

*Local Project Administration Manual & Reference Guide*

# Final PS&E Package



**MaineDOT**

*Integrity - Competence - Service*

*2016 Edition (Updated Section)*

# Final PS&E Package

**B**efore a locally administered project may be put out bid, the municipality or local agency overseeing it must submit the final plans, specifications and construction estimate (PS&E) to MaineDOT for review, comment and approval. At this point, design plans and construction specifications must be completed and address all previous comments, all permits must be in hand, and any right-of-way necessary for the project must have been acquired.

This section explains the requirements for final PS&E and contains:

- An *updated* checklist of final PS&E requirements (page 7-2);
- Project certification templates (pages 7-3 to 7-6);
- Sample construction authorization request (page 7-7); and
- Appendix 7A: Bid package checklist (page 7-8).



## 7.1 Overview

Final PS&E is the last stage before project bidding. At this point, right-of-way and environmental work must be completed. If there is federal money, the U.S. Department of Transportation must have issued the appropriate document under the National Environmental Policy Act (NEPA) – in most cases what is known as a Categorical Exclusion, or “CE.”

The following signed certifications must be submitted to MaineDOT at the final PS&E stage:

- Environmental certification (**Communication 12**) stating that all environmental permits required for the project were approved (page 7-4);
- Utility certification (**Communication 13**) stating that all work involving utilities and any railroad has been identified and coordinated (page 7-5);
- Right-of-way certification (**Communication 14**) stating that all property rights were acquired in accordance with state and federal requirements (page 7-6); and
- Certification of Traffic Analysis and Movement Evaluation (TAME) process.  
(*MaineDOT will prepare TAME certification through the state traffic engineer.*)

Remember that a city, town or other organization cannot advertise for construction bids without receiving written approval from MaineDOT. This approval occurs only after:

- MaineDOT has reviewed and accepted the final PS&E package; and
- The organization administering the project has requested construction authorization from MaineDOT, using the language in Communication 15, on page 7-8; and
- The U.S. Department of Transportation has authorized funding for the construction stage.

## CHECKLIST: FINAL PLANS, SPECIFICATIONS AND ESTIMATE

- PS&E package completed**, as follows:
  - Engineer's estimate of construction cost is completed, using MaineDOT item numbers
  - Each item in engineer's estimate is shown on the plans
  - Estimate of quantities matches Schedule of Items in contract book
  - All work is covered by a pay item or a general note
  - Approval of design exceptions is documented
  - Quality-control design checks are documented
  - Design plans have the following, as applicable:**
    - Title sheet
    - Profiles
    - Cross-sections
    - Typical sections
    - Earthwork summary (*if applicable*)
    - General notes
    - All supplemental sheets (drainage, geometric, grading, striping, etc.)
  - Plans stamped by engineer of record, as warranted and required by law
  - Bid book includes the following:**
    - Notice to Contractors
    - Contract Agreement, Offer and Award form
    - Contract bonds
    - Davis-Bacon wage rates (*federally funded projects*)
    - Electronic payroll special provision (*federally funded projects*)
    - Buy America special provision (*federally funded projects*)
    - 105 special provision – Limitation of Operations (*if applicable*)
    - 403 special provision (Hot Mix Asphalt) prepared by MaineDOT (*if applicable*)
    - 652 special provision – Traffic control
    - Form FHWA-1273 (*federally funded projects*)
    - Signed Title VI Assurances (*federally funded projects*)
- PS&E package approved by MaineDOT project manager**

*The numbering on the letters below has changed from previous editions of this manual.*

- Environmental Certification attached (**Communication 12**)
- Utilities Certification attached (**Communication 13**)
- Right-of-Way Certification attached (**Communication 14**)
- Traffic Analysis and Movement Evaluation (TAME) Certification attached
  - MaineDOT will prepare TAME certification*
- Construction authorization requested from MaineDOT (**Communication 15**)**
- Construction authorization given in writing by the MaineDOT project manager**
- Minimum materials testing requirements obtained from MaineDOT project manager:**
  - PM sends plans, specifications and estimated quantities to technician Jean Tukey: 624-3543

**⚡ If you advertise your project before receiving authorization, you will jeopardize **ALL** the money from MaineDOT for the project.**

**INSTRUCTIONS:** *This must be submitted on letterhead with the PS&E package for a project.*

Date

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Environmental Certification**  
MaineDOT WIN \_\_\_\_\_

Dear \_\_\_\_\_:

This document serves as official certification that all environmental permits required for [**project scope, WIN**] in the Municipality of \_\_\_\_\_ were obtained and approved in accordance with requirements identified in the executed Project Agreement with MaineDOT dated [**execution date**].

Attached are all of the approved permits. If you need additional information, please let me know.

Sincerely,

Local Project Administrator  
Municipality of \_\_\_\_\_

Enclosures: Environmental permits  
Cc: MaineDOT Environmental Office

***NOTE:*** *Please attach all of the approved permits. If no permits are required, please supply a narrative as to why no permits were needed.*

**INSTRUCTIONS:** This must be submitted on letterhead with the PS&E package for a federally funded project. A template in Word is online: [www.maine.gov/mdot/utilities/coordpage.htm](http://www.maine.gov/mdot/utilities/coordpage.htm)

Date

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 Sate House Station  
Augusta, ME 04333-0016

**Subject:** Utility Certification, MaineDOT WIN\_\_\_\_\_

Dear \_\_\_\_\_:

I certify that all utility and railroad work necessitated by the subject project has been identified and coordinated with the respective utilities and railroads. All necessary arrangements have been made for utility work to be undertaken and completed as necessary for proper coordination with physical construction schedules in accordance with Federal Aid Policy Guide, Title 23, Code of Federal Regulation, Chapter 1, Subchapter G, Part 645, Subpart A, Subpart B, or both.

Based on 23 CFR 635.309(b), all railroad work has been completed and/or all necessary arrangements have been made (23 CFR 140 Subpart I/23 CFR 646 Subpart B) for it to be undertaken and completed as required for proper coordination with the physical construction schedule. The following utilities and or railroads have been identified as having facilities within the project limits:

**Utility/Railroad**

**Impacted facilities? (yes/no)**

All of the above entities were first informed of the project on **{Date}**, were involved as necessary throughout design, and received the most current plans on **{Date}**. Furthermore, the above entities have been informed of the proposed advertising date - **{Date}**. There are no direct payments anticipated to utilities/railroads as a part of this project (**except as otherwise provided through the following agreements**):

**Utility/Railroad**

**Date of Agreement**

The primary utility/railroad contacts involved in the coordination of this project are as follows:

**Utility/Railroad**

**Contact Name**

**Telephone #**

Sincerely,

Local Project Administrator

*INSTRUCTIONS: This must be submitted on letterhead with the attached right-of-way certificate with the PS&E package for a federally funded project.*

Date

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Right-of-Way Certification**  
MaineDOT WIN \_\_\_\_\_

Dear \_\_\_\_\_:

Attached is the official certification that all right-of-way necessary for construction and maintenance of [**project scope, WIN**] in the Municipality of \_\_\_\_\_ was obtained in accordance with federal and state requirements identified in the executed Project Agreement with MaineDOT dated [**execution date**].

All information about the right-of-way process can be made available to you at your request. If you need additional information, please let me know.

Sincerely,

Local Project Administrator  
Municipality of

Enclosure: Right-of-way certificate

MUNICIPALITY OF \_\_\_\_\_

### RIGHT OF WAY CERTIFICATE

FEDERAL PROJECT		WIN	
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ROUTE		LOCAL NAME	
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RIGHT OF WAY ACQUISITION REQUIRED AS DESCRIBED BELOW:

Property Owners		Fee Simple Parcels		Easement Rights	
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Displacement Summary:		Number of Cases
Number Displaced		
Number Relocated		

The Municipality of \_\_\_\_\_ hereby certifies that the right to occupy and use all the rights of way necessary for this project has been acquired by  deed,  condemnation or  permit to work. All right-of-way has been or will be acquired in accordance with the current FHWA directive(s) covering the acquisition of real property and all relocations have been accomplished.

Without Exception

**Legal Possession completed as of**

*All families and individuals relocated from this project have been offered decent, safe and sanitary housing, as defined in 49 CFR Part 24: All parties receiving replacement housing payments have been relocated to DS&S housing. Relocation procedures used on this project conform to the standards established by federal regulation.*

Signed by:

Local Project Administrator	Date

**NOTE: THIS MAY BE SENT AS AN E-MAIL WITH THE PS&E PACKAGE.**

Date

\_\_\_\_\_, Project Manager  
Maine Department of Transportation  
Bureau of Project Development, Multimodal Program  
16 State House Station  
Augusta, ME 04333-0016

**Subject: Construction Authorization Request**  
MaineDOT WIN\_\_\_\_\_

Dear \_\_\_\_\_:

Attached for your review, comment and approval are the final plans, specifications and estimate (PS&E) for [insert project scope, WIN] in the Municipality of \_\_\_\_\_.

Also attached are the following certifications:

- Communication 12 (environment);
- Communication 13 (utilities); and
- Communication 14 (right of way).

The Municipality hopes to advertise for construction services on [insert date], but we understand that we cannot put the project out to bid without MaineDOT's written approval.

We further acknowledge that construction authorization will be contingent upon:

1. The Municipality addressing to MaineDOT's satisfaction any final comments on the PS&E package; and
2. MaineDOT obtaining authorization for the construction stage of the project from the Federal Highway Administration.

Sincerely,

Local Project Administrator  
Municipality of \_\_\_\_\_

Enclosure: Draft PS&E package

# Appendix 7A: Bid Package Checklist



# FINAL PLANS & BID DOCUMENTS

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*Note: This section offers guidance on the standard documentation for most bid packages. Check with MaineDOT for the latest versions of all bid book inserts and special provisions.*

## Final Plans

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1. Check to be sure the title page is signed with a licensed professional engineer's stamp, if estimated construction cost is greater than \$100,000.
2. Be sure the schedule of items matches the final engineer's estimate.
3. Check plans to be sure all pay items are on the schedule of items and engineer's estimate.

