PROJECT DEVELOPMENT MANUAL
Appendix 7

Scoping & Design Approval Documents

February, 2008
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APPENDIX 7

SCOPING & DESIGN APPROVAL DOCUMENTS

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1.0 INTRODUCTION

1.1 DISCUSSION

This appendix contains guidance on the required outlines for the scoping and design approval documents (DAD’s) to be prepared for projects during project development. The outlines are available electronically on the Department’s Internet site at http://www.dot.state.ny.us/pubs/publist.html. They have been developed to adequately document project engineering work, the requirements of the National Environmental Policy Act (NEPA), and the State Environmental Quality Review Act (SEQR), and the program management needs of the Department. The formats of the standardized reports are applicable to both 100% State-funded and Federally-funded projects.

Project reports serve as the engineering report used to convey information on the project conditions, needs, objectives, feasible alternatives, and costs. This information is used for the selection of the preferred alternative (i.e., design approval) and for preparation of contract documents (i.e., plans, specifications and estimate). They also serve to document the environmental process, as well as the assessment of any environmental impacts, mitigation measures, and environmental commitments, as applicable.

The design approval document is intended to build upon the work accomplished during scoping and preliminary design for the ultimate purpose of selecting a preferred alternative and to obtain design approval. To adequately serve as a decision document, the report should be prepared early and approved before a substantial effort is placed on preparing final plans.

1.2 REQUIREMENTS

NYSDOT uses four primary report formats to address a wide variety of project types and scopes. Exhibit 7 - 1 should be used to determine which section of this appendix is used to prepare the DAD. The Design Quality Assurance Bureau is to be contacted with any requests to modify the report outlines. FHWA approval may be required.

Regional format and content requirements are to be made available on the Internet for use by consultants and Department staff outside the Region.
## Exhibit 7 - 1  Project Initiation, Scoping & Design Approval Document Formats

<table>
<thead>
<tr>
<th>Environmental Classification</th>
<th>Project Initiation</th>
<th>Scope Approval Document Format</th>
<th>Design Approval Document Format²</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEPA Class II (Categorical Exclusion) and/or SEQR Exempt (NYCRR15.12) or Type II ³,⁴ (NYCRR15.14)</td>
<td>IPP/FDR – Format uses an IPP/FDR with attachments to obtain initiation, scope, and design approval.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Bridge Rehabilitation Report (BRR) – Major Bridge Rehabilitations will use the BRR with attachments to obtain initiation, scope, and design approval.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Attachments to the IPP/FDR and BRR must address and document all engineering and environmental requirements, including design criteria, FEA for Federally-funded projects, environmental checklist, and others, as necessary. See PDM Appendix 7, Sec. 6 and Exhibit 7-11 for a list of recommended attachments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NEPA Class II (Categorical Exclusion) and/or SEQR Non-Type II (EA) ³.</td>
<td>IPP – Format uses a simple form to obtain approval to begin project scoping.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NEPA Class III (EA) and SEQR Non-Type II (EA) All projects with potential for significant social, economic or environmental impacts, and/or potential for significant public controversy on environmental grounds.</td>
<td>IPP – Format uses a simple form to obtain approval to begin project scoping.</td>
<td>Scope Approval – Uses the Design Report format (DDR) to facilitate scoping decisions and to eliminate re-work in preparation of the FDR ⁵.</td>
<td>FDR – Uses the Design Report format to obtain design approval.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Scope approval occurs at the end of Design Phase I.</td>
<td></td>
</tr>
<tr>
<td>NEPA Class I (EIS) and/or SEQR Non-Type II EIS – All projects for which a NEPA Class I (EIS) and/or SEQR Non-Type II EIS is thought to be needed, based on significant social, economic or environmental impacts, and/or significant public controversy on environmental grounds.</td>
<td>IPP – Format uses a simple form to obtain approval to begin project scoping.</td>
<td>Scope Approval – Uses the DDR format with attachments for design criteria and environmental screening to obtain scope approval and eliminate re-work in preparation of the DEIS ⁵.</td>
<td>DDR/DEIS &amp; FDR/FEIS – Format uses the Design Report format to obtain design approval.</td>
</tr>
</tbody>
</table>

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³ Assumes no NEPA/EIS is needed.
⁴ Assumes a type II NEPA/EIS is needed.
⁵ Design Report (DDR) replaces Scope Approval.
⁶ Design Report (DDR) replaces Scope Approval.
Notes:

1. Report Shells with guidance and sample statements are available electronically on the Department’s Internet site at: https://www.dot.ny.gov/divisions/engineering/design/dqab/pdm

2. The Final Design Approval Document requires professional stamps in accordance with the report shells and PDM Exhibits 7-10 and 7-11.

3. Some projects involve environmental or engineering issues that require additional documentation (e.g., design criteria). This documentation is to be included as an appendix to the Design Approval Document.

   SEQR Non-Type II Projects may utilize an IPP/FDR format if the only reason for the Non-Type II classification is a finding of No Adverse Effect (or No Adverse Impact) under Section 106 (or 1409).

4. Element-specific project work (as listed in PDM Appendix 7 Exhibits 7-4 and 7-5) is covered under this environmental classification regardless of funding source.

5. The Scoping stage should identify reasonable alternatives (that meet project purpose and objectives, and address the project needs) to be progressed to preliminary design. The document for Scope Approval should facilitate informed decision-making, discussing only those topics necessary to reach closure on the project scope, and should identify topics that need to be studied and addressed prior to the environmental determination; see PDM §3.1.2. Scope Approval should be granted when a reasonable range of alternatives can be defined.
1.3 PURPOSE OF STANDARDIZED DESIGN APPROVAL DOCUMENT FORMATS

A key element of this appendix is the requirement that design approval documents be produced in the applicable standard formats to assure that all relevant issues have been considered and addressed, and to facilitate reviews by functional units, regional quality control units, advisory and regulatory agencies, the public and decision makers. In essence, the design approval document serves as a checklist of issues considered during preliminary design, and helps assure that the necessary studies and coordination have been completed or sufficiently advanced and evaluated prior to the granting of design approval.

The efficiency of the overall process is improved by using standardized design approval documents as follows:

1. Decision makers and reviewers, including outside agencies, can find their areas of interest without the necessity of reading the entire report, thus saving decision makers time and reducing review turnaround time.

2. Word processing programs and report shells can be used by both staff and consultants. Electronic scoping documents can easily be used by the design approval document preparers (Regional Design, consultants, etc.).

3. Documents are kept concise and focused on key issues.

Where separate scoping reports are required, the guidelines for the format and content of Project Scoping Reports have been developed with the intent that they document scoping and follow a format similar to the design approval document (Chapter 1 for moderate projects or Chapters 1-3 for complex projects). The scope approval document should be included as part of the design approval document. The project objectives, design criteria, feasible alternatives and scoping cost estimate developed in the scoping stage form the basis for project design and are carried into the design stage (See Exhibit 7-2).

