


TO: SUPERSEDED BY EI 94-015 EFFECTIVE 6/1/94	ENGINEERING INSTRUCTION	
	NEW YORK STATE DEPARTMENT OF TRANSPORTATION	
	SUBJECT: FINAL PS&E SUBMISSION	
	Subject Code: 7.26-1	
Distribution:	30 Main Office 32 Regions 34 Special	Code: <u>EI 92-38</u>
APPROVED:	 J. R. LAMBERT, Deputy Chief Engineer, Facilities Design Division	Date: <u>9/15/92</u>
		Supersedes: EI 90-23 MODIFIES EI 88-025, EI 92-015 & EI 92-018

This Engineering Instruction supersedes EI 90-23, Final PS&E Submission, and is also Appendix H of the Design Procedure Manual (formerly Appendix G). The following major changes from EI 90-23 deserve mentioning:

- .Program and Project Management (PPM) procedure has been incorporated for plans approvals and submissions.
- .Earthwork summary sheets are now part of the plans.
- .Referenced memos are attached.

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.** Annual letting schedules list PS&E submission deadlines and must be followed. Deadlines for NCA (Non-Certification Acceptance) projects are extremely important due to required FHWA review time.

Program and Project Management places the responsibility for quality control in the Regional Offices. Much of this EI, particularly the items to be addressed in the PS&E transmittal memo, is essentially a checklist to ensure that requirements requisite to submission of the PS&E and the subsequent project letting have been met.

During the "walk" phase, inclusion of these items in the PS&E transmittal memo is continued. However, early next year we intend to meet with the various offices concerned with the content to determine which items should continue to be addressed, and those that can be eliminated from the transmittal memo in deference to the Region's quality control responsibility to ensure that all requirements requisite to submission of the PS&E and subsequent letting have been met.

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

A. FINAL PLANS.

1. One bound set of original tracings and a minimum of one bound set of prints.

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If the project involves Structures, Railroads, the NCA procedure with FHWA, or is on an Interstate Highway, the designer shall additionally submit one set of prints for each involvement for review by the appropriate office. See EI 92-18 for Structures Division PS&E review requirements.

PS&E may be submitted on 8-1/2" x 11" format whenever permanent construction is not involved. Examples are demolition, bridge painting, pavement marking, test wells, soil borings for preliminary engineering, simple 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. Title block must be included if the Main Office is to add a Table of Quantities. See HDM 21.02.06.
3. Title sheets for all projects must be approved by the Regional Director.
4. 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.
5. For contracts with combined Federal and State funding where physical limits can be defined, identify both the Federal Aid project and the 100 percent State project on the Location Map.

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

One 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 extra set) of unbound duplicate sets placed in envelopes 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. (Strike out earthwork summary sheets ES-1 and ES-2 on the form; these are included in the plans or proposal as needed. See EI 91-12).
5. Form C-258b, Disadvantaged/Women's Business Enterprise Goals. See EI 85-52. Waiver requests must be signed.
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 name and number on AD-102C on the line titled, "Type of Work". The eight project types available are:

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- 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 - Intersections (Improvements, Signals)

This material should be assembled in the order listed above with special specifications (and Engineer's Estimate price analyses for Federal Aid "NCA" projects) in numerical order.

7. Appropriate copies (equal to number of plan prints plus one) of the ENGINEER'S ESTIMATE - TITLE SHEET (FORM C114-1) for each estimate share and the combined estimate. See HDM 21.02.03 and 21.05.
- 7a. For Federal Aid projects, show functional class of the highways included in each estimate share on the respective Estimate Title Sheet. See J. R. Lambert's April 14, 1992 memo "Interim Procedures for Implementation of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)."
- 7b. Show applicable state highway numbers and standard sheet numbers on the "Combined" Estimate Title Sheet.
- 7c. Engineer's Estimate: EEHS structure share descriptions must include specific information required by the Structures Division. See M. J. Tegza's January 5, 1990 memo.
8. One original and appropriate copies (equal to number of plan prints plus one) of the project location map. See EI 78-1 and HDM 21.02.03.
9. 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.