## Specifications

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1. Make sure that all project specifications and special provisions include the following:
  - Description of the work;
  - Materials required to complete the work;
  - Requirements to construct and accept the work;
  - Measurement, specifying what, when and how to measure for payment; and
  - Basis of payment for the work.

## Bid Documents

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Most documents are online: <http://www.maine.gov/mdot/lpa/lpadocuments/>

1. Bidding Instructions
  - The latest inserts from MaineDOT must be at the front of the bid book. The instructions will be labeled Federal or State, depending upon funding source.
  - In most cases, references to MaineDOT should be replaced with references to the city or town overseeing a project. Check with MaineDOT if there are questions.
2. Notice to Contractors, includes:
  - Stamp of Engineer of Record, as applicable and required by law
  - Bid opening date and time (*pay attention to holidays*)
  - Project WIN, description, location, and outline of work
  - Basis of award
  - Disadvantaged Business Enterprise requirements statement (*federally funded projects*)
  - Statement that MaineDOT Standard Specifications shall govern all work
  - Bid bond amount
  - Cost of copies of bid book and plan sets

- Projects less than \$125,000 require no contract performance surety bond or contract payment surety bond. Bonds are required for projects exceeding \$125,000.
  - For projects greater than \$300,000, a bidder must complete a highway, bridge or project specific pre-qualification through MaineDOT to be awarded the contract.
  - For projects less than \$300,000: “Bids will be accepted from all bidders. The lowest responsive bidder must demonstrate successful completion of projects of similar size and scope to be considered for the award of this contract.”
3. Special Provision 102.7.3, Acknowledgement of Bid Amendments
  4. Schedule of Items
  5. Contract Agreement, Offer and Award form: two copies
    - Check Section A, “The Work,” for correct WIN, location and scope of work
    - Check Section B, “Time,” to be sure completion date matches Special Provision 107
    - Check Section F, “Offer,” to be sure the paragraph labeled “Fourth” references Disadvantaged Business Enterprise (DBE) requirements (*federally funded projects*)
  6. Forms labeled, “Sample,” – one copy each:
    - Contract Agreement, Offer and Award
    - Contract Performance Bond
    - Contract Payment Bond (Surety Company Form)
  7. Davis-Bacon Wage Rates: Check for latest General Decision for county and type of work
    - Required for federally funded projects: <http://www.wdol.gov/dba.aspx>
  8. Special Provision (SP) Section 104, Utilities
  9. SP Section 104.3.8, Electronic Payroll Submission / Payment Tracking (if federal funds)
  10. SP Section 105.10.1, Equal Opportunity and Civil Rights:  
Disadvantaged Business Enterprises Program (*federally funded projects*)
  11. SP Section 105.11, Buy America Certification (federally funded projects)
  12. SP Section 105, General Scope of Work: Limitations of Operations (*if applicable*)
  13. SP Section 105, Overlimit Movement Permits (if applicable, based on nature of work)
  14. SP Section 107, Prosecution and Progress: Scheduling of Work
    - Ensure completion date matches date in Contract Agreement, Offer & Award.
  15. SP Section 108, Asphalt Escalator (*if more than 500 tons of HMA is used*)
  16. SP Section 401, Hot Mix Asphalt Pavement

17. SP Section 403, Hot Mix Asphalt
    - Compare items listed against the “Schedule of Items” and other special provisions.
    - Ensure all paving pay items are on the Schedule of Items and the estimated quantities.
    - Ensure that all numbered notes in the table are listed at the bottom of the page.
    - Check to see if tack coat (item 409.15) is a pay item or incidental.
  18. SP Section 502, Structural Concrete (*if there is concrete work*)
  19. SP Section 608, Detectable Warnings (*for sidewalks*)
  20. SP Section 609, Structural Concrete: Concrete Slipform Curb (*if applicable*)
  21. SP Section 634 Highway Lighting (*if highway lighting is part of the contract*)
  22. SP Section 643, Traffic Signals (*if traffic signals are part of the contract*)
  23. SP Section 652, Maintenance of Traffic
  24. SP Section 656, Temporary Soil Erosion and Water Pollution Control
    - A special provision is only required if requested by the Environmental Office
  25. Standard Detail updates
    - Latest version is online: <http://www.maine.gov/mdot/contractors/publications/>
  26. Supplemental Specification: Corrections, Additions & Revisions to Standard Specifications
    - Latest version is online: <http://www.maine.gov/mdot/contractors/publications/>
  27. Special Provision, Projects Funded by the Transportation Alternatives Program (TAP) – Appendix A to Division 100
    - Prohibits use of convict labor on certain federally funded projects
    - Check with MaineDOT if there is question about the funding source
  28. Appendix A to Division 100: Section 1 – Bidding Provisions (*federally funded projects*)
    - This is FHWA Form 1273 and must be inserted into bid books for federal-aid projects
  29. Signed Title VI Assurances from municipality or organization in charge of project.
    - Must include Appendix A and Appendix E
  30. Environmental Summary Sheet
    - This document is prepared by the MaineDOT Environmental Office on federal projects
    - Check to be sure that all referenced special provisions are included in the bid book
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