Exhibit 7 - 2 Progression of Reports for a Moderate Project Using a Design Report

In summary, the effect of using standard formats are concise, uniform design approval documents that document the design and decision process. They help improve overall quality, reduce design time, and reduce review turnaround time.
1.4 GUIDANCE ON REPORT DEVELOPMENT

Guidance on Report Development:

File Management and Record Retention:
- At project initiation, place a copy of the shell in the ProjectWise folder for the project. This will facilitate joint development of the report, reviews, and archiving of the report.
- The documents prepared for the Design Approval Document should follow the file naming convention in PDM Appendix 14, Section 5.
- Final reports and supporting documentation are to be retained in the project file for a minimum of six years from the date of approval (per the State Education Law).

Level of Detail:
- While the outlines are very comprehensive, it must be stressed that the resulting reports should be as short as possible. The outlines should help keep the report focused and allow shorter answers as much as possible with emphasis on brevity, conciseness, and the presentation of factual data.
- The project manager and report author should keep the report concise by focusing the project team on topics that will allow an informed decision on whether or not the project is ready to enter either preliminary or final design.
- Tables, pictures, and figures should be used in place of text wherever practical.
- Incomplete sections should include the statement: “To be included during preliminary design” or “To be addressed during final design.”
- When preparing environmental documents for federal-aid projects, 23 CFR Part 771 and FHWA’s "Guidance for Preparing and Processing Environmental and Section 4(f) Documents,” T6640.8A, October 30, 1987 should be used as a guide, except where it conflicts with this appendix. Additionally, references for applicable environmental issues listed in Appendix 1, including the Environmental Procedures Manual, should be used to prepare environmental report sections.
- Preliminary plans should be prepared in accordance with HDM Chapter 21 to ensure the feasible alternatives are reasonable (spatially fit within the available area), to help identify impacts (e.g., ROW, wetland, farmland), and to help refine the cost estimates (e.g., allowing better quantity calculations).
- Errata formats should not be used since the documents can be easily modified electronically and reprinted to provide a much more reader friendly document.
- The report approvals are to be recorded on the project approval sheet within the report. Transmittal memos or e-mails requesting approvals should not duplicate or provide additional project information that should be in the report.
Hard Copies:
- Final Design Approval Documents and other final reports (as shown in the report shells and Exhibits 7-10 and 7-11 of this appendix) must be stamped and signed by licensed professionals. Additional list of preparers sheets can be added for reports prepared by multiple professionals.
- Hard copies should be spiral bound or three-hole punched to allow for photocopying.
- Reports should be double sided.
- The bound portion of the report should not include the reference materials listed in Exhibit 7-10 of this appendix.
- Large plan sets should be in a separate 11” x 17” appendix and not folded.
- The detailed estimate, project schedules, and meeting minutes prepared as part of a project should be placed in ProjectWise in accordance with Appendix 14 of this manual. Depending on Regional preferences, these files may be printed and distributed by the Project Manager and separately bound from the Final Design Approval Document.

1.5 SUBMISSIONS FOR REVIEW OR APPROVAL

For projects that can be approved in the Region, refer to the Regional Quality Control Plan.

For Projects requiring Main Office or FHWA approval:

- Determine the appropriate Main Office Project Liaison (MOPL) for the type of project (see Exhibit 4-1); it is usually DQAB but not always. When requesting reviews (whether concurrent or separate) by Main Office Functional Units, FHWA, other outside agencies, etc., make sure:
  - The Main Office Project Liaison is cc'd on the transmittal memo (please refer to Section 2.6.2 of Appendix 12 of the PDM).
  - Keep the Main Office Project Liaison in the loop when addressing and resolving all review comments from outside the Region (e.g., FHWA, Main Office Structures, and the Office of the Environment). Provide the Main Office Project Liaison with copies of all correspondence involved in addressing and resolving the review comments, including a copy of the reviewer's confirmation that all comments are resolved (Refer to Sections 3.5 & 3.6 of Appendix 12 of the PDM)
  - Complete and attach the NYSDOT Design Report Review Checklist (available on www.nysdot.gov) to any request for project review and/or approval from DQAB. This will facilitate the review and expedite the process.
  - To initiate project reviews, send a memorandum directly to the leader in charge of the section doing the review. Correspondence should be signed by the leader in charge of the section doing the work. The correspondence should state clearly the desired work (e.g., review a design report), the requested completion date, any unusual circumstances, and the person who is to be contacted in the event of questions. In cases where documents are sent to multiple groups, note all recipients of the correspondence and appropriately indicate who received attachments.
  - For project approvals, the request should be from the Regional Director to the MOPL Bureau Director.
  - For general correspondence to FHWA: Send a letter to the Division Administrator, attn: Area Engineer, with a copy to the Main Office Project Liaison (See Chapter 4, Exhibit 4-1 of this manual for a listing).
2.0 MAINTENANCE PROJECTS

2.1 APPLICABILITY

Maintenance Projects are:

- Element-Specific Projects. Element-specific projects are defined as minor highway or bridge work that is of the same scale (complexity) as routine maintenance work. The work generally involves a single feature at one or more locations. Several element-specific projects may be combined for letting to ensure the contracts are large enough to be competitively bid. They follow the simple project process and procedures, including the preparation of a combined Initial Project Proposal/ Final Design Report (IPP/FDR) to obtain all approvals necessary to begin final design. A key advantage of element-specific projects is that they have been predetermined by FHWA to be similar to automatic categorical exclusions.

- 100% state funded projects involving work listed in Exhibits 7-4 and 7-5.

- Operational maintenance work - Work such as snow plowing, sanding, salting, mowing, sweeping, pot-hole patching, debris and litter control, minor sign and signal repair, and cleaning out comfort station septic systems.

- Where & When projects - Where and When projects provide the Department with contractors available upon short notice for emergencies and to support operational maintenance.

2.2 FEDERAL-AID ELIGIBILITY

To be eligible for federal-aid, these projects must:

- Not degrade safety, and
- Federal-aid projects must be let in contracts that are large enough to be competitively bid.

Operational maintenance work, such as snow plowing, sanding, salting, mowing, sweeping, pot-hole patching, debris and litter control, minor sign and signal repair, and cleaning out comfort station septic systems is not eligible for federal-aid.

Exhibits 7-4 and 7-5 describe the element-specific highway and bridge work, including element-specific cyclical and on-call work, that is eligible for federal-aid. The procedures and documentation to process these projects are described below.

