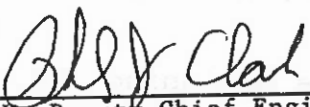


<p>TO: MODIFIED BY EI 94-040 EFFECTIVE 11/16/94, EI 98-001 EFFECTIVE 6/12/98 & EI 98-042 EFFECTIVE 9/1/98</p> <p>SUPERSEDED</p> <p>BY EB 98-045 EFFECTIVE 12/1/98</p>	<h1>ENGINEERING INSTRUCTION</h1> <p>NEW YORK STATE DEPARTMENT OF TRANSPORTATION</p>
<p>Distribution: 30 Main Office 32 Regions 34 Special</p>	<p>Code: <u> EI 94-15 </u></p> <p>Date: <u> June 1, 1994 </u></p> <p>Supersedes: EI 92-38</p>
<p>APPROVED: </p> <p>P. J. CLARK, Deputy Chief Engineer, Facilities Design Division</p>	

MODIFIES EI 79-027, EI 88-025
EI 92-015

This Engineering Instruction supersedes EI 92-38, Final PS&E Submission, and Appendix H of the Design Procedure Manual. There are no major changes in content; however, an additional reporting requirement (requested by the Construction Division) is listed at the end of this Instruction in C35. References have been updated to the current issue of Highway Design Manual Chapter 21.

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 critical due to required FHWA review time.

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. ENSURE THAT THE TRACINGS WILL REPRODUCE CLEARLY AND LEGIBLY.

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 in proposal format whenever permanent construction is not involved. Examples are demolition, bridge painting, pavement striping or crack sealing, 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) 21.2.

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2. Title block must be included if the Main Office is to add a Plan Summary of Quantities. See HDM 21.2.7.
3. Title sheets for all projects must be approved by the Regional Director.
4. Title sheet project location maps should include beginning and ending reference marker identification whenever practical.
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. PROPOSAL MATERIALS

One unbound set of originals or reproducible copy (ENSURE 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 and Estimate | See HDM 21.7 |
| 2. Special Notes | See HDM 21.4. |
| 3. Special Specifications | See HDM 21.3. |

Insert (in numerical order) all special specifications not listed as main office inserts in the "CHECKS" program of EEHS.

4. Form CONR 9h, Supplemental Information Available to Bidders. See HDM 21.9.
5. Form C-258c, Disadvantaged/Minority/Women's Business Enterprise Goals. Waiver/goal reduction 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:

- 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)

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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 21.5.1.
- 7a. For Federal Aid projects, show ISTEPA functional class of the highways included in each estimate share on the respective Estimate Title Sheet. See Design Procedure Manual, Appendix F, "ISTEPA Procedures/Design Related Approval Matrix."
- 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 HDM 21.2.4.2.
9. There are some projects that use traffic signal equipment 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.
10. For Federal Aid NCA projects, two copies of Engineer's Estimate price analysis. See HDM 21.7.
11. For Federal Aid NCA projects, two copies of work sheets documenting any utility betterments included in the Engineer's Estimate. See HDM 21.5.3.
12. Include a list (single copy) of additional insured parties for which the Contractor must provide insurance coverage. See Addendum No. 1 to the Standard Specifications, page I-18.

Note: Copies should NOT be copied back to back.

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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.

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

Project and Letting 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	(all projects)
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 preventive maintenance funds)

*Attach copy of PS&E fact sheet to Project and Letting Management Bureau 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 and anticipated letting date. (Be sure to identify "simplified maintenance contracts.")
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.

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5. If "priority 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 ISTE A is applicable: NCA, CA or 23USC106(b)(2). See Design Procedure Manual, Appendix F, "ISTEA Procedures/Design Related Approval Matrix."
7. Location Approval date/by whom (when applicable):
8. Design Approval date/by whom.
9. Advance Detail Plans (including Maintenance and Protection of Traffic Plans) 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 Engineers Permit - navigable waters (Section 404)
 - (2) Coast Guard Permit
 - (3) Freshwater/Tidal Wetlands Permit (ENCON-IPDG #19 & #21)
 - (4) State Pollutant Discharge Elimination System Permit (SPDES)

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- (5) Flood Plain Hazard Work Permit (ENCON)
- (6) Adirondack Park Agency Permit (letter of compliance with Park use from APA)