Note: Copies of #4-#9 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 Design Quality Assurance Bureau (5-410). One 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:

Project and Fiscal Management Bureau*	(all projects)
Construction Division	" "
Policy Development Group (Mobility)	" "
Design Quality Assurance Bureau (5-408)	" "
Highway Rail and Utilities Section (5-414)	(projects involving RR's)
Landscape Architecture Bureau	" "
Contract Management Bureau	" "
Real Estate Division	" "
Structures Division	(projects involving structures)
Soil Mechanics Bureau	(projects involving soils)
Traffic & Safety Division	(projects involving safety programs)
Highway Maintenance Division	(projects involving Maintenance funding)

*Attach copy of PS&E fact sheet to PFMB copy of PS&E letter. See L. A. Pitaniello's May 7, 1992 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. Indicate desired advertisement length. For short ads (3 weeks or less), reference Regional Director's "short ad" approval/decision memo. Short ad information to be published in the "Contract Reporter" must be received by DQAB six weeks before letting date. Failure to do this will result in letting postponement. See EI 91-14.
4. Is a pre-bid meeting required? If so, where and when? See EI's 90-40, and 88-12.
5. If either "priority award" or "quick award" is being requested, so state. See MAP 7.1-7 (page 22) and MAP 7.1-7-3.
6. For Federal Aid projects, state which process under ISTEA is applicable: NCA, CA or 23USC106(b)(2). See J. R. Lambert's April 14, 1992 memo "Interim Procedures for Implementation of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)" and P. J. Clark's June 2, 1992 and July 13, 1992 memos on the same subject.
7. Location Approval date/by whom.
8. Design Approval date/by whom.

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9. Advance Detail Plan submission date (if applicable) and date that comments were resolved.
10. Project determinations - FHWA concurrence date for Clearinghouse reviews and/or Environmental Determination.
11. 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 (Federal aid projects) or NYS Historic Preservation Act involvement (100% State contracts).
 - c. Noise report - provisions for abatement measures and specifications.
 - d. Air quality - Clean Air Act Amendment of 1990, including the date of approval of the conforming TIP.
 - e. State Environmental Quality Review Act determinations (SEQR).
 - f. NYS Agriculture and Markets Law involvement (farm ROW acquisition).
 - g. Presence of hazardous waste and/or asbestos on project.
 - h. Permits such as:
 - (1) Corps of Engineer Permit - navigable waters - (Sect. 404).
 - (2) Coast Guard Permit
 - (3) Freshwater/Tidal Wetlands Permit (ENCON-IPDG #19 & 21)
 - (4) State Pollutant Discharge Elimination System Permit (SPDES)
 - (5) Flood Plain Hazard Work Permit (ENCON)
 - (6) Adirondack Park Agency Permit (letter of compliance with Park use from APA)
12. Status of Resolutions and Agreements. See EI 79-27 and HDM Chapter 14.
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, 88-25 and Program Procedure EN-RE-501 (8/1/91).
- . Status of force accounts (railroad, utilities, etc.). See P. W. Taylor's June 5, 1989 memo.

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15. Provide a list of proprietary specification items. Indicate the date(s) approved for project use. Also identify any special specifications/notes involving special situations, experimental features, significant health and safety risks, etc.
16. 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. J. Thomas' October 27, 1989 memo.
17. Statement addressing bridge maintenance by contract: contract size criteria. See J. J. Thomas' February 6, 1989 memo and B. H. Berry's July 8, 1992 memo.
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. Does this project require pavement rehabilitation treatment selection analysis or pavement type selection analysis? (Designer must follow "NOTE" requirements a. and b. on pages 14 and 15 of EI 92-15 in answering this question.)
20. For 3R projects, statement that the project has been developed in accordance with the current 3R Standards including the preparation of the required design report and accident analysis. For all other projects, indicate that an accident analysis has been conducted and a report prepared as appropriate.
21. 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. Refer to HDM Chapter 18 and current accessibility standards.
22. For all projects, the Regional Director or authorized representative must provide the following signed statement:

Program and Project Management procedural requirements have been met. Project design is consistent with established standards, policies, and regulations. [Exceptions, approval authority and date(s) of approval are listed below.]
23. For projects designated "statewide significant" by the Office of Planning and Program Management, indicate any special processing requirements or changes in decision authorities as contained in the Project Management Plan.

