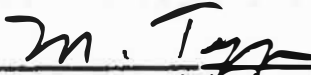


TO: Director, Preliminary Plan Review Bureau SUPERSEDED BY EI 83-001 EFFECTIVE 1/12/83	<h1>ENGINEERING INSTRUCTION</h1> <p>NEW YORK STATE DEPARTMENT OF TRANSPORTATION</p> <p>SUBJECT: FINAL PS&E SUBMISSION</p> <p>Subject Code: 7.26-1</p>
Distribution: <input checked="" type="checkbox"/> Main Office <input checked="" type="checkbox"/> Regions <input type="checkbox"/> Special	Code: EI 82-28 Date: 6/8/82 Supersedes: EI 80-16 EI 78-57
APPROVED:  M. TEGZA, DIRECTOR, (Final Plan Review Bureau)	

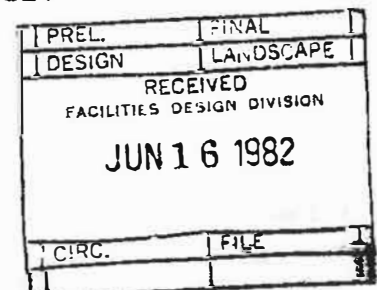
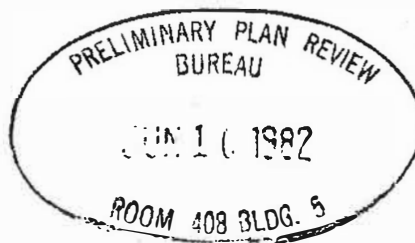
This instruction functions as Phase VI of the Design Procedure Manual. It supersedes EI 80-16 and modifies the previous PS&E submission requirements as follows:

- A1. The number of prints of final plans to be submitted has been modified and details given on 8 1/2" x 11" type submission.
- A2. Earthwork summary sheet requirement added.
- C.8e(8) Involvement/noninvolvement with NYSHPA for 100% State projects has been added.
- C.6b Reduction in the number of copies of resolutions and agreements.
- C.14 Reference has been updated.
- C.21 Reference to TE 200b forms has been added and former 21 renumbered 22.
- D. Utility Relocation -
The utility relocation report has been updated.

All designers are hereby notified that all PS&E Transmittal Letters must follow the format outlined in this instruction.

The PS&E submission should be received by the Final Plan Review Bureau 12 weeks before a scheduled letting. Project designers are responsible for seeing that the final PS&E submission is a complete and coordinated product. PS&E for all NCA (Non-Certification Acceptance) projects must meet submission deadlines.

A PS&E consists of the following required material:



Subject: FINAL PS&E SUBMISSION

A. FINAL PLANS

1. One (1) BOUND set of 22" x 36" tracings and a minimum of two (2) bound sets of prints.

The submitting office is to transmit one additional set of prints for each of the following if the project involves: Bridges, Railroads or the Non-Certification Acceptance procedure with FHWA for a total of five (5) prints under maximum conditions.

PS&E without full size plans can be on 8-1/2" x 11" format whenever permanent type construction is not involved. Typical cases for this format are: demolition, bridge painting, pavement markings, test wells, soil borings for preliminary engineering, resurfacing only and projects off the State system regardless of type of construction.

RE: HDM 21.02 (HDM - Highway Design Manual), EI 78-1.

2. Two "white prints" of Earthwork Summary Sheet ES-1 (and ES-2 where applicable). EI 81-41.

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 RE: HDM 21.07
2. Special Notes RE: HDM 21.04, EI 75-56
3. Special Specifications RE: HDM 21.03, EI 74-23,
75-56, 75-81
4. Project Description for RE: Letter No. 67-83
Newspaper Use, Form AD-102b

This material should be assembled in the order listed above.

5. 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. RE: EI 77-55.
6. One (1) original and appropriate copies (equal to number of plan prints) of the project location map. RE: EI 78-1.

Subject: FINAL PS&E SUBMISSION

C. PS&E LETTER OF TRANSMITTAL

The PS&E letter shall transmit the PS&E to the Final Plan Review Bureau. Bridge painting projects should be sent to Highway Maintenance Division. 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)
Facilities Design Division	" " "
Construction Division	" " "
Preliminary Plan Review Bureau	" " "
Contracts Bureau	" " "
Structures Division	(projects involving structures)
Rail Operations Bureau	(projects involving RR's)
Soil Mechanics Bureau	(projects involving soils)
Traffic & Safety Division	(projects involving safety programs)
Landscape Architecture Bureau	(projects involving major landscaping)
Real Estate Division	(projects involving acquisition of right-of-way)

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.
6. Status of Resolutions and Agreements (RE: EI 79-27)
 - 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.

Subject: FINAL PS&E SUBMISSION

b. Environmental Determination

8. Give status of the following; when appropriate, include dates (RE: EI 79-27):

a. Final Environmental Impact Statement, Negative Declaration or Environmental Impact Statement Reevaluation.

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/noninvolvement with NYSHPA (100% State Projects)

9. Status of force accounts (Railroad, utilities, etc.).

10. List of non-profit items.

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.

12. Statement whether supervision of construction is to be by State or Consultant forces.

13. Statement of availability of right-of-way. (RE: EI 79-27)

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, has Region coordinated with ENCON.

RE: EI 82-12

Subject: FINAL PS&E SUBMISSION

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. RE: EI 77-55.

DO NOT SUBMIT THE PLANS & SPECIFICATIONS UNTIL THE ESTIMATES ARE TRANSFERABLE.

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. Projects under Certification Acceptance - The Regional Director is 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 his signature or his designated representative's.
21. 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).

RE: EI 81-10.

22. 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.

Subject: FINAL PS&E SUBMISSION

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 (From HC 203) should be submitted directly to the Main Office Utilities Section. The report should be accompanied by all utilities agreements not already submitted. RE: EI 73-35, 74-67, 77-14, 80-22, 80-31, 82-4.

MT:JM:KD