- i. State/Local Transportation Improvement Program - Is the project on the STIP/TIP? Does the STIP/TIP need to be amended?
- 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 the 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).
- 14. Status of force accounts (railroad, utilities, etc.). See P. W. Taylor's June 5, 1989 memo.
- 15. Identify any special specifications/notes involving special situations, experimental features, proprietary items, 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. For preventive maintenance contracts, when there is more than one residency in the county in which the work is located, identify the residency involved.
- 18. Projects being let under specifications other than NYS DOT specifications: Statement that the Region has reviewed the plans and specifications and that the proposed contract meets applicable State and Federal requirements.
- 19. 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.)

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20. For all projects, statement that either the project has been developed in accordance with current 3R standards, including preparation of required design report and accident analysis, or, for projects other than 3R, 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 Federal Aid NCA and CA projects, the Regional Director or authorized representative must provide the following signed statement with the PS&E letter:
- 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 "statewide significant" projects (recommended by Regions and so designated by the Planning and Program Management Group), indicate any special processing requirements or changes in decision authorities as contained in the Project Management Plan. See PPM System Instruction 92-4.
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. Statement whether supervision of construction is to be by State or Consultant forces.
26. 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.
27. 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.

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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. See EI 87-30.
29. 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.
30. 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.)

DO NOT SUBMIT THE PLANS & SPECIFICATIONS UNTIL THE ESTIMATES ARE TRANSFERABLE. PROJECTS LACKING ESTIMATES CANNOT BE PROCESSED UNTIL COMPLETE.

31. Utility relocation - Special Notes (B.2. above) will include "Coordination with the Utility Schedule." See sample in Attachment B of EI 82-4.
32. Indicate previous letting(s) if the project is a relet project.
33. Identify designer and project manager; list their telephone numbers.
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, and C31.
35. Any failure to finalize Items C.11-h, C12, C13, C14, and C31 may result in delays in proceeding to Contract Award, or result in delay claims if an award is made without these items completed. Therefore, any of these items which are not finalized in the PS&E transmittal memo must be addressed in a follow up memo to be prepared by the designer no later than six weeks prior to the scheduled letting. This follow up memo shall evaluate the current status of any unresolved items (permits, ROW, agreements, etc.) and include appropriate advisories/special notes to be issued as amendment to the contract proposal.

Attachments: Referenced memoranda



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

1/11

PS&E FACT SHEET

PIN: _____ LETTING DATE: _____
PROJECT LIMITS: _____
LOCATION: _____
COUNTY: _____
FUND SOURCE: _____ EST. COST: _____

SUMMARY OF WORK ACCOMPLISHMENTS:

PROJECTS FUNDED WITH:	FEDERAL AID OR 100% STATE (NON-BOND)		'88 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

RULES FOR COUNTING ACCOMPLISHMENTS FOR THE LETTING PROGRAM

PAVEMENT

COUNT NUMBER OF LANE MILES FOR:

- o Reconstruction projects
- o Resurfacing projects
- o Approach work for bridge projects (when more than a minimal (100') is involved)
- o Existing pavement reconstructed or resurfaced as part of a capacity type project
- o New lane miles constructed
- o Work done with TIMS money that has been transferred to R&P

DO NOT COUNT

- o Lane miles improved with Operating funds
- o TIMS done by State Forces
- o Crack or joint sealing mileage

BRIDGES

COUNT NUMBER OF BINS FOR:

- o Bridge rehabilitation
- o Bridge replacements
- o New bridges constructed
- o Bridge removals (count as bridge removal only when a bridge is being removed and NOT replaced)
- o Bridges rehabilitated or repaired as part of a pavement or capacity type project (do not include bridges that were simply resurfaced as part of a highway project)
- o Monolithic decks (also include square footage of deck area --- length x out to out width)

DO NOT COUNT

- o Bridges improved under the Preventive Maintenance Initiative or funded with other Operating funds
- o Bridge painting projects (counted separately)
- o State Aid for Local Bridge projects

CULVERTS

COUNT NUMBER OF:

- o Culverts repaired or replaced

DO NOT COUNT:

- o Culverts funded with Operating funds

CAPACITY

COUNT:

- o Vehicle Hour of Delay (VHD) eliminated (including all LOS at E or F, intersections improved, park & ride lots, etc.)