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24. 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 for DQAB to forward a copy.
 25. Official Order Required: Indicate if an Official Order for a temporary detour is required per Section 42 of the Highway Law. See EI 82-39.
 26. Statement whether supervision of construction is to be by State or Consultant forces.
 27. 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.
 28. Federal Aid projects - 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.
 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. See EI 87-30.
 30. Indicate whether or not Transportation Demand Management (TDM) or Transportation System Management (TSM) strategies have been included in the project to be constructed and/or the maintenance and protection of traffic plan and describe briefly.
 31. 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.
- DO NOT SUBMIT THE PLANS & SPECIFICATIONS UNTIL THE ESTIMATES ARE TRANSFERABLE. PROJECTS LACKING ESTIMATES CANNOT BE PROCESSED UNTIL COMPLETE.
32. Indicate previous letting(s) if the project is a relet project.
 33. Identify designer and project manager; list their telephone numbers.

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34. List last minute problems. (What's needed to complete the PS&E package? What's unresolved that can jeopardize advertisement, letting, or award?). Information must be sufficiently detailed and meaningful for risk assessment of letting/award. Pertinent areas include Items C11, C12, C13, C14, C24, C26 and D.

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.14. 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.

Attachments (Referenced memoranda)



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: Regional Director, Region ____
Regional Design Engineer, Region ____
Regional Planning & Program Manager, Region ____

FROM: P. J. Clark, Design Quality Assurance Bureau. 5-408

SUBJECT: INTERIM PROCEDURES FOR IMPLEMENTATION OF THE INTERMODAL
SURFACE TRANSPORTATION EFFICIENCY ACT OF 1991 (ISTEA)

DATE: July 13, 1992

This is a change to the guidance provided in my June 2, 1992 memo concerning ISTEAs procedures.

There has been further discussion with FHWA concerning the application of the one million dollar threshold under the USC 23 106 (b)(2) provisions of ISTEAs for contracts that include work on different highway systems (i.e. Interstate, National Highway System (Non Interstate), and Non-National Highway System) and with more than one type of funding.

FHWA has stated that "The one million dollar threshold is to be applied to estimated construction cost for project work on each highway system individually."

Therefore, provided that a construction contract does not include more than one million dollars worth of work on the Interstate System or more than one million dollars worth of work on the National Highway System (Non-Interstate); the USC 23 106(b)(2) provisions would be applicable.

This means that a contract that includes work on the Interstate System costing less than one million dollars and work on the National Highway System (Non-Interstate) costing less than one million dollars can be processed under 23 USC 106 (b)(2) even if the combined cost exceeds one million dollars.


Furthermore, if work on one system is one million dollars or more and the work on the other is less than one million dollars, the work costing less than one million dollars will usually still qualify for processing under USC 23 106(b)(2) if the work on the two systems is not directly related and has been combined under one contract for the purpose of construction contract efficiencies. This is a judgement call and should be discussed on a case-by-case basis with FHWA to obtain their concurrence.

PJC:BB

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MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: Regional Director, Region _____
Regional Design Engineer, Region _____
Regional Planning & Program Manager, Region _____

FROM: P. J. Clark, Design Quality Assurance Bureau, 5-408 

SUBJECT: INTERIM PROCEDURES FOR IMPLEMENTATION OF THE INTERMODAL SURFACE
TRANSPORTATION EFFICIENCY ACT OF 1991 (ISTEA)

DATE: June 2, 1992

This supplements my memo of April 14, 1992 (attached) which transmitted the subject Interim ISTEA Procedures. Specifically, it provides additional guidance concerning USC 23 106(b)(2) Procedures and for Non-DOT Administered Projects.