Federal-aid may not be used for other potential element-specific projects until FHWA approves their addition to Exhibits 7-4 and 7-5. Additionally, if work currently listed in Exhibits 7-4 and 7-5 has specialized details (i.e., atypical components), it deserves individual consideration by FHWA. In both cases, the DQAB should be contacted on a case-by-case basis to verify the eligibility of the work.
2.3 INITIAL PROJECT PROPOSAL/FINAL DESIGN REPORT (IPP/FDR)

Maintenance projects use an IPP/FDR as a one step project initiation, scope approval and design approval document. The shell includes guidance on the design and environmental information required for Design Approval. An electronic shell and sample reports are available on the Department’s Internet site at:

www.nysdot.gov

2.3.1 Design Criteria

Since IPP/FDR projects do not have standard design criteria in accordance with Highway Design Manual Chapters 2, 4, or 7, the Design Approval Document should cite the appropriate design guidance, standards or regulatory source for the project. Examples are shown in Exhibit 7-3, below.

Exhibit 7-3 Design Standards/Guidance for Selected Project Types

<table>
<thead>
<tr>
<th>Project Type</th>
<th>NYSDOT Design Standards/Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sign and/or Signal Upgrading Projects</td>
<td>NYSDOT Highway Design Manual Chapter 11.</td>
</tr>
<tr>
<td>Drainage System Restoration</td>
<td>NYSDOT Highway Design Manual Chapters 8 and 19.</td>
</tr>
<tr>
<td>Rest Area Rehabilitation</td>
<td>Rest Area Policy, DQAB, NYSDOT.</td>
</tr>
<tr>
<td>1R Projects</td>
<td>NYSDOT Highway Design Manual Chapter 7.</td>
</tr>
<tr>
<td>Lighting Upgrading Projects</td>
<td>NYSDOT Highway Design Manual Chapter 12.</td>
</tr>
</tbody>
</table>

Due to the scope of work, non-standard and non-conforming features need not be listed, explained or justified in the DAD for IPP/FDR projects, with the following exceptions:

1. Existing non-conforming features within the project limits should be listed if they relate to the work being accomplished. For example: inadequate guide rail deflection distance for a guide rail project.

2. Non-conforming features to be retained should be explained if the non-conforming feature will either a) be affected by the work proposed by the project, or b) could be corrected by adding work similar to what is currently being proposed (i.e. changing the quantity of work). For example, explanations should be included when: replacing non-conforming guide rail in kind or upgrading only part of a run of guide rail to current standards.

Additionally, deviations from regulatory requirements must be justified, as appropriate.
## Exhibit 7-4  Element-Specific Federal-Aid Eligible Highway Work

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>CYCLICAL &amp; ON-CALL ELEMENT-SPECIFIC HIGHWAY WORK</th>
<th>NORMAL ELEMENT-SPECIFIC HIGHWAY WORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description</td>
<td>Programmed maintenance-type and other minor highway work that is time dependent or for which an on-call contract is applicable and addresses specific highway deficiencies.</td>
<td>Programmed maintenance-type and other minor highway work that requires no or minimal preliminary design &amp; addresses specific highway deficiencies.</td>
</tr>
<tr>
<td>List of Eligible Work</td>
<td>a. Joint and crack sealing</td>
<td>a. Shoulder rehabilitation and/or repair</td>
</tr>
<tr>
<td></td>
<td>b. Pavement marking</td>
<td>b. Rigid pavement repairs (spall repair, grinding, etc.)</td>
</tr>
<tr>
<td></td>
<td>c. Impact attenuator device repair</td>
<td>c. Pavement grooving</td>
</tr>
<tr>
<td></td>
<td>d. On-call loop detector repair</td>
<td>d. Microsurfacing and chip sealing</td>
</tr>
<tr>
<td></td>
<td>e. On-call guide rail repair*</td>
<td>e. Shoulder rumble strips</td>
</tr>
<tr>
<td></td>
<td>* On-call guide rail repair contracts must be designed to assure guide rail warrants are considered and the guide rail installed meets current standards</td>
<td>f. Drainage system restoration (rehabilitating catch basins and drop inlets, rehabilitating, extending or relining culverts, etc.)</td>
</tr>
<tr>
<td></td>
<td>a. Shoulder rehabilitation and/or repair</td>
<td>g. Recharge basin reconditioning</td>
</tr>
<tr>
<td></td>
<td>b. Rigid pavement repairs (spall repair, grinding, etc.)</td>
<td>h. SPDES facilities maintenance (clean out sediment basins, reconstruct comfort station septic systems, etc.)</td>
</tr>
<tr>
<td></td>
<td>c. Pavement grooving</td>
<td>i. Underdrain installation</td>
</tr>
<tr>
<td></td>
<td>d. Microsurfacing and chip sealing</td>
<td>j. Guide rail and/or median barrier upgrading (including placement of new guide railing or median barrier)</td>
</tr>
<tr>
<td></td>
<td>e. Shoulder rumble strips</td>
<td>k. Impact attenuator repair and/or replacement</td>
</tr>
<tr>
<td></td>
<td>f. Drainage system restoration (rehabilitating catch basins and drop inlets, rehabilitating, extending or relining culverts, etc.)</td>
<td>l. Upgrading sign(s) and/or traffic signal(s)</td>
</tr>
<tr>
<td></td>
<td>g. Recharge basin reconditioning</td>
<td>m. Delineator and/or reference marker placement or replacement</td>
</tr>
<tr>
<td></td>
<td>h. SPDES facilities maintenance (clean out sediment basins, reconstruct comfort station septic systems, etc.)</td>
<td>n. Traffic management systems maintenance (communications cable, hardware for Intelligent Transportation Systems (ITS), roadway weather information systems (RWIS), etc.)</td>
</tr>
<tr>
<td></td>
<td>i. Underdrain installation</td>
<td>o. Repair and replace loop detectors</td>
</tr>
<tr>
<td></td>
<td>j. Guide rail and/or median barrier upgrading (including placement of new guide railing or median barrier)</td>
<td>p. Highway lighting upgrading (excluding luminaire replacement and installation of high mast lighting)</td>
</tr>
<tr>
<td></td>
<td>k. Impact attenuator repair and/or replacement</td>
<td>q. Install, replace and/or repair right-of-way, pedestrian and permanent snow fencing</td>
</tr>
<tr>
<td></td>
<td>l. Upgrading sign(s) and/or traffic signal(s)</td>
<td>r. Park &amp; ride lot rehabilitation</td>
</tr>
<tr>
<td></td>
<td>m. Delineator and/or reference marker placement or replacement</td>
<td>s. Noise wall rehabilitation and/or replacement</td>
</tr>
<tr>
<td></td>
<td>n. Traffic management systems maintenance (communications cable, hardware for Intelligent Transportation Systems (ITS), roadway weather information systems (RWIS), etc.)</td>
<td>t. Retaining wall rehabilitation and/or replacement</td>
</tr>
<tr>
<td></td>
<td>o. Repair and replace loop detectors</td>
<td>u. Graffiti removal and/or prevention</td>
</tr>
<tr>
<td></td>
<td>p. Highway lighting upgrading (excluding luminaire replacement and installation of high mast lighting)</td>
<td>v. Vegetation management (preserve or restore clear area, guide rail deflection; preserve or restore sight distance for horizontal/sag vertical curves, intersections and signs; preserve or restore roadside drainage; remove dead or dying (hazard) trees)</td>
</tr>
<tr>
<td></td>
<td>q. Install, replace and/or repair right-of-way, pedestrian and permanent snow fencing</td>
<td>w. Establishing plant material (i.e. Landscaping)</td>
</tr>
<tr>
<td></td>
<td>r. Park &amp; ride lot rehabilitation</td>
<td>x. Bicycle path and walkway rehabilitation (e.g. ADA Curb Ramps)</td>
</tr>
<tr>
<td></td>
<td>s. Noise wall rehabilitation and/or replacement</td>
<td>y. Permanent traffic count detectors</td>
</tr>
<tr>
<td></td>
<td>t. Retaining wall rehabilitation and/or replacement</td>
<td>z. Weigh-in-motion detectors</td>
</tr>
<tr>
<td></td>
<td>u. Graffiti removal and/or prevention</td>
<td>aa. Slope stabilization (within existing right-of-way)</td>
</tr>
<tr>
<td></td>
<td>v. Vegetation management (preserve or restore clear area, guide rail deflection; preserve or restore sight distance for horizontal/sag vertical curves, intersections and signs; preserve or restore roadside drainage; remove dead or dying (hazard) trees)</td>
<td>ab. Ditch cleaning (that does not modify originally constructed traversability)</td>
</tr>
<tr>
<td></td>
<td>w. Establishing plant material (i.e. Landscaping)</td>
<td>ac. 1R projects that meet the requirements of EI 99-001, use a hot mix asphalt overlay material over an existing hot mix asphalt pavement surface material, and complete the “Section 106&quot; process if major trees are cleared from the vicinity of historic properties.</td>
</tr>
</tbody>
</table>
# Exhibit 7-5  Element-Specific Federal-Aid Eligible Bridge Work

