

SUBMITTAL CHECKLIST



- ✓ Milk
- ✓ Eggs
- ✓ Pasta
- ✓ Cheese
- ✓ Red Sauce

Celebrating **25** years of service

DOCUMENTS REQUIRED FOR DESIGN PHASE SUBMITTALS

CONTRACT DOCUMENT ITEM	STAGE I REVIE W	STAGE II REVIE W	STAGE III REVIE W	STAGE IV REVIE W	FINAL PS&E
Face Sheet		P	F	F	F
List of Standard Drawings			P	F	S
Design Sheet & Index			P	F	S
Summary Sheets			P	F	S
Special Detail Drawings			P	F	S
Typical Roadway Sections	I	P	F	F	S
Roadway Plan & Profile Shs	P	F	F	F	S
Parking Area Plans & Dtls		P	F	F	S
Drainage Plans & Details		P	F	F	S
Intersection Plans & Dtl		I	P	F	S
Interchange Plans & Dtls		P	F	F	S
Major Struct Plans, Dtls		I	P	F	S
Traffic Signal Plns, Dtls		I	P	F	S
Traffic Control Plns, Dtls		I	P	F	S
Sequence of Construction		I	P	F	S
Traffic Control Duration & Quantities		I	P	F	S
Signing & Pavement Mrkg Plans & Quantities			P	F	S
Lighting Plans & Details			P	F	S
Landscape Plans & Details			P	F	S
Utility Reloc Plans, Dtls			P	F	S
Stormwater Pollution Pre- vention Control Plan			P	F	S
Special Drawings & Details			P	F	S
Roadway Cross Sections		P	F	F	F
Summary of Final Earthwork		P	F	F	F

Quantities					
CONSTRUCTION DOCUMENT ITEM CONTINUED	STAGE I REVIE W	STAGE II REVIE W	STAGE III REVIE W	STAGE IV REVIE W	FINAL PS&E
Quantities & Combined Cost Estimate		P	P	F	F
Special Provisions			P	F	S
Construction Schedule			P	F	S
DBE Participation Goals				P	F
Bidding Schedule			P	F	F
Final Design Calculations				F	S
Bound Survey Books	F	S			
Right-of-Way Requirements		P	F		
Drainage Report -Roadway		P	F	S	
Drainage Report -Structure		S			
Traffic Analysis Report		S			
Bridge Foundation Report		S			
Structure Selection Report		S			
Pavement Design Summary		S			
Geotechnical Report		S			
Environmental Permits		P	F		
Environmental Mitigation Measures	I	P	F		
Materials Design Memo		P	S		
Arizona State Plane Coordinates		S	F	F	S

LEGEND: I denotes initial concepts

P denotes preliminary, unchecked, excluding minor details

F denotes final, checked, all details and quantities

S denotes sealed in accordance with technical registration

requirements

NOTE: The review stages roughly correspond to the following completion levels of the Design Phase: Stage I: 15%; Stage II: 30%; Stage III: 60%;, Stage IV: 95%; Final PS&E: 100%.