USC 23 106(b)(2) Procedures

FHWA has provided further clarification concerning qualifying projects on the Interstate and National Highway System (NHS) for progression under 23 USC 106(b)(2) within the \$1 million threshold.

- ~~1. Projects that contain elements both on and off the Interstate and/or NHS qualify under the threshold as long as the estimate of the total construction cost of the work on the Interstate and/or NHS is less than \$1 million.~~
- ~~2. If projects on the Interstate and/or NHS with an estimated construction cost of less than \$1 million are combined during detailed design or at PS&E for letting under one contract, and the combined cost becomes \$1 million or greater, they no longer qualify under 23 USC 106(b)(2). Accordingly, the necessary approvals from the Chief Engineer or FHWA under Certification Acceptance or Non-Certification Acceptance, such as substandard features to be retained and design approval, must be obtained even though they were previously granted by the Regional Director under the provisions of 23 USC 106(b)(2).~~

Non-DOT Administered Projects

If any phase of a project, i.e. design, right-of-way acquisition, or construction inspection is administered by someone other than the Department, that phase will be progressed under regular federal aid procedures as a Non-Certification Acceptance (NCA) project.

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Only the phase or phases that are not being administered by the Department will be NCA. For example, if the right of way for a project is being acquired by a local municipality, but the design is being accomplished by the Department or a consultant managed by the Department, the right-of-way acquisition will be NCA, but the design will not.

PJC:bb

cc: P.W. Taylor, Executive Deputy Commissioner, 5-506
M. J. Cuddy, Office of Engineering, 5-504
T. W. Clash, Office of Png. & Program Mgmt., 5-514B
H. L. Peyrebrune, Office of Transp. Policy & Pub. Transp., 5-502
H. J. Brown, Div. Administrator, FHWA
J. R. Lambert, Facilities Design Div., 5-405
A. M. Shirole, Structures Div., 5-6th fl.
T. C. Werner, Traffic & Safety Div., 5-312
P. W. Wells, Construction Div., 4-101
J. J. Murphy, Technical Services Div., 7A-210
R. J. Morris, Real Estate Div., 5-203
G. R. McVoy, Environmental Analysis Bureau, 5-303
R. A. Maitino, Route 9A Group, 4-109
J. M. Harris, Urban & Corridor Png., 4-206
W. S. Caswell, PFM, 4-G17
S. F. Lewis, Administration Div., 5-115
T. G. Smith, Corridor Png. & Proj. Scoping Sect., 4-206
J. M. Yourno, Consultant Management Bureau, 4-G-01
R. A. Demison, Design Bureau, 4-212
D. H. Fasser, Landscape Architecture Bureau, 4-212
W. J. McLoughlin, Project & Fiscal Mgmt. Bureau, 5-519
L. A. Pitaniello, Program Mgmt. Section, 5-518
G. W. Gorrill, Proj. & Fiscal Mgmt. Bureau, 5-519

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MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: Regional Director, Region _____
Regional Design Engineer, Region _____
Regional Planning & Program Manager, Region _____

FROM: J. R. Lambert, Facilities Design Division, 5-405 *by JRL*

SUBJECT: INTERIM PROCEDURES FOR IMPLEMENTATION OF THE
INTERMODAL SURFACE TRANSPORTATION ACT OF 1991 (ISTEA)

DATE: April 14, 1992

FHWA has approved the attached ISTEA Interim Procedures Matrix and Clarification Notes, both dated April 15, 1992, for use on federal aid projects.

These procedures become effective on April 15, 1992 and will be utilized for all federal aid projects. The implementation of these procedures exempts the Department from FHWA project review and oversight for certain projects as described in the matrix. Please note, however, that the requirements and procedures for complying with NEPA and other non-USC 23 requirements such as non-discrimination, labor, and uniform relocation assistance, remain unchanged by the ISTEA as indicated in note 9 of the Clarification Notes.