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>ELEMENT-SPECIFIC CYCLICAL BRIDGE WORK</th>
<th>ELEMENT-SPECIFIC BRIDGE WORK¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description</td>
<td>Programmed routine bridge work that is time dependent and does not address immediate bridge deficiencies.</td>
<td>Programmed bridge work that does not involve the evaluation of different alternates but addresses specific (not necessarily all) bridge deficiencies.</td>
</tr>
</tbody>
</table>
| List of Eligible Work | a. Bridge Washing  
b. Bridge Painting  
c. Crack Sealing  
d. Deck Sealing  
e. Substructure Concrete Sealing  
f. Asphalt Overlay Replacement  
g. Bearing Lubrication | a. Bearing Replacements/Repairs  
b. Bridge Railing Upgrades  
c. Monolithic Deck Overlays/Asphalt Overlay Placement ²  
d. Vulnerability Reduction Measures: Seismic, Collision, Hydraulic, Overload, Steel Detail, and Concrete Detail vulnerabilities.³  
e. Substructure Repairs  
f. Primary/Secondary Member Repair  
g. Localized Deck/Approach Slab Repairs  
h. Joint Replacements/Repairs  
i. Repair or Replace Curbs, Sidewalks and Fasciae²  
j. Navigational Lights |

**NOTES:**

1. If work noted in this column is part of an alternative, or represents an alternative in a multi-alternative project, the project cannot be processed as an element-specific project.
2. Repair or Replace Curbs, Sidewalks and Fasciae and Monolithic Deck Overlay work requires the consideration of eliminating “safetywalks” and nonstandard bridge railing.
3. Vulnerability Reduction Measures are those actions necessary to upgrade features with Vulnerability Ratings of “1” or “2” to a level (≥3) that will allow “Capital Program” consideration. Hydraulic Vulnerability reduction is meant to include maintenance repair or replacement of scour protection before its condition degrades to a Vulnerability Rating of “1” or “2”.

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February 2008

Appendix 7

Scoping & Design Approval Approval Documents

7 –10
2.3.2 **Environmental Classification**

2.3.2.1 NEPA

The NEPA classification must be complete prior to Design Approval. The NEPA Checklist is to be used to ensure the Categorical Exclusion Determination memo is distributed with the IPP/FDR and to document that the project has no unusual circumstances, as described in 23 CFR 771.117(b).

For element-specific projects, FHWA has determined that all of the element-specific work listed in Exhibits 7-4 and 7-5 are categorical exclusions. Therefore, element-specific projects can be treated as Automatic Categorical Exclusions and only the first page of the NEPA Checklist is needed.

2.3.2.2 SEQR

With respect to SEQR, IPP/FDR projects will normally be Exempt or Type II Actions in accordance with NYSDOT’s SEQR regulations, 17 NYCRR Part 15.

Include a statement concerning each of the SEQR criteria required as a prerequisite to the project’s classification as a Type II project in accordance with 17 NYCRR 15.14(d) and (e). Include the SEQR documentation shown in the sample report appendices if the actions are listed in number 37 of 17 NYCRR 15.14(e). The sample should be modified, as appropriate, for use in other Type II projects requiring prerequisite criteria. For example, a park and ride lot construction project is covered under 17 NYCRR 15.14(e)(41), which requires the project to meet the criteria in paragraphs (5) through (8) of 17 NYCRR 15.14(d).

For projects that do not require prerequisite criteria, include the statement - “The project is a Type II project in accordance with 17 NYCRR 15.14(e)(insert the appropriate reference section).”

Other - For exempt project per 17 NYCRR Part 15.12 and local projects not using 17 NYCRR Part 15 (as noted in Section IV.A.1 of this chapter), include the basis for the SEQR environmental classification.
3.0 SIMPLE PROJECT REPORTS

3.1 APPLICABILITY

Simple projects are defined as the following project types that can be classified as SEQR Type II and a NEPA Class II (if federally funded).

- Culvert
- 2R
- Bridge Rehabilitation
- Simple Bridge Replacement (single span on existing alignment with no new traffic/turning lanes)
- Intersection Reconstruction
- Safety Projects

A separate IPP is used to initiate project scoping. An electronic shell for the IPP is available on the Department’s Internet site at:

www.nysdot.gov

3.2 PROJECT SCOPING REPORT/FINAL DESIGN REPORT (PSR/FDR)

Simple projects use a Project Scoping Report/Final Design Report (PSR/FDR) as a one step scope approval/design approval document. The shell includes guidance on the design criteria and environmental information required for Design Approval. An electronic shell and sample reports are available on the Department’s Internet site at:

www.nysdot.gov
4.0 MODERATE PROJECT REPORTS

4.1 APPLICABILITY

This section applies to projects that are 3R, Bridge Replacement, Highway Reconstruction, and all projects requiring a SEQR EA. Projects with federal funds must also meet the requirements of a NEPA Class II project.

A separate IPP is used to initiate project scoping. An electronic shell for the IPP is available on the Department's Internet site at:

www.nysdot.gov

4.2 PROJECT SCOPING REPORT (PSR)

A separate simplified project scoping report is required for moderate projects using the format of Chapter 1 of the Design Report.