BRIDGE PAINTING

COUNT SQUARE FOOTAGE OF DECK AREA FOR:

- o All BIN's painted including painting done as part of a rehabilitation or the replacement of an existing bridge which requires painting

HIGH ACCIDENT LOCATIONS

COUNT NUMBER OF:

- o Any HAL which is within the limits of a project on the program

DO NOT COUNT:

- o Maintenance type projects

SIGNALS

COUNT NUMBER OF:

- o Signals installed, upgraded or replaced
- o Include any signals that are included as part of a pavement, bridge or capacity project.

DO NOT COUNT:

- o Maintenance type projects

GUIDERAIL

COUNT LINEAR FEET OF:

- o Guiderail installed, upgraded or replaced

DO NOT COUNT:

- o Maintenance type projects

PAVEMENT MARKING

COUNT LINEAR FEET OF:

- o Pavement markings installed

DO NOT COUNT:

- o Temporary pavement marking used during construction
- o Maintenance type projects



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO Regional Design Engineer, Region _____
A. M. Shirole, Structures Division, 6th Floor, Bldg. #5
R. A. Wiita, Design Bureau, Room 212, Bldg. #4
J. M. Yourno, Consultant Management Group, Rm. G-01, Bldg. #4

FROM M. Tegza, Final Plan Review Bureau, Room 410, Bldg. #5 *MT*

SUBJECT ENGINEERS ESTIMATE (STRUCTURES SHARES)

DATE January 5, 1990

When establishing structures estimates in the Engineers Estimate Handling System (EEHS), please enter specific "SHARE DESCRIPTION" on the computer input form showing BIN and type of work (examples below):

- BIN 1056150 NEW BRIDGE
- BIN 1056160 CULVERT (Bridge Length Structures - over 20')

See attachment (please direct questions to Structures Division).
Please effect this in all PS&E estimates transferred to the ~~Final-Plan-Review Bureau~~, Design Quality Assurance Bureau.

MT:GSS:DMR
Att.

AMS:LM:VBS
 Your cooperation in this effort will be appreciated.
 We may expect for implementation.
 Please advise us if this request can be accommodated and what installation
 to the bridge work is detailed above.
 and therefore the BIN need not be listed unless this work is in addition
 structure and asphalt paving do not require a separate BIN share
 Safety work, cleaning and painting, maintenance (etc) work, signs and

1. Culvert (Bridge Length Structures - over 20')
 h. Replace Deck
 g. Bridge Rehabilitation
 f. Mono Deck
 e. Replace Super
 d. Bridge Widening
 c. Bridge Removal
 b. Replace Bridge
 a. New Bridge

Mr. M. Tegza, Final Plan Review Bureau, 2-A1B
 Mr. M. Gaddy, Office of Engineering, 2-204
 Mr. J. M. Yourno, Consultant Management Group, 2-402
 Mr. R. A. Wiita, Structures Division, 2-403
 Mr. A. M. Shirole, Structures Division, 2-404

7/11



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: J. R. Lambert, Facilities Design Division, 5-405
FROM: A. M. Shirole, Structures Division, 5-600 ORIGINAL SIGNED BY
A. M. SHIROLE
SUBJECT: Bridge Estimates - Low Bid Cost Data
DATE: January 3, 1990

This office is currently engaged in an effort to automate our analysis of low bid bridge cost data which will become part of the bridge management system. To ease the transition from a tedious hand effort to automation, we need your help in changing the way CONR 20's (copy attached) are filled out. The requested changes are:

- 1.) Engineering Share Title Box: Consistent placing of a Bridge Identification Number (BIN) for all engineering shares pertaining to bridge work.
- 2.) Establish a policy of creating separate engineering shares for the following types of bridge work.
 - a.) New Bridge
 - b.) Replace Bridge
 - c.) Bridge Removal
 - d.) Bridge Widen
 - e.) Replace Super
 - f.) Mono Deck
 - g.) Bridge Rehab
 - h.) Replace Deck
 - i.) Culvert (bridge length structures, with BIN)

Safety work, cleaning and painting, maintenance type work, signs on structure and asphalt resurfacing do not require a separate bridge share and therefore the BIN need not be listed unless this work is in addition to the bridge work indicated above.