FHWA has also agreed to allow the Department to delegate to Regional Directors the approval authorities that are delegated to the state under 23 USC 106(b)(2) as described in the matrix. Accordingly, the Regional Director will now have the approval authority for geometric design exceptions, design approvals and PS&E approvals for all federal aid projects off the National Highway System (NHS), as well as for those federal aid projects on the NHS (including Interstates) which have an estimated construction cost of less than \$1 million. As indicated in note 8 of the Clarification Notes, the estimated construction cost at the time of PS&E approval will be the final determination that a project on the NHS or Interstate System is qualified for processing under this \$1 million threshold. If a project exceeds the threshold at any point during the design process, the requirements for FHWA or Main Office design related approvals under Certification Acceptance (CA) or regular federal aid procedures will need to be complied with, in some cases, retroactively.

Non-Interstate projects on the National Highway System which have an estimated construction cost of \$1 million or more will continue to be progressed under the Certification Acceptance Procedures which were in effect prior to passage of the ISTEA. Similarly, Interstate projects which have an estimated construction cost of \$1 million or

more will continue to follow the regular federal aid process as non-certification acceptance (NCA) projects. Accordingly, the authority for design related approvals will remain with the Main Office or FHWA as provided for under procedures for CA and NCA projects.

The provisions of these interim procedures will be included in the update of the Design Procedure Manual which is currently under way. In the meantime, if you have questions, contact your Regional Liaison person in the Design Quality Assurance Bureau. For questions concerning funding eligibility, contact the Office of Planning and Program Management, Project and Fiscal Management Bureau.

PJC:BB
Attachment

cc: P. W. Taylor, Executive Deputy Commissioner, 5-506
M. J. Cuddy, Office of Engineering, 5-504
T. W. Clash, Office of Plng. & Program Mgmt., 5-514B
H. L. Peyrebrune, Office of Transp. Policy & Pub. Transp., 5-
H. J. Brown, Div. Administrator, FHWA
J. R. Lambert, Facilities Design Div., 5-405
A. M. Shirole, Structures Div., 5-6th fl.
T. C. Werner, Traffic & Safety Div., 5-312
P. W. Wells, Construction Div., 4-101
J. J. Murphy, Technical Services Div., 7A-210
R. J. Morris, Real Estate Div., 5-203
G. R. McVoy, Environmental Analysis Bureau, 5-303
R. A. Maitino, Route 9A Group, 4-109
J. M. Harris, Urban & Corridor Plng., 4-206
W. S. Caswell, PPM, 4-G17
S. F. Lewis, Administration Div., 5-115
T. G. Smith, Corridor Plng. & Proj. Scoping Sect. 4-2nd fl.
J. M. Yourno, Consultant Mgmt. Bureau, 4-G-01
R. A. Dennison, Design Bureau, 4-212
D. H. Fasser, Landscape Architecture Bureau, 4-212
W. J. McLoughlin, Project & Fiscal Management Bureau, 5-519
L. A. Pitaniello, Program Management Section, 5-518
G. W. Gorrill, Proj. & Fiscal Management Bureau, 5-519

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ISTEA Interim Procedures Matrix ⁹