Refer to Chapter 3 of this manual for guidance on project scoping. Section 3.2.6 includes a discussion of the project scoping documentation. The report format is similar to the design report chapter 1 and is expected to have substantially less information and detail. Additionally, the data should primarily be gathered from similar projects or as part of an area or statewide program (i.e., secondary data) should be used to complete much of the PSR. Examples of sources include:

- Photolog
- Topo maps
- Aerial photos
- Sufficiency Manual
- Record Plans
- GIS Databases (wetlands, hazardous waste, etc.)
- Bridge inspection data from WinBolts
- Electronic accident data from the Safety Information Management System (SIMS)

Specific project information should come from:

- Field visit(s)
- Project team meeting(s)
- Meetings with the public and stakeholders

The level of detail to be included should NOT require:

- Extensive studies.
- Preliminary plans, a large number of typical sections, or a detailed profile.
- Numerous technical reviews.
Except in unusual circumstances, project scoping reports should not exceed 8 to 10 pages, excluding any appendices, for moderate projects.

An electronic shell and sample reports are available on the Department’s Internet site at:

www.nysdot.gov

4.3 DRAFT DESIGN REPORT/ENVIRONMENTAL DOCUMENT (DDR)

Moderate projects use a design report format, which uses a more detailed outline to help better identify the project needs and objectives and multiple project alternatives. The following are reasons for the design report format over the IPP/FDR or PSR/FDR format.

1. The thorough checklist format helps identify relevant issues early in project scoping and design. This better assures these issues will be properly addressed in a timely manner and reduces delays caused by late identification of problem issues and recycling.

2. Time consuming back-and-forth dialogue is reduced because quality control reviewers, monitoring reviewers, and agency reviewers will know if items have been considered.

3. The format is necessary to adequately document the moderate projects. These projects require thorough explanations of the alternatives and their anticipated impacts. While the format is uniform, the content and level of detail will vary.

4. The format serves as the environmental assessment for SEQR Non-Type II (EA) projects.

The draft design report should build on and update the information in the PSR.

Note that the Report Format for Chapters 2 and 3 are parallel modular. For example, the traffic volume information for the no build condition is in Section 2.3.1.6 and the traffic volume information for the build alternatives is in Section 3.3.1.6.

Except in unusual circumstances, draft design reports should not exceed 100 pages, excluding appendices.

4.4 FINAL DESIGN REPORT/ENVIRONMENTAL DOCUMENT (FDR)

The final design report / environmental document serves as the decision making document on the environmental determination, right of way acquisitions, and whether or not to start final design activities. To adequately serve as a decision making document, design approval should be obtained before a substantial effort is placed on preparing final plans.

The project manager should limit the volume of the report by focusing the project team on the topics that will allow an informed decision on whether or not the project is ready to enter final design. Except in unusual circumstances, final design reports should not exceed 150 pages, excluding appendices.
When public informational meetings or hearings are held, the report appendices should include:

- Summary and Analysis of Comments Received (when a public hearing was held and/or a Phase II distribution was made).
- Correspondence.

### 4.4.1 Summary and Analysis of Comments Received

When a public hearing was held and/or a Design Phase II distribution was made, this appendix should contain:

- Summary and Analysis of Comments
- Analysis of Comments Received on the DR.

For the above two sections, all substantive comments received from the public hearing should be discussed and responses prepared. The correspondence along with the comments to be resolved should be placed in this appendix and appropriately labeled.

In responding to comments, it is essential that the alternative to which the comment applies and the page numbers of text where the answer is to be found be given for the reader. When exhibits are referred to, both their number and the page number where they are located should be given.

It may be desirable to include first in this appendix, a "General Comments and Responses" subsection which would include comments and responses to issues raised which have wide interest or involve general matters (e.g., logical termini, alternative locations). If these issues were raised by many reviewers, the answer in this subsection could be referred to each time. A second subsection would then follow for the other, less general, comments.

The approach actually taken should be carefully considered since the manner in which this appendix is handled can have a significant effect on the brevity and conciseness of the report.

### 4.4.2 Correspondence

This appendix should include:

1) A list of local, state and federal agencies, organizations and individuals that received copies of the report. For the agencies, organizations and individuals that responded, the date of their response and page where it can be found in the final report should be provided.
2) Important Correspondence with Other Agencies.
3) Copies of Correspondence with Stakeholders (NYSDOT, NYSTA and FHWA comments should not be included).
4.5 SECTION 4(f) EVALUATIONS

4.5.1 Draft Section 4(f) Evaluation

For categorical exclusion projects requiring a Draft and Final Section 4(f) Evaluation, FHWA requires that the Section 4(f) Evaluations be contained in separate documents from the Design Reports, with the exception noted below for the Programmatic Section 4(f). The separate Section 4(f) document shall have a separate title sheet (see Exhibit 7-6) signed by the Deputy Chief Engineer, NYSDOT and FHWA Division Administrator. The format and content of the Draft Section 4(f) Evaluation will be as described below.

NOTE: If a Programmatic Section 4(f) is applicable to a categorical exclusion project, a separate Draft Section 4(f) Evaluation document is not required. An appendix attached to the Design Report should be titled “Programmatic Section 4(f) Evaluation.” The appendix should document that the conditions of the applicable nationwide Section 4(f) evaluation are met. The format of this appendix should follow the format of the applicable nationwide Section 4(f) evaluation. Refer to the nationwide Section 4(f) evaluation forwarded by Mary Ivey’s February 3, 1988 memo for minor takings from parkland and historic sites and refer to K. Q. Smith’s September 8, 1983 memo for historic sites. These memos are contained in Section 2.A of the Environmental Procedures Manual. A sample Programmatic Section 4(f) is available on the Department’s Internet site at: www.nysdot.gov

The format and content of the Draft Section 4(f) Evaluation is as follows, based on FHWA's "Guidance for Preparing and Processing Environmental and Section 4(f) Documents" T 6640.8A, October 30, 1987:

1. Proposed Action - In this section describe the proposed project and explain the purpose and need for the project.

2. Section 4(f) Property - Each Section 4(f) resource which would be used by any alternative under consideration should be described. The following information should be provided:

   (a) A detailed map or drawing of sufficient scale to identify the relationship of the alternatives to the Section 4(f) property.

   (b) Size (acres or square feet) and location (maps or other exhibits such as photographs, sketches, etc.) of the affected 4(f) property.

   (c) Ownership (city, county, State, etc.) and type of Section 4(f) property (park, recreation, historic, etc.). If any Federal funds (Land and Water Conservation Funds, etc.) were used for the purchase or improvement of the property, it should be mentioned in this section. This information on Federal funds is needed to determine the applicability of Section 6(f).

   (d) Function of or available activities on the property (ball playing, swimming, golfing, etc.).
(e) Description and location of all existing and planned facilities (ball diamonds, tennis courts, etc.).

