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# ENGINEERING INSTRUCTION

NEW YORK STATE DEPARTMENT OF TRANSPORTATION

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SUBJECT: FINAL PS&E SUBMISSION

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Supersedes: EI 89-1  
MODIFIES EIs 81-041, 83-014  
& 85-049

This Engineering Instruction supersedes EI 89-1, Final PS&E Submission, and also serves as Phase VI of the Design Procedure Manual. The following major changes from EI 89-1 deserve mentioning:

- A. Extra set of plans and 8 1/2" x 11" material required for projects on Interstate Highways, regardless of funding.
- B. Extra set of 8 1/2" x 11" materials for all projects.
- C. Titles for structures shares of Engineer's Estimate.
- D. PS&E Fact Sheet to Capital Projects Coordination Bureau with PS&E letter.
- E. Identification of Presence of Hazardous Waste on project.
- F. Consideration of Project Consolidation.
- G. Pavement Design methodology.
- H. Identification of Federal/State projects.
- I. Identification of Project Manager.

This EI contains not only the required contents of a PS&E submission but also the required form for PS&E transmittal memos. 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, the NCA procedure with FHWA, or is on an Interstate Highway 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 (2) "white prints" of Earthwork Summary Sheets ES-1 (and ES-2 where applicable). See EI's 81-41, 83-14, and 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. Title Sheets
  - a. 100% State Funded 3R Projects are to be approved by the Regional Director. (See 3R Standards)
  - b. Combined Road Plan projects with cost/lane mile thresholds or total cost thresholds at or below the dollar values stated in EI 88-42 (page 6) are to be approved by the Regional Director.
  - c. 100% State Funded projects qualified for initiation with PNF's are to be approved by the Regional Director. (See J. Newman's March 6, 1989 memo to all Regional Directors).
  - d. All other Federal Aid or 100% State Funded projects are to be recommended for approval by the Regional Director and are to be approved by the Director, Facilities Design Division, unless another Division Office is the responsible organization. In those instances, that Division Director is responsible for approval.
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.
6. For contracts with combined Federal and State funding where the Federal portion approaches less than 50 percent of the contract, it is necessary to identify both the Federal Aid project and the 100 percent State project on the Location Map. Refer to W. McLoughlin's April 4, 1990 memo for guidance.

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

One (1) unbound set of ORIGINALS or REPRODUCIBLE copy (make sure that they are not too light to reproduce properly) and the appropriate number (equal to number of plan prints plus one (1) extra set) of unbound duplicate sets placed in envelopes of the following:

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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-258b, 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). Also, include BAMS project type on AD-102C on the line titled, "Type of Work". The eight project types available are:

- 1 - R&P
- 2 - Special Resurfacing
- 3 - Major Reconstruction
- 4 - New Bridge
- 5 - Bridge Rehabilitation
- 6 - Maintenance (Landscape, Drainage, Paint, Slope Repair)
- 7 - Roadside Safety (Signs, Guiderail)
- 8 - Special Topics (Intersection, Signals)

Note: Be sure that the project type number is placed on the form with the project type name.

This material should be assembled in the order listed above with special specifications and price analyses in numerical order.

7. Appropriate copies (equal to number of plan prints plus one (1) of the ENGINEER'S ESTIMATE - TITLE SHEET (FORM C114-1) for each estimate share and the combined estimate. Structures shares shall be titled as per M. Tegza's January 5, 1990 memo. 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.
8. One (1) original and appropriate copies (equal to number of plan prints plus one (1)) of the project location map. See EI 78-1 and HDM 21.02.03.

Note: Copies of #4-#8 should NOT be copied back to back. It is permissible to copy #1-#3 back to back.

#### 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.

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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)
Highway Rail Unit-PPRB	(projects involving RR's)
Soil Mechanics Bureau	(projects involving soils)
Traffic & Safety Division	(projects involving safety programs)
Highway Maintenance Division	(projects with Maintenance funding)

\*Attach copy of PS&E fact sheet to CPCB copy of PS&E letter (See W. McLoughlin May 4, 1989 memo)

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 (See 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 two (2), are filed: One (1) in project file and one (1) in Final Plan Review Bureau file.
7. Project determinations - FHWA concurrence date for Clearinghouse reviews and/or Environmental Determination.

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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 of 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. Presence of Hazardous Waste on project.
  - f. 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.). (See P. W. Taylor's memo June 5, 1989).
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 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). Please do not ignore this requirement; if you do it will delay PS&E processing and/or project letting. See EI's 79-27 and 88-25.

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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%. This requirement is independent of directions issued by the Program Planning and Management Group.
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. The organization responsible for approval of the Construction Maintenance and Protection of Traffic Plan and the date of their approval.
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 and HDM Chap. 18).
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.

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22. For all projects include a statement that "All design exceptions have been considered and approved by \_\_\_\_\_". Required approvals are the same as those outlined in Section A.4. above except Main Office approvals are by the Chief Engineer.
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 and 86-32.
24. Statement addressing Bridge Maintenance by Contract, Contract size criteria. See June 24, 1986 and February 6, 1989 memos - J. Thomas to All Maintenance Engineers.
25. Statement indicating who was the responsible organization. (i.e. Region, Preliminary Plan Review Bureau, Structures Division, or Traffic and Safety).
26. Statement addressing Project Consolidation - "The work in this contract has been reviewed and determined to be the optimum combination of similar work to be accomplished within the proximate geographical area". See J. Thomas' October 27, 1989 memo.
27. Statement regarding "Quick Award" letting of emergency highway projects. (See MAP 7.1-7-3).
28. Recommended advertising lengths as per EI 88-30. Justification for ad lengths requiring executive management approval must be included.
29. 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.
30. 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 wildflowers has been requested.
  - c. Item 610.03 Establishing Wildflowers is included.
31. If a 100% State funded 3R project, state that the project has been developed in accordance with the current 3R Standards including the preparation of the required documentation report and accident analysis. For all other projects, indicate that an accident analysis has been conducted and a report prepared as appropriate.
32. List pavement design approval date and approving authority.

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33. Identify Project Manager and list his/her telephone number.

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