Functional Class	Existing Fed-aid System	Interim Fed-aid Procedure ⁹	Standards		Funding Eligibility				
			Construction & Reconst.	3-R	IM	NHS	STP	HBRR	
Interstate (NHS)	FAI	Reg. F.A. Procedure ¹	FHWA Interstate Stds.	FHWA Interstate Stds. ²	Yes	Yes	Yes	Yes	Yes
< \$1 Million	⁸	*23 USC 106(b)(2)							
Freeway & Expressways (non-I) (NHS)	FAP (FAUS - NYC)	*Exist. CA Proc. ⁴	AASHTO	AASHTO ³	No	Yes	Yes	Yes	Yes
< \$1 Million	⁸	*23 USC 106(b)(2)							
Other Principal Arterials (NHS)	FAP PAUS	*Exist. CA Proc. ⁴	AASHTO	FHWA approved NYSDOT 3-R Stds. ⁷	No	Yes	Yes	Yes	Yes
< \$1 Million		*23 USC 106(b)(2)							
Minor Arterials, Rural Major Collectors & Urban Collectors (Non-NHS)	FAP FAS PAUS	*23 USC 106(b)(2) ⁸	State	State ⁶	No	No	Yes	Yes	Yes
Rural Minor Collectors & Local Roads (Non-NHS)	Off Federal-Aid System	*23 USC 106(b)(2) ⁸	State ⁵	State ⁶	No	No	Yes (Bridge & Sfty)	Yes (15% min.)	Yes

* Non-NYSDOT administered projects follow Regular Federal-aid Procedure (Projects let by others such as NYC and Thruway)

ISTEA INTERIM PROCEDURES MATRIX

CLARIFICATION NOTES

The following items are keyed to the circled numbers on the preceding ISTEA Interim Procedures Matrix.

1. Regular Federal Aid (FA) Procedures are essentially the same as the procedures for non certification acceptance (NCA) projects that were in effect prior to passage of the ISTEA.
2. Until new National Standards are developed by FHWA, the current Interstate Standards apply (AASHTO - "A Policy on Design Standards Interstate System" - June 1967).
3. Until new National Standards are developed by FHWA the AASHTO Green Book applies. Although the 1990 edition of the Green Book has been published by AASHTO, it has not as yet been approved by FHWA for use on federal aid projects. Accordingly, the 1984 edition currently applies.
4. Existing Certification Acceptance (CA) Procedures are the CA Procedures that were in effect prior to passage of the ISTEA.
5. Recent practice has been to use the 1984 AASHTO Green Book minimums as the State Standards. Therefore, the State Standards for non 3R projects are currently the same as Federal Standards.
6. The current state approved 3R Standard applies to federal aid projects involving highways in these functional classifications and therefore not on the national highway system.
7. Approval of 3R Standards for use on non-freeway and non-expressway Principal Arterials has recently been obtained from FHWA and the Standards will be issued shortly.
8. 23 USC 106 (b)(2) procedures provided that the Department may request that FHWA no longer review and approve plans, specifications and estimates for projects not on the National Highway System as well as projects on the NHS/Interstate System with an estimated construction cost of less than \$1 million. These procedures will be similar to the procedures described in EI 88-42, Combined Road Plan (CRP), except the thresholds for Main Office and Regional approvals contained in the EI will no longer apply. The estimated construction cost at the time of PS&E approval will be used to make the final determination that a project is qualified for processing under the \$1 million threshold.

Approval authority for geometric design exceptions, design approvals, and PS&E approvals, that are delegated to the state under 23 USC 106(b)(2) may be granted by Regional Directors.
9. The requirements and procedures for complying with NEPA and other non-USC 23 requirements remains unchanged by the ISTEA.



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: Regional Planning & Program Manager, Region 1-11
FROM: L. A. Pitaniello, Project Management Section, 5-518 *Lou P.*
SUBJECT: PS&E FACT SHEET
DATE: **MAY 07 1992**

On January 21, 1992 I sent you a memo which addressed monitoring letting program accomplishments. Attached to that memo was a new version of the PS&E Fact Sheet.

Based on comments we received concerning the PS&E Fact Sheet, we have made some revisions to it. Attached is a copy of the January 21, 1992 memo for your information and a revised copy of the PS&E Fact for your use.

If you have any questions or comments, please let me know.