(f) Access (pedestrian, vehicular) and usage (approximate number of users/visitors, etc.).

(g) Relationship to other similarly used lands in the vicinity.

(h) Applicable clauses affecting the ownership, such as lease, easement, covenants, restrictions, or conditions, including forfeiture.

(i) Unusual characteristics of the Section 4(f) property (flooding problems, terrain conditions, or other features) that either reduce or enhance the value of all or part of the property.

3. Impacts on the Section 4(f) Property - This section should discuss the impacts on the Section 4(f) property for each alternative (e.g., amount of land to be used, facilities and functions affected, noise, air pollution, visual, etc.). Where an alternative (or alternatives) uses land from more than one Section 4(f) property, a summary table would be useful in comparing the various impacts of the alternative(s). Impacts (such as facilities and functions affected, noise, etc.) which can be quantified should be quantified. Other impacts (such as visual intrusion) which cannot be quantified should be described.

4. Avoidance Alternatives - In this section identify and evaluate alternatives which would avoid the Section 4(f) property. Generally, this would include alternatives to either side of the property. Where an alternative would use land from more than one Section 4(f) property, the analysis needs to evaluate alternatives which avoid each and all properties (23 CFR 771.135(i)). The design alternatives should be in the immediate area of the property and consider minor alignment shifts, a reduced facility, retaining structures, etc. individually or in combination, as appropriate.

Detailed discussions of the alternatives in a DR/DEIS need not be repeated in the Section 4(f) portion of the document, but should be referenced and summarized. However, when alternatives (avoiding Section 4(f) resources) have been eliminated from detailed study the discussion should also explain whether these alternatives are feasible and prudent and, if not, the reasons why.

5. Measure to Minimize Harm - All possible measures which are available to minimize the impacts of the proposed action on the Section 4(f) property(ies) should be described. Detailed discussions of mitigation measures in the DR may be referenced and appropriately summarized, rather than repeated.

6. Coordination - In this section discuss the results of preliminary coordination with the public official having jurisdiction over the Section 4(f) property and with regional (or local) offices of DOT and, as appropriate, the Regional Office of HUD and the Forest Supervisor of the affected National Forest. Generally, the coordination should include discussion of avoidance alternatives, impacts to the property, and measure to minimize harm. In addition, the coordination with the public official having jurisdiction should include, where necessary, a discussion of significance and primary use of the property.
NOTE: The conclusion that there are no feasible and prudent alternatives is not normally addressed at the Draft Section 4(f) Evaluation stage. Such conclusion is made only after the Draft Section 4(f) Evaluation has been circulated and coordinated and any identified issues adequately evaluated.

4.5.2 Final Section 4(f) Evaluations

The format and content of the Final Section 4(f) Evaluation should include all of the information from the draft Section 4(f) evaluation. There is no title page with signature lines for the separate Final Section 4(f) Evaluation.

FHWA will make the Final Section 4(f) determination in memo form. This memo, with the separate Final Section 4(f) Evaluation, then should be the document distributed to the Department of Interior, etc. for a categorical exclusion project as discussed in Appendix 2 of this manual.

Whenever a Section 4(f) Evaluation is required the title of the final design report/environmental document should include "Final Section 4(f) Evaluation" (i.e., - Final Design Report/Final Environmental Impact Statement/Final Section 4(f) Evaluation) and the title page should refer to "49 USC 303."

The format and content of the Final Section 4(f) Evaluation should include all of the information included in Sections 1 to 6 (i.e., update and reprint 1 through 6) of the Draft Section 4(f) Evaluation with any revisions resulting from the review of the Draft Section 4(f) Evaluation and the following:

7. Discussion of Feasible and Prudent Alternatives to Use of the Section 4(f) Land

The basis for concluding that there are not feasible and prudent alternatives to the use of the Section 4(f) land must be provided. The supporting information must demonstrate that

"...there are unique problems or unusual factors involved in the use of alternatives that avoid these properties or that the cost; social, economic, and environmental impacts; or community disruption resulting from such alternatives reach extraordinary magnitudes."

(23 CFR 771.135(a)(2))

This language should appear in the document together with the supporting information.

8. Discussion of Measures to Minimize Harm to the Section 4(f) Land

The basis for concluding that the proposed action includes all possible planning to minimize harm to the Section 4(f) property must be provided. When there are no feasible and prudent alternatives which avoid the use of Section 4(f) land, the final Section 4(f) evaluation must demonstrate that the preferred alternative is a feasible and prudent alternative with the least harm on the Section 4(f) resources.

9. Coordination of the Draft Section 4(f) Evaluation
This section is a summary of the appropriate formal coordination with the officials having jurisdiction over the Section 4(f) property and the Headquarters Offices of DOI (and/or appropriate agency under that Department). Additionally, summarize coordination with the involved offices of USDA, HUD, SHPO, the Advisory Council on Historic Preservation and with other federal, state or local agencies, as appropriate.

Copies of all formal coordination comments and a summary of other relevant Section 4(f) comments received and an analysis and response to any questions raised should be provided. Where new alternatives or modifications to existing alternatives are identified and will not be given further consideration, the basis for dismissing these alternatives should be provided and supported by factual information. Where Section 6(f) land is involved, the National Park Service’s position on the land transfer should be documented.

10. Final Section 4(f) Statement

This is the concluding statement as follows:

"Based upon the above considerations, there is no feasible and prudent alternative to the use of land from the (identify Section 4(f) property) and the proposed action includes all possible planning to minimize harm to the (Section 4(f) property) resulting from such use."
DRAFT SECTION 4(f) EVALUATION
HUDSON RIVER FRONT PARK
for
PIN 1234.56
NYS ROUTE 787 AND I-90 INTERCHANGE
CITY OF ALBANY
ALBANY COUNTY

U.S. DEPARTMENT OF TRANSPORTATION
Federal Highway Administration
and
New York State Department of Transportation

Submitted pursuant to 49 U.S.C. 303. This evaluation was prepared in consultation with FHWA and has been reviewed for scope and content and is released for comments.

__________________________________________________________
DATE                  Director, Office of Design
                      NYS Department of Transportation

__________________________________________________________
DATE                  District Engineer
                      Federal Highway Administration
                      New York Division
5.0 **COMPLEX PROJECT REPORTS**

5.1 **APPLICABILITY**

Complex projects, which are defined as all projects requiring an Environmental Impact Statement (EIS), must use this section regardless of the work type.

A separate IPP is used to initiate project scoping. An electronic shell for the IPP is available on the Department’s Internet site at:

[www.nysdot.gov](http://www.nysdot.gov)

5.2 **PROJECT SCOPING REPORT (PSR)**

The PSR format should follow the Design Report format with substantially less information and detail. The data for the PSR should primarily be gathered from similar projects or as part of an area or statewide program (i.e., secondary data). Examples of sources include:

- Photolog
- Topo maps
- Aerial photos
- Sufficiency Manual
- Record Plans
- GIS Databases (wetlands, hazardous waste, etc.)
- Bridge inspection data from WinBolts
- Electronic accident data from the Safety Information Management System (SIMS)

Specific project information should come from:

- Field visit(s)
- Project team meeting(s)
- Meetings with the public and stakeholders

The level of detail to be included should NOT require:

- Extensive studies.
- Preliminary Plans, a large number of typical sections, or a detailed profile.
- Numerous technical reviews.

