

ENGINEERING INSTRUCTION

NEW YORK STATE DEPARTMENT OF TRANSPORTATION

FINAL PS&E SUBMISSION

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APPROVED:

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This Engineering Instruction supersedes EI 87-1, Final PS&E submission, and also serves as Phase VI of the Design Procedure Manual. The following major changes from EI 87-1 deserve mentioning:

- A. Clarification of Title Sheet signatures for 100% State funded R&P projects.
- B. State Highway numbers required on Engineer's Estimate title sheets.
- C. Real Estate Division carbon copied on all PS&E memos.
- D. Include EIS determination, list all EIS commitments.
- E. Certificate of Maps required statement.
- F. Design exceptions approved.
- G. Justification for ad lengths less than 4 weeks.
- H. Pavement Marking methods.
- I. Wildflower planting.

This EI contains not only the required contents of a PS&E submission but also the required format for PS&E transmittal memos. While the need for PS&E submissions to be complete and follow this prescribed format may not be apparent to the designers of individual jobs, please keep in mind that a small group of people in Final Plan Review must process over 400 projects a year and having the packages come in a consistent and uniform manner really is important to them in handling the jobs as they are batched for lettings. Incomplete PS&E submissions and/or PS&E transmittal memos not following the required format may have to be returned to the designer. Deadlines for PS&E submissions are sent out annually by the Final Plan Review Bureau and, except in extreme cases, must be closely adhered to. Deadlines for NCA (Non-Certification Acceptance) projects are extremely important due to the required FHWA review time.

A PS&E submission consists of the following required material:

A. FINAL PLANS

- 1. One (1) BOUND set of original tracings and a minimum of two (2) bound sets of prints.

If the project involves Structures, Railroads, or the NCA procedure with FHWA the designer shall submit one set of prints for each involvement for review by the appropriate office. The maximum of prints required in most cases will be five.

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PS&E may be submitted on 8-1/2" x 11" format whenever permanent type construction is not involved. Examples are demolition, bridge painting, pavement marking, test wells, soil borings for preliminary engineering, fast track resurfacing, and projects off the State Highway system regardless of type of construction. See Highway Design Manual (HDM) 21.02 and EI 78-1.

2. Two "white prints" of Earthwork Summary Sheets ES-1 (8-1/2" x 11") and ES-2 (22" x 34") where applicable. See EI's 81-41, 83-14, 85-49.
3. Title block must be included as per HDM 21.02.06 if the Main Office is to add a Table of Quantities.
4. 100% State funded R&P projects are to be approved by the Regional Director on the Title Sheets; Federal Aid projects are to be recommended by the Regional Director (R. H. Edwards memo 4/16/82).
5. Title sheets should include beginning and ending reference marker identification where it is reasonable and practical to do so on projects such as reconstruction and resurfacing.

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 See HDM 21.07
2. Special Notes See HDM 21.04, EI's 82-50, 86-6
3. Special Specifications See HDM 21.03, EI's 74-23, 75-81

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

4. Form CONR 9g, Supplemental Information Available to Bidders, See HDM 21.09.
5. Form C-258a, Disadvantaged/Women's Business Enterprise Goals, See EI 85-52.
6. Project Description for Newspaper Use, Form AD-102c. Include BAMS project location information on AD 102c. See: Letter 67-83 and EI 87-21.

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. Please remember to indicate State Highway numbers on Title Sheet. Projects without proper State Highway identification cannot be processed. See HDM 21.02.03 and 21.05.

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8. One (1) original and appropriate copies (equal to number of plan prints) of the project location map. See 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 Management Bureau	" "
Real Estate Division	" "
Structures Division	(projects involving structures)
Commercial Transport Division, Development Bureau	(projects involving RR's)
Soil Mechanics Bureau	(projects involving Soils)
Traffic & Safety Division	(projects involving safety programs)
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.

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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.
7. Project determinations - FHWA concurrence date for:
 - a. Clearinghouse reviews.
 - b. Environmental Determination.
8. Give status of the following; when appropriate, include dates (See EI 79-27):
 - a. Final Environmental Impact Statement, Finding of No Significant Impact. Environmental Impact Statement Re-evaluation. List all EIS commitments.
 - 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).

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- 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 or that it will be necessary to send them a copy.
- 12. Statement whether supervision of construction is to be by State or Consultant forces.
- 13. Statement of availability of right-of-way and Statement that Certificate of Maps Required has been prepared and sent to Real Estate Division (along with a copy of PS&E transmittal memo). See EI's 79-27, 88-25.
- 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. See EI 82-12.
- 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. See EI 77-55.
- 15a. Engineer's Estimate: indicate 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. PROJECTS LACKING ESTIMATES CANNOT BE PROCESSED UNTIL COMPLETE.

- 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 NYSDOT 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. (See EI's 84-6, 85-3, 86-21 & HDM Chap. 18).

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21. Projects under Certification Acceptance and Combined Road Plan - Regional Directors are 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 their signature or their designated representative's.
 22. All Federal Aid projects (including projects advanced as non CA, CA and Combined Road Plan) - Include statement "All design exceptions have been considered and approved on _____ (date) _____".
 23. 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). See EI's 81-10 & 86-32
 24. Statement addressing Bridge Maintenance by Contract, Contract size criteria. See June 24, 1986 memo - J. Thomas to All Maintenance Engineers.
 25. Statement indicating who was the responsible unit. (ie. Traffic & Safety; Structures Division).
 26. Statement regarding "Quick Award" letting of emergency highway projects. (See MAP 7.1-7-3).
 27. Recommend advertising lengths as per EI 88-30. Justification for ad lengths requiring executive management approval must be included.
 28. Indicate the approximate length of long line markings for each color required on the project and an estimate of what season and year these markings are likely to be applied. A copy of the PS&E letter shall be sent to the Regional Traffic and Maintenance Engineers.
 29. Federal Aid Projects Only - Wildflower planting. Include statement as appropriate: See EI 87-33.
 - A. Not needed - Item 611 planting is not for aesthetic purposes.
 - B. Waiver from planting wildflower has been requested.
 - C. Item 610.03 Establishing Wildflowers is included.
 30. If 3R project, state that an accident analysis has been done per J. M. Yourno - R. M. Gardeski letter to all Regional Design & Traffic Engineers, 2/25/88.
 31. 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.

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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.). See EI's 73-35, 74-67, 77-14, 80-22, 80-31, 82-4.