transportation Improvement Program (STIP)/
Transportation Improvement Program (TIP)**

The project (is, is not) on the STIP (and TIP if applicable). The STIP (and TIP if applicable) (does, does not) have to be amended.

d. **Resolutions / Agreements**

[A] The project does not require any resolutions from, or agreements with, municipalities.

[B] This project requires the following resolutions/agreements from municipalities:

Municipality	Resolution / Agreement & Status

Indicate that either the resolutions/agreements have been posted with the PS&E Materials or will be provided to DQAB's PS&E Section at a later date.

e. **Utility Involvement**

- [A] This project does not require any utility involvement. A final Utilities Inventory (Form HC 203) has been submitted to the Design Support Section of DQAB by the Regional Utilities Engineer, and the special note, "Coordination with Utility Schedule", is included with the Special Notes.
- [B] This project requires utility involvement with (list involved utilities). The special note, "Coordination with Utility Schedule", is included with the Special Notes. A final Utilities Inventory (Form HC 203) has been submitted to the Design Support Section of DQAB by the Regional Utilities Engineer. The status of agreements is as follows: (indicate status, for example "drafted but not yet executed", "signatures expected prior to advertisement").

f. Railroads

- [A] There are no railroads within the project limits.
- [B] There is a railroad within the project limits. A State-Railroad agreement is not necessary.
- [C] There is a railroad within the project limits. A State-Railroad agreement is necessary. The current status and anticipated completion date is _____.

14. Disadvantaged/Minority/Women's Business Enterprise Goals. The goal(s) should be determined using the guidance provided in Section 21.9.2.5 B.14.

- [A] This project is federally-funded. The project group type is _____ and the corresponding DBE goal is _____%.
- [B] This project is 100% state-funded. The project group type is _____ and the corresponding MBE goal is _____% and WBE goal is _____%.

If a change from the goal assignment procedures in the Highway Design Manual is being requested, add the following:
A (reduction/increase/waiver) to the assigned goal(s) above is being requested. A signed Form HC-258 has been posted for processing!

15. Incomplete Items

- [A] There are no incomplete items in the PS&E Transmittal. All special specifications requiring approval have been approved as noted in the Special Specifications Inventory Form, and all Prerequisites to Advertisement (items 13a through 13f) are complete. The GreenLITES Rating scorecard has been transmitted.

- [B] The following is a list of incomplete items, and actions in progress to complete them. Refer to Special Specifications Inventory Form for specifications not yet approved by DQAB, list status of GreenLITES Rating scorecard if not already transmitted, any Prerequisites to Advertisement (items 13a through 13f) that are not complete, refer to any plan sheets not yet stamped, and any other missing components from the PS&E Transmittal. State the projected completion date of anything listed.

16. Contact Persons

The (list Program Area, i.e. Regional Design Group, etc.) was responsible for preparation of the PS&E Submission for this project. Listed below are the names, functional titles (e.g. Project Designer, Project Manager, etc.), and phone numbers of Department to be contacted regarding the technical content and format of this PS&E Submission.

Primary Contact:

Secondary Contact: