



RECEIVED

JUL 11 2008

STATE OF NEW YORK
DEPARTMENT OF TRANSPORTATION PUTNAM CO. PLANNING DEPT.
REGION EIGHT
4 BURNETT BOULEVARD
POUGHKEEPSIE, NEW YORK 12603
www.nysdot.gov

JOAN DUPONT, P.E.
REGIONAL DIRECTOR

July 9, 2008

ASTRID C. GLYNN
COMMISSIONER

Robert Lopusny, P.E., Project Manager
Putnam County Dept. of Highways
842 Fair Street
Carmel, New York 10512

RE: PIN 8806.97, COMMUTER PARKING LOTS
PUTNAM COUNTY

AUTHORIZATION TO PROCEED – CONSTRUCTION
PHASE ACTIVITIES

Dear Mr. Lopusny :

Please take a few minutes to read this letter in its entirety as it contains important information regarding the next steps in the project development process.

The Putnam County Dept. of Highways (hereafter referred to as “the administering agency”) is authorized to proceed with construction activities for the above-referenced project. All eligible expenses associated with this project phase incurred on or after the date of this letter are federally reimbursable. This authorization to proceed also includes construction inspection, utility, railroad force account and betterment work. For a list of typical activities associated with each project development phase, see the attachment titled “Project Development Phases and Activities.”

Please send this office a complete set of contract documents, as printed and made available to prospective bidders, as soon as the documents are available.

The administering agency should endeavor to **avoid changing the project after design approval** is granted. The final design report is the culmination of the evaluation of all project elements and coordination with regulatory agencies, involved agencies and the general public. Changes to the project after design approval will require recycling the project through the preliminary design phase to insure further environmental and engineering evaluations are performed, and coordination with appropriate agencies is conducted; a re-evaluation of the contract documents may also be required. Changes that occur after design approval has been granted can cause significant delays in project development.

Advertisements for the purpose of obtaining bids may now be placed. An advertisement must be placed in the New York State Contract Reporter and in the local newspaper; placement of advertisements in other publications is encouraged and recommended. Ads for the New York State Contract Reporter must be placed on-line at www.nyscr.com. Further information, including a sample advertisement for the New York State Contract Reporter, can be found in Chapter 14 of the manual entitled "Procedures for Locally Administered Federal Aid Projects." The New York State Contract Reporter is now published electronically each Thursday; the deadline for submission of an advertisement is the Monday before publication. Federal law requires that the advertisement and approved plans and specifications be available to bidders a minimum of three weeks (fifteen working days) prior to the opening of bids.

The **Disadvantaged Business Enterprise (DBE) goal** for this project is **9%**. This goal should be inserted on page L-40 of the contract documents. The DBE goal must also be published in the advertisement for bids. The DBE program supersedes State and local Minority/Business Enterprise programs, so M/WBE goals cannot be included in the contract documents or in the advertisement for bids.

Amendments to the contract documents should be cleared through the Local Projects Unit prior to issuance, and then made available to all prospective bidders in such a manner as to allow for a reasonable time to prepare or adjust bids. In some cases, amendments must be approved by the Department or the Federal Highway Administration (see Table 8-1 of the manual). Final amendments should be sent to the Local Projects Unit when distributed to prospective bidders. Further information regarding amendments can be found in Section 14.2.2 of the manual.

If **alternate bidding procedures** are employed, the administering agency is reminded that strict adherence to the alternate bidding procedures is required. The award of contracts that utilize alternate bidding procedures must be reviewed by the Local Projects Unit prior to formal award of the construction contract. Unauthorized deviation from the approved procedures will jeopardize federal eligibility.

Responsibility for **evaluating bids** and bidder responsibility rests with the administering agency. Further information can be found in Section 14.3 of the manual.

Prior to the award of any construction contract, the administering agency must evaluate the prime contractor's **DBE utilization plan** and efforts to meet the DBE goal or, in the absence of a formal goal, good faith efforts to employ DBE firms. During construction, DBE utilization must be reported periodically to the Local Projects Unit. Further information regarding the DBE program can be found in Chapter 13 of the manual.

For construction contracts on a NHS roadway or State highway, the Local Projects Unit must concur with the Responsible Local Official's recommendation to award the contract prior to the administering agency formally awarding the contract. The vehicle for this review of the award recommendation is the contract award documentation package, described in Section 14.4 of the manual, and the attached "Certification for Construction Contract Bidding and Award." One of the key, critical-path elements of the award concurrence process is the completion of the NYS Uniform Contracting Questionnaire by the selected contractor, if a current form is not already on file with the Department. Upon concurrence from the Local Projects Unit, the administering agency may formally award the contract and must forward the formal award notification to the Local Projects Unit. This information is required in order to initiate a State-Local Supplemental Agreement to include construction costs. This agreement is necessary in order to receive reimbursement for work accomplished during this phase.

For projects that involve work on bridges, please be reminded that the contract award documentation package must include the bridge unit cost data described in Section 14.3.3 of the manual.

After award and before commencing work, a **pre-construction meeting** must be convened to discuss Federal requirements which must be met during the construction phase. Attendees at this meeting should include representatives from the contractor, inspection team, Local Projects Unit and your office. If a NYS Highway Work Permit is required for construction, additional representatives from the Region may attend, or a separate pre-construction meeting may be held to discuss highway work permit requirements. Contact William Pullar of the Local Projects Unit when scheduling the preconstruction meeting. Leslie will coordinate the attendance of all state representatives at this meeting.

During construction, oversight, management and inspection should be performed in accordance with the approved Construction Management Plan and Chapter 15 of the manual. Special note should be made of Section 15.3.1 regarding **change orders**. The Local Projects Unit and/or FHWA may visit the project site during construction to monitor progress and compliance with key federal requirements.

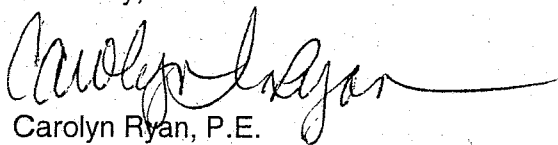
Immediately upon completion of bridge work or any work on a NHS or SHS roadway, a copy of the **as-built plans**, signed by both the licensed professional in charge of design (use of the plan cover sheet is recommended) and the licensed professional in charge of inspection must be submitted to the Local Projects Unit. Updated load rating and/or inventory forms must be submitted to the Local Projects Unit by the administering agency when any changes are made to a bridge during construction.

Once all work has been satisfactorily completed, the administering agency should notify the Local Projects Unit by submitting a "**Certification for Construction Inspection**" and a "**Certification for Construction Acceptance**" (refer to the enclosed formats). Notification of construction completion and acceptance will initiate project close-out procedures.

For your information, the latest updates to the manual entitled "Procedures for Locally Administered Federal Aid Projects" can be downloaded from the Department's website. Simply go to www.nysdot.gov, and click on "Publications".

If you have any questions concerning construction phase activities, please contact William Pullar at (845) 431-5717.

Sincerely,



Carolyn Ryan, P.E.
Local Program Manager
Local Projects Unit

Enclosures

Cc: John Pilner, Putnam County Dept. of Highways

For projects that involve work on bridges, please be reminded that the contract award documentation package must include the bridge unit cost data described in Section 14.3.3 of the manual.

After award and before commencing work, a **pre-construction meeting** must be convened to discuss Federal requirements which must be met during the construction phase. Attendees at this meeting should include representatives from the contractor, inspection team, Local Projects Unit and your office. If a NYS Highway Work Permit is required for construction, additional representatives from the Region may attend, or a separate pre-construction meeting may be held to discuss highway work permit requirements. Contact William Pullar of the Local Projects Unit when scheduling the preconstruction meeting. Leslie will coordinate the attendance of all state representatives at this meeting.

During construction, oversight, management and inspection should be performed in accordance with the approved Construction Management Plan and Chapter 15 of the manual. Special note should be made of Section 15.3.1 regarding **change orders**. The Local Projects Unit and/or FHWA may visit the project site during construction to monitor progress and compliance with key federal requirements.

Immediately upon completion of bridge work or any work on a NHS or SHS roadway, a copy of the **as-built plans**, signed by both the licensed professional in charge of design (use of the plan cover sheet is recommended) and the licensed professional in charge of inspection must be submitted to the Local Projects Unit. Updated load rating and/or inventory forms must be submitted to the Local Projects Unit by the administering agency when any changes are made to a bridge during construction.

Once all work has been satisfactorily completed, the administering agency should notify the Local Projects Unit by submitting a "**Certification for Construction Inspection**" and a "**Certification for Construction Acceptance**" (refer to the enclosed formats). Notification of construction completion and acceptance will initiate project close-out procedures.

For your information, the latest updates to the manual entitled "Procedures for Locally Administered Federal Aid Projects" can be downloaded from the Department's website. Simply go to www.nysdot.gov, and click on "Publications".

If you have any questions concerning construction phase activities, please contact William Pullar at (845) 431-5717.

Sincerely,



Carolyn Ryan, P.E.
Local Program Manager
Local Projects Unit

Enclosures

Cc: John Pilner, Putnam County Dept. of Highways

Project Development Phases and Activities

Preliminary Design Phase (shown as "P" on the TIP/STIP)

During this phase, the project scope is refined, feasible alternatives are developed, public and agency input is sought and received, environmental impacts are identified and analyzed, mitigative measures are evaluated and selected, SEQRA and NEPA determinations are made, and design approval is granted.

Pre-requisites to beginning the Preliminary Design phase are:

- project approved for funding
- project listed on TIP/STIP
- project initiated
- State-Local Project Agreement executed (if preliminary engineering work is to be federally reimbursed)
- Authorization to Proceed granted

Typical tasks performed during the Preliminary Design phase include:

- consultant procurement
- preparation of Design Report
- gathering and analyzing data, including but not necessarily limited to:
 - topographic survey (aerial and/or ground survey) and mapping
 - documentation of existing conditions (including existing ROW and/or property boundaries)
 - traffic volume data collection and evaluation
 - accident data retrieval and evaluation
 - pavement evaluation
 - structural inspection and evaluation
 - soils investigation
- selection of appropriate design criteria
- development and evaluation of feasible alternatives, including cost estimates and preliminary (40%) plans
- environmental screenings and detailed investigations
- coordination with regulatory agencies, other municipalities, utility companies and railroads
- identification of required permits
- public information meeting(s)
- final SEQRA determination
- final NEPA determination
- Design Approval

Detailed Design Phase (shown as "D" on the TIP/STIP)

During this phase, the plans, specifications and estimate are developed and the final contract documents are prepared and approved.

Pre-requisites to beginning the Detailed Design phase are:

- Design Approval

Typical tasks performed during the Detailed Design phase include:

- development of final plans and specifications
- final cost estimate
- permits obtained from regulatory agencies
- preparation of contract bid documents
- development of Construction Management Plan
- procurement of consultant inspector (if needed and to be federally reimbursed)

Right-of-Way (ROW) Incidental Phase (shown as "N" on the TIP/STIP)

During this phase, titles searches are done, appraisals are made, acquisition maps and/or property descriptions are prepared, and Relocation Plans (if needed) are finalized. Although usually begun at the same time as the Preliminary Engineering phase, the ROW Incidental phase does not necessarily end at the same time as Preliminary Engineering phase.

Pre-requisites to beginning the ROW Incidental phase are:

- same as for Preliminary Engineering phase

Typical tasks performed during the ROW Incidental phase include:

- right-of-way or property boundary survey and mapping
- right-of-way table indicating property acquisition needs (part of Design Report)
- title search
- property appraisal preparation and review (this work can be started, but cannot be finalized until after Design Approval has been obtained).
- right-of-way cost estimate

Right-of-Way (ROW) Acquisition Phase (shown as "R" on the TIP/STIP)

During this phase, offers are made to property owners, maps and/or deeds are filed, property title is secured, and relocations (if needed) are completed.

Pre-requisites to beginning the ROW Acquisition phase are:

- Design Approval
- ROW cost estimate
- Authorization to Proceed granted

Typical tasks performed during the ROW Acquisition phase include:

- property appraisal approval (acquisition must be consistent with Final Design Report)
- determination of just compensation amount
- written offer to affected property owner, and tenant (if applicable)
- negotiation with property owner
- compensation paid to property owner, and tenant (if applicable)
- title acquisition

Note: Supplemental State-Local Project Agreement for ROW Acquisition will be processed upon Authorization to Proceed is granted.

Construction Phase (shown as "C" on the TIP/STIP)

During this phase, the construction contract is let and awarded, the project is built and the contract work is accepted.

Pre-requisites to beginning the Construction phase are:

- Detailed Design Phase tasks completed
- Right-of-Way acquisition completed and ROW Clearance Certificate filed with LPU
- Authorization to Proceed granted

Typical tasks performed during the Construction phase include:

- advertisement for bids
- public bid opening
- evaluation of bids and bidders
- contract award

Note: Supplemental State-Local Project Agreement for Construction and Inspection will be processed upon construction contract award.

Construction Inspection Phase (shown as "I" on the TIP/STIP)

This phase occurs concurrently with the Construction phase, and provides a method to separate construction inspection costs from the contractor's costs.

Typical tasks performed during the Construction Inspection phase include:

- oversight of construction activities in accordance with Construction Management Plan