An electronic shell and sample reports are available on the Department’s Internet site at:

[www.nysdot.gov](http://www.nysdot.gov)

Refer to Chapter 3 of this manual for additional guidance on project scoping.
5.3 **DRAFT DESIGN REPORT/ENVIRONMENTAL IMPACT STATEMENT (DDR/DEIS)**

The draft design report should build on and update the information in the PSR. Except in unusual circumstances, the DDR/DEIS should not exceed 150 pages, excluding any appendices (Ref. 40 CFR 1502.7).

5.4 **FINAL DESIGN REPORT/ENVIRONMENTAL IMPACT STATEMENT (FDR/FEIS)**

The final design report / environmental document serves as the decision making document for various aspects of the project, such as the environmental determination, right of way acquisitions, and whether or not to start final design activities. Except in unusual circumstances, the FDR/FEIS should not exceed 200 pages, excluding any appendices. To adequately serve as a decision making document, design approval should be obtained before a substantial effort is placed on preparing final plans.

EIS projects require a separate title sheet and the following appendices:

- A Hearing Certificate signed by the Regional Director (if a hearing was not held).
- Summary and Analysis of Comments Received (when a public hearing was held and/or a Phase II distribution was made).
- Correspondence.

Refer to Exhibits 7-7, 7-8, and 7-9 for the EIS title sheets.

5.4.1 **Hearing Certificate**

This certification, signed by the Regional Director, is to certify that an opportunity for a public hearing was held in accordance with Title 23, USC Section 128 of the Highway Law. The certification is part of the Project Approval Sheet in the Design Report Shell. Note that this requirement applies only to Federal-aid projects. Additionally, if a hearing was held, the certification on the project approval sheet should be signed by either the design squad leader or the project manager.

5.4.2 **Summary and Analysis of Comments Received**

When a public hearing was held and/or a Design Phase II distribution was made, this appendix should contain:

- Summary and Analysis of Public Hearing Comments.
- Analysis of Comments Received on the Design Report.

For the above two sections, all substantive comments received from the public hearing should be discussed and responses prepared. The correspondence with the comments to be resolved should be placed in this appendix and appropriately labeled.
In responding to comments, it is essential that the alternative to which the comment applies and the page numbers of text where the answer is to be found be given to the reader. When exhibits are referred to, both their number and the page number where they are located should be given.

It may be desirable to include first in this section, a "General Comments and Responses" subsection which would include comments and responses to issues raised which have wide interest or involve general matters (e.g., logical termini, alternative locations). If these issues were raised by many reviewers, the answer in this subsection could be referred to each time. A second subsection would then follow for the other, less general, comments.

Since the manner in which this chapter is handled can have a significant effect on the brevity and conciseness of the report, the approach actually taken should be carefully considered.

5.4.3 Correspondence

This appendix should include:

- A list of local, state and federal agencies, organizations and individuals that received copies of the report. For the agencies, organizations and individuals that responded, the date of their response and page where it can be found in the final report should be provided.
- Important Correspondence with Other Agencies.
- Copies of Correspondence with Stakeholders (NYSDOT, NYSTA and FHWA comments should not be included).
Exhibit 7-7   Title sheet for a NEPA DEIS and FEIS

FHWA-NY-EIS-06- # # D (F or S)¹

DRAFT ENVIRONMENTAL IMPACT STATEMENT²
For
P.I.N. # # # #., Name of project
Termini
County, New York
SUBMITTED PURSUANT TO 42 U.S.C. 4332(2)(c)
and (when applicable) 49 U.S.C. 303
BY
U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
NEW YORK STATE DEPARTMENT OF TRANSPORTATION
Cooperating Agencies if Any, List Here

ABSTRACT: THIS REPORT DESCRIBES THE SOCIAL, ECONOMIC AND
ENVIRONMENTAL EFFECTS OF THE (NAME) PROJECT IN COUNTY, NEW YORK.
THE ALTERNATIVES PROPOSED INCLUDE THE NO BUILD AND OTHERS
INVOLVED WITH (DESCRIPTION & PURPOSE).³

Date                                               Date
Director, Office of Design                           Division Administrator⁵
New York State Dept. of Transportation              Federal Highway Administration

COMMENTS DUE BY:⁴

ADDITIONAL INFORMATION CAN BE OBTAINED FROM:

(Appropriate Name)                                    (Appropriate Name)
Title                                               FHWA, DIVISION ADMINISTRATOR
NYS DEPT. OF TRANSPORTATION                           LEO O'BRIEN FEDERAL BUILDING
Address                                             CLINTON AVE. & N. PEARL ST.
PHONE:                                               PHONE: (518) 431-4127

¹ This number is obtained from the Design Quality Assurance Bureau, Regional Liaison Section. The D, F or S stand for Draft, Final or
Supplemental EIS.
² DEIS, FEIS, or SEIS/Section 4(f) Statement, etc.
³ For FEIS add: This supports alternative _____as the recommended alternative.
⁴ Delete for Final Environmental Impact Statements.
⁵ For DEIS title sheets, replace with Asst. Division Administrator, Federal Highway Administration.
Exhibit 7-8  Title sheet for a SEQR DEIS

DRAFT ENVIRONMENTAL IMPACT STATEMENT

FOR

PIN 1234.56
NYS ROUTE 787 AND I-90 INTERCHANGE
CITY OF ALBANY
ALBANY COUNTY

Prepared Pursuant to Article 8 of the
New York State Environmental Conservation Law

by

New York State Department of Transportation*

Further Information Available from:

Jane Smith, Regional Director
New York State Department of Transportation
328 State Street
Schenectady, NY  12305
Phone No. 518-888-7777

Date of acceptance of this DEIS for circulation by the New York State Department of Transportation:  March 1, 2009

Comments regarding this Draft Environmental Impact Statement should be submitted by April 11, 2009.