Please advise us if this request can be accommodated and what timetable we may expect for implementation.

Your cooperation in this effort will be appreciated

AMS:JJM:kd#3

cc: M.J. Cuddy, Office of Engineering, 5-504
cc: M. Tegza, Final Plan Review Bureau, 5-410
cc: P. Bellafr, Prelim. Plan Review Bureau, 5-408
cc: T. A. Mann, Structures Division, 5-600
cc: J. J. McCaughan, Structures Division, 5-600
cc: W. J. Winkler, Bridge Management, 5-600

8/11



MEMORANDUM
DEPARTMENT OF TRANSPORTATION

TO: M. J. Cuddy, Office of Engineering, 504/5
(w/attachments)

FROM: J. J. Thomas, Highway Maintenance Division, 217/5 *JJT/EB*

SUBJECT: COMBINATION OF PROJECTS TO REDUCE NUMBER OF CONTRACTS

DATE: October 27, 1989

Situation

Paul Taylor's note of October 5, 1989 (copy attached) requested a procedure be developed to assure "combination" of Maintenance-by-Contract projects to the greatest degree practical.

Also, as a result of John Mladinov's review of projects originally proposed for the November 16, 1989 letting, John questioned whether the contracts using Operating funds had been prepared combining similar types of work, as much as practical, within a reasonable geographic area. There were nine contracts involved, with two in Region 1, one in Region 4, four in Region 7, and two in Region 9. As directed by John Mladinov, these contracts are not included in the November 16, 1989 letting and will be rescheduled when his concern is resolved. Attached is an October 6, 1989 note from Dale Wilsey of the Capital Projects Coordination Bureau to John Mladinov which states "... until you are satisfied that maintenance projects are following the procedure we will not submit O&M projects for your signature."

Background

The Regions have informed us in the past, and confirmed again in regard to the November 16, 1989 letting, that the combination of projects containing similar work, within reasonably close proximity, has been a long-standing practice and goal, for both Capital funded and Operating-funded projects. As the Regions noted, from a Regional perspective, there are the obvious advantages to the Design Group in preparing less PS&E's and to the Construction Group in administering less contracts. However, we are not aware of any specific written instructions in the design process requiring such consolidation.

Page 2
October 27, 1989

Suggested Procedure to Institutionalize Project Consolidation

To institutionalize the "consolidation" of projects (Capital and/or Operating funded) it is suggested that the following statement might be included in the PS&E Letter of Transmittal:

"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."

An amendment to EI89-1 would add this subject as an item to address in the PS&E Letter of Transmittal with a suggested statement. Institution of this suggested procedure will remind the Regions to carefully consider consolidation of contracts.

10/11

TO: Regional Directors
Assistant Commissioners

FROM: P. W. Taylor, Executive Deputy Commissioner, 5-506

PWT/5

SUBJECT: RAILROAD FORCE ACCOUNT AGREEMENTS

DATE: JUN 05 1989

Our objective with respect to obtaining Railroad Force Account Agreements needed for our construction contracts is that we have an agreement signed by the railroad prior to award of a state contract. We will consider waiving this requirement when the absence of a signed agreement will not have an immediate adverse effect on the construction contract.

Prior to advertising the Highway Rail Unit staff will be consulted by PPMG concerning the status and estimated schedule for obtaining the required agreements. We will continue to process the contract if we believe that an agreement can be put in place on a timely basis before the scheduled award date. If we expect to open bids without an agreement in hand, a note will be included in the bid documents stating the expected date that the agreement will be available--a step similar to one we now use where real estate availability is an uncertainty.

After advertising, the Highway Rail Unit will reassess the likely schedule for obtaining a signed agreement. Two weeks prior to the actual bid opening, they will advise the Capital Projects Coordination Bureau of their current schedule for acquiring the agreement. If that schedule has changed significantly, Capital Projects Coordination Bureau will consult with the region involved and make a decision as to whether to proceed with the letting or to recommend a delay.

Primary responsibility for providing timely and accurate information needed to process these agreements rests with the regional office. The Highway Rail Unit is responsible for communicating with the railroads and for expeditious processing of the necessary plans and agreements. It is particularly important that we open communications with the railroads as early as possible and highlight any changes which occur as we develop our plans.

PWT:mmm

cc: D. J. Egan, PPMG, 5-514B

11/11