Attachment

cc: P. Clark, 5-408
R. Dennison, 4-211
C. Fosdick, 4-205
L. Rossi, 4-115
G. S. Stone, 5-414
A. Shirole, 5-600
T. Werner, 5-312
J. Yourno, 4-G-1

PS&E FACT SHEET

PIN: _____ LETTING DATE: _____

PROJECT LIMITS: _____

LOCATION: _____

COUNTY: _____

FUND SOURCE: _____ EST. COST: _____

=====

SUMMARY OF WORK ACCOMPLISHMENTS:

	PROJECTS FUNDED WITH:		'88 BOND
	FEDERAL AID OR 100% STATE (NON-BOND)		
	ON SH SYSTEM	OFF SH SYSTEM	
<u>PAVEMENT:</u>			
LANE MILES	_____	_____	_____
<u>BRIDGES:</u>			
# REHABILITATED	_____	_____	_____
# REPLACED	_____	_____	_____
# CONSTRUCTED (NEW BRIDGES)	_____	_____	_____
# REMOVED	_____	_____	_____
# OF MONO. DECKS	_____	_____	_____
- INCLUDE SQ. FT.	_____	_____	_____
CULVERTS REPAIRED/REPLACED	_____	_____	_____
<u>CAPACITY:</u>			
VHD ELIMINATED	_____	_____	_____
<u>BRIDGE PAINTING:</u>			
DECK AREA OF BRIDGE (SQ. FT.)	_____	_____	_____
<u>HIGH ACCIDENT LOCATIONS:</u>			
# OF HALS	_____	_____	_____
<u>SIGNALS:</u>			
# OF SIGNALS	_____	_____	_____
<u>GUIDERAIL:</u>			
LINEAR FEET	_____	_____	_____
<u>PAVEMENT MARKING:</u>			
LINEAR FEET	_____	_____	_____

=====



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: Regional Planning & Program Manager, Region _____

FROM: L. A. Pitaniello, Project Management Section, 5-518 *Lau P.*

SUBJECT: MONITORING LETTING PROGRAM ACCOMPLISHMENTS

DATE: JAN 21 1992

In order for us to accurately portray the transportation work accomplished by each Regional and Statewide Letting Program, we will start monitoring the proposed and actual accomplishments more closely and establish standardized rules for counting these accomplishments.

After your SFY 92/93 - 97/98 Annual Program Update is approved by the Commissioner, we will send you a list of projects in your Region that are proposed to be let in SFY 92-93. We will ask you to review the list and inform us of the individual accomplishments these projects will achieve in regard to number of bridges, number of lane miles, square feet of monolithic decks, vehicle hours of delay eliminated, linear feet of guiderail, etc.. We understand that for some accomplishments, such as linear feet of guiderail improved, that you will only be able to estimate what your program will achieve. For these accomplishments, please give us the best estimate you have available. We will then set up a data base to be used during the year to compare the actual work accomplished by your letting program to the planned accomplishments as proposed in your Program Update. I have attached a summary of the rules that are included in the Program Update Instructions that should be used for counting accomplishments. These rules are to be used by each Region to ensure that project accomplishments are being counted consistently Statewide.

The actual accomplishments will be collected from the PS&E Fact Sheets (revised copy attached). In order for us to maintain an accurate summary of accomplishments we must receive a copy of the Fact Sheet for each capital project to be let by the Department. Please include the Fact Sheet with OPPM's copy of the PS&E Transmittal Memo. The Transmittal Memo can be sent to either W. J. McLoughlin or myself. This will ensure that we receive a copy of every Fact Sheet so we can maintain the information in the data base accurately. In addition, please be sure to share the attached counting rules with the staff responsible for completing the PS&E Fact Sheets.

Thank you for your assistance in this matter. If you have any questions, please contact the coordinator in the Project Management Section responsible for your Region at 457-2091.

Attachment

cc: L. Rossi, 4-115
J. Yourno, 4-G-1
G. Scott Stone, 5-410
C. Fosdick, 4-205

bcc: J. Labelle, 5-515
W. McLoughlin, 5-519
M. Soscia, 5-519
R. Piracci, 4-110
G. Gorrill, 5-401
J. Church, 5-518
D. Wilsey, 5-515
Project Management Staff