NOTES: * The name of additional EIS preparers must be included if a portion of the EIS was not prepared by the Department of Transportation (17 NYCRR 15.15(a)(5)).
Exhibit 7-9  Title sheet for a SEQR FEIS

FINAL ENVIRONMENTAL IMPACT STATEMENT

FOR

PIN 1234.56
NYS ROUTE 787 AND I-90 INTERCHANGE
CITY OF ALBANY
ALBANY COUNTY

Prepared Pursuant to Article 8 of the
New York State Environmental Conservation Law

by

New York State Department of Transportation*

Further Information Available From:

Jane Smith, Regional Director
New York State Department of Transportation
328 State Street
Schenectady, NY  12305
Phone No. 518-888-7777

Date of acceptance of this FEIS for circulation by the
New York State Department of Transportation: March 1, 2010

NOTES: * The names of additional EIS preparers must be included if a portion of the EIS was not prepared by the Department of Transportation (17 NYCRR 15.15(a)(5)).
6.0 CONTENT OF TECHNICAL APPENDICES AND OTHER REFERENCE MATERIAL FOR DESIGN APPROVAL DOCUMENTS

6.1 DISCUSSION

The treatment of technical appendices and other reference material should be consistent with the intent of keeping design approval documents as concise as possible. Exhibits 7-10 and 7-11 provide the recommended treatment of the various reports and other project related information as either:

× Attached appendices
× Other references to be retained in the project files and submitted to specific technical reviewers, as needed

The design approval document Table of Contents should list all attached technical appendices. All material incorporated by reference are to be available for the full minimum public comment period. The lists in Exhibits 7-10 and 7-11 are not all inclusive. Judgment based on the following guidelines should be used for reports, studies, etc. that are not specifically listed.

The technical appendices that require a stamp by a licensed professional preparer are shown in Exhibits 7-10 and 7-11. The page with the stamp (generally either the cover or inside cover page) is to include the following note:

**Note:** It is a violation of law for any person, unless they are acting under the direction of a licensed professional engineer, architect, or land surveyor, to alter an item in any way. If an item bearing the stamp of a licensed professional is altered, the altering engineer, architect, landscape architect, or land surveyor shall stamp the document and include the notation “altered by” followed by their signature, the date of such alteration, and a specific description of the alteration.

An electronic shell and sample appendices are available on the Department’s Internet site at:

www.nysdot.gov

6.2 TECHNICAL APPENDICES

The body of design approval documents should explain or summarize in layman’s terms the methodologies, results and significance of technical analysis and research. Lengthy technical discussions and analysis for the project should be contained in technical appendices, either attached to the design approval document or as separately bound technical appendices. Material prepared as appendices should consist of material prepared specifically for the design approval document or from the project scoping process that:

× Consists of material which substantiates an analysis fundamental to the design approval document.
× Is analytic and relevant to the decision to be made.
× Is suitable for public distribution.
6.2.1 Appendices

Refer to Exhibit 7-11 for the recommended technical appendices to be included with the design approval document. Appendices should be relevant to the decision to be made and either necessary for understanding the design approval document (e.g., plans, profiles and typical sections) or reference material prepared specifically for the project (Ref. 40 CFR 1502.18).

Appendices should reference or contain a discussion of the methodology used (Ref. 40 CFR 1502.24). Appendices that include lengthy computer printouts (e.g., air quality analysis) or excessive field data should be summarized or edited to remove background material. This helps the reader find material pertinent to the project without impeding agency and public review.

Lengthy technical appendices should have page numbers and their own tables of contents to help reviewers find information and to ensure reports follow a logical order. Additionally, dividers or colored paper should be used to separate appendices that are bound together under one cover.

6.3 REFERENCES

Reference material is information that advisory agencies and individuals would not likely want to review and would provide unnecessary bulk to the design approval document and technical appendices. Refer to Exhibit 7-10 Other Reference Material for the recommended list of material specifically prepared for the project that should be retained in the project files for a minimum of 6 years after letting.

Reference material should include:

1) Any material prepared during the project scoping phase and material that is referenced in the report. The design approval document should contain a brief description of the referenced document, its applicable findings in summarized form and the date of its preparation in the text of the report. Reference material shall be reasonably available for inspection by potentially interested persons within the time frame allowed for comments. When references are mentioned several times, end-notes should be used to reduce repetition.

2) Detailed technical studies and data (calculations, graphs, etc.), prepared during project scoping or design should be retained in the project files and referenced as applicable.

3) Materials not subject to public review such as internal drafts of documents, the detailed estimate work-ups, DMV accident reports, and internal review comments on the project from NYSDOT, NYSTA, or FHWA.

4) Lengthy technical materials that only one or two reviewers request for quality control purposes.
Exhibit 7-10  Other Reference Material (retained in project files, available in ProjectWise for Department review, and submitted upon request)

Examples:

Separately Bound Reports
- Planning reports such as the Initial Project Proposal (IPP); Project Scoping Report (PSR); corridor study technical memorandums; Major Investment Studies (MIS); etc.
- EIS's and other design approval documents for other relevant projects.
- Research papers and other technical background papers.
- Cultural resource reports.
- Full Noise Study Report with Noise prediction and measurement data.
- Full Air Analysis Report with air quality data.
- Full Hazardous Waste Assessment, including the Asbestos Assessment Report.
- Full Water Quality Report, including the Ground Water Assessment Report.
- Full Wetland Report, including a Wetland Delineation Report and a Wetland Mitigation Report.
- Bridge Inspection Report (with PE Stamp).
- Drainage Report per HDM Ch 8 (with PE Stamp).
- Lighting Report per HDM Ch 12 (with PE Stamp).
- Geotechnical Reports (with PE Stamp)
- Foundation Reports (with PE Stamp).
- Hydraulic Justification Report (with PE Stamp).
- Other documents referenced or quoted in the design approval document.

Project Management and Detailed Stakeholder Involvement Materials:
- Itemized Preliminary Estimates.
- Detailed Project Schedules.
- Scoping Meeting Minutes.
- Review comments from FHWA, NYSTA, and NYSDOT.
- Public hearing transcript.

Computations and Data:
- Accident analysis details - verbal description reports, accident reports, PIL, SDL, PII Lists, Bad Actors List, Safety Benefits Evaluation Form (TE 164), Project Benefit Cost Summary (TE 204), Highway Safety Investigation Report (TE 156), etc.
- Speed studies.
- Traffic data from counters.
- Printouts from capacity analysis calculations (e.g., HCS+ printouts).
- Survey Notes.
- Boring Logs.
- Life Cycle Cost Analysis and Pavement Core info for the PETSR.
- Structures design computations such as fatigue analysis and seismic analysis.
- Nighttime Construction Evaluation.
- Subsurface Utility Report.
### Exhibit 7-11 Technical Appendices for Design Approval Documents

**Table**

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<th>Appendices</th>
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<th>Bridge Rehabilitation</th>
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**Notes:**
- Y: Typically Required
- 1: Generally on 11" x 17" paper
- 2: If less than one page, include in the report text and a separate stamp is not required.
- 3: If a technical appendix on a particular environmental topic is included, the correspondence related to that topic is included there and referenced here as a list of correspondence occurring in other appendices.
- 4: Sensitive location specific information to be redacted, correspondence with Tribal Nations to be redacted if necessary. Cultural Resource survey reports are not typically included in the DAD.
- 5: Appendices to the study or assessment that contain lengthy calculation (model inputs/outputs etc.) may be referenced as available for review upon request.
- 6: Sensitive location specific information to be redacted.
- 7: L.A. can stamp for ADA exceptions.