Arizona Department of Transportation

INTERMODAL TRANSPORTATION DIVISION

STAGE II (TO BE Checklist) SUBMITTAL REQUIRED DOCUMENT CHECKLIST

Example

Date August 21, 2008

TRACS Number H7439 01D

Project location US 93, SB Wagon Bow Ranch

Project Description New Southbound Alignment

Project Manager Larry Doescher

Design Consultant POINT Engineers

	MILESTONE SUBMITTAL ITEMS	REQ'D STAGE II	SUB'D STAGE II	COMMENTS
<input checked="" type="checkbox"/>	Survey Documents		F	
<input type="checkbox"/>	Environmental Document			
<input type="checkbox"/>	Public Involvement Plan			
<input checked="" type="checkbox"/>	Traffic Analysis Report	F/S		DCR Completed
<input type="checkbox"/>	Survey Sectional Control	F		
<input checked="" type="checkbox"/>	Base Map	F	F	ADOT P&M provided
<input type="checkbox"/>	Bridge Foundation Report	F		Geotech SWPPP and Geotech Environmental Clearance delayed field work. Will Submit with Stage III submittal. Will not impact project schedule
<input type="checkbox"/>	Field Investigation	F		Will start in September and use results for both Bridge and Geotech Reports
<input type="checkbox"/>	Geotechnical Report	F/S		Geotech SWPPP and Geotech Environmental Clearance delayed field work. Will Submit with Stage III submittal. Will not impact project schedule
<input checked="" type="checkbox"/>	Pavement Design Summary	F	P	Preliminary Pavement Design – Final Memo will be prepared for Stage III by ADOT Materials using Geotech Report Info – No impact to project schedule
<input checked="" type="checkbox"/>	Roadway Cross Sections	F	P	
<input checked="" type="checkbox"/>	Roadway Plan & Profile Sheets	F	P	
<input checked="" type="checkbox"/>	Quantities & Combined Cost Estimate	P	P	
<input checked="" type="checkbox"/>	Structure Selection Report	F	P	
<input checked="" type="checkbox"/>	Hydraulics Report –NBI Structures	F	P	
<input type="checkbox"/>	Environmental Mitigation Measures	P	P	EA provided
<input checked="" type="checkbox"/>	Right-of-Way Requirements for Project (Footprint)	P	P	
<input checked="" type="checkbox"/>	Turnout & Driveway Details	P	P	
<input checked="" type="checkbox"/>	Conflict Determinations, Prior Rights	P	P	Utility Conflicts ID'd
<input checked="" type="checkbox"/>	Drainage Report -Roadway	F	P	
<input checked="" type="checkbox"/>	Typical Roadway Sections	P	P	
<input checked="" type="checkbox"/>	Intersection Plans & Details	P	P	
<input checked="" type="checkbox"/>	Interchange Plans & Details	P	I	Conceptual Geometry for Future TI will be provided with Stage III – No impact to schedule
<input type="checkbox"/>	Traffic Signal Plans, Details	P	NA	

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STAGE II (TO BE Checklist)
SUBMITTAL REQUIRED DOCUMENT CHECKLIST

Date August 21, 2008
 TRACS Number H7439 01D
 Project location US 93, SB Wagon Bow Ranch
 Project Description New Southbound Alignment
 Project Manager Larry Doescher
 Design Consultant POINT Engineers

MILESTONE SUBMITTAL ITEMS		REQ'D STAGE II	SUB'D STAGE II	COMMENTS
<input type="checkbox"/>	Traffic Control Plans, Details	P	NA	
<input type="checkbox"/>	Traffic Control Duration & Quantities	P		Quantities provided in Estimate - Plans will be included with Stage III
<input type="checkbox"/>	Signing & Pavement Marking Plans & Qty.	P		Quantities provided in Estimate - Plans will be included with Stage III
<input type="checkbox"/>	Lighting Plans & Details	P	NA	
<input type="checkbox"/>	Materials Design Report	P		Preliminary PSS provided by ADOT Materials for both an AC and PCC Section – Report will be prepared based on Geotech report - No impact to project schedule
<input type="checkbox"/>	Noise Impact Analysis	P	NA	
<input checked="" type="checkbox"/>	Environmental Permits	P	P	Geotech Environmental Secured
<input checked="" type="checkbox"/>	Face Sheet	P	P	
<input checked="" type="checkbox"/>	Sequence of Construction	P	P	North Connection shown
<input type="checkbox"/>	Special Detail Drawings	P		Will show with Stage III once Drainage and PGL concerns are balanced
<input checked="" type="checkbox"/>	Geometric Control Sheets	P	P	
<input checked="" type="checkbox"/>	Existing Conditions & Removal	P	P	Shown on Plan Sheets
<input type="checkbox"/>	Removal Summary	P	NA	
<input checked="" type="checkbox"/>	Detour Sheets	P	P	North Connection
<input type="checkbox"/>	Parking Area Plans & Details	P	NA	
<input type="checkbox"/>	Staking Plans	P	NA	
<input checked="" type="checkbox"/>	Fencing Plans	P	P	Shown on Plan Sheets
<input checked="" type="checkbox"/>	Roadway Drainage Plans & Details	P	P	Culvert Plan & Profiles Included
<input checked="" type="checkbox"/>	Utility Relocation Plans, Details	P	P	
<input checked="" type="checkbox"/>	Utility Report	P	P	
<input type="checkbox"/>	Construction Durations	I		
<input checked="" type="checkbox"/>	Service and Financial Agreements – JPAs, IGAs, etc	P		Determining Prior Rights
<input checked="" type="checkbox"/>	Major Structural Plans, Details	I	I	Bridge Concept included
<input checked="" type="checkbox"/>	Special Provisions, including stored specs	I	I	
<input type="checkbox"/>	Railroad Service Agreement –	P	NA	
<input type="checkbox"/>	Utility Relocation Agreement			
<input type="checkbox"/>	Utility Service Agreement			
<input type="checkbox"/>	Clearances - Environmental - Right of Way - Utilities & Railroad			
<input type="checkbox"/>	DBE Participation Goals/Trainees**			
<input checked="" type="checkbox"/>	Bidding Schedule	P	P	

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Project Description New Southbound Alignment
Project Manager Larry Doescher
Design Consultant POINT Engineers

MILESTONE SUBMITTAL ITEMS		REQ'D STAGE II	SUB'D STAGE II	COMMENTS
<input checked="" type="checkbox"/>	Design Sheet & Index	P	P	
<input checked="" type="checkbox"/>	Summary Sheets	P	P	
<input type="checkbox"/>	Landscape Plans & Details			
<input type="checkbox"/>	Stormwater Pollution Prevention Control Plan (Erosion & Sediment Control)			
<input type="checkbox"/>	Top Soil Plating Sheets			
<input type="checkbox"/>	Final Design Calculations			
<input type="checkbox"/>	Utility Special Provisions			
<input type="checkbox"/>	FHWA Submittals (special provisions, construction duration, plan sets, estimate, R/W & Utility & Environmental clearances)			
<input checked="" type="checkbox"/>	List of Standard Drawings	I	I	
<input checked="" type="checkbox"/>	CADD Files (graphic, ascii, dtm, & etc.)	P	P	

LEGEND:

- I denotes initial concepts
- P denotes preliminary, unchecked, excluding minor details
- F denotes final, checked, all details and quantities
- S denotes sealed in accordance with technical registration requirements

Arizona Department of Transportation
INTERMODAL TRANSPORTATION DIVISION

Verified Submittal

Signature

Suzanne Deitering
Name

Project Designer - POINT
Title Design PM/Designer

Date

Acknowledged

Signature

Larry Doescher
Name

Project Manager - SPM
Title ADOT PM

Date

Quality Control Plan Audited

Signature

Steve Boschen
Name

Project Principal -POINT
Title Principal/QC Official

Date

Quality Control Plan Audited

Signature

Jim Christensen
Name

QC - HDR
Title Principal/QC Official

Date

NOTE:

- 1) Each project has different deliverables based upon the scope of the project. A checklist for each submittal stage shall be customized by the Project Team to accurately reflect the status of deliverables. If an item in the checklist is not a deliverable for the project, an N/A should be included for that item.
- 2) All checklists shall contain signatures from the Designer or Design PM, Principal/QC Official and the ADOT PM.

 **Project Development**

Project Development > Project Manual Wiki > 5.6.1 Stage Deliverables Submittal Checklist Procedures

5.6.1 Stage Deliverables Submittal Checklist Procedures

1.0 PREPARATION FOR DESIGN

- 1.1 Review DCR/PA, if already completed, and To Be checklist for project.
- 1.2 Set a project schedule, including dates for stages.
- 1.3 Revise Stages Checklists for project by marking left column with an "X" if submittal is required for this project.

2.0 DURING DESIGN

- 2.1 ADOT PM revisits the Stage submittal checklist for the Stages meeting a minimum of three weeks before its scheduled date. The checklist will be signed by Design PM/ Designer as verified, and by the Principal/QC Official to verify the QC Plan is being implemented, two weeks before the submittals are due.
- 2.2 Explanations for any variance from agreed upon submittal delivery dates are noted in Comments column, with expected date of receipt if the submittal is late. Also, the reason and impact on project should be stated. Include resolutions if available. The actual state of submittal (I, P, F, S) is placed in Sub'd column.
 - 2.2.1 Documentation of progress and exceptions is the purpose of the comments column. Exceptions must be explained per 2.2 above.
 - 2.2.2 Use exception explanations with team to assess the value or need for the submittal to determine how the project will progress.
- 2.3 Phone or one-on-one meeting is held with ADOT PM when Submittals are delivered and that Stage Submittal checklist is signed as accepted by ADOT PM and returned to the Designer or the Design PM. (A meeting of the three key players is encouraged.)
- 2.4 Project moves to the next Stage.
- 2.5 Submittals are placed in the project folder within the AIDW.

3.0 SUMMARY REPORTING

- 3.1 PMS to complete the summary reporting tool per stage per project to determine % of submittals complete and on time and the reasons for incomplete or untimely submittals.
- 3.2 PMs to give to assigned administrative staff to compile.
- 3.3 Administrative staff compiles a quarterly report for management and the Quality Team.
- 3.4 Measurement team leaders report bi-annually to Management Review.

Display Sequence

2,140

Chapter

5. Design Phase

Section

5.06 Design